Issuance Date: April 19, 2019
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Subject: Request for Applications for Fiscal Year 19 Development Food Security Activities in Kenya

Funding Opportunity Number: 72DFFP19RFA00001

The U.S. Agency for International Development (USAID) Office of Food for Peace (FFP) is seeking applications for funding for development food security activities in Kenya.

Private voluntary organizations or cooperatives, including U.S. and non-U.S. nongovernmental organizations (NGOs), may apply. Public international organizations are also eligible to apply.

Subject to the availability of funds, under this Request for Applications (RFA), FFP plans to enter into up to two awards.

USAID reserves the right to use any assistance mechanism available to this agency (e.g., grant, cooperative agreement, leader with associates award) and to adjust the number of awards, funding levels, sources of funding, and/or procedures. The applicant's activity designs inform funding levels, but they are set by FFP for successful applicants. Successful applicants will be notified of any changes or updates, accordingly.

Issuance of this RFA does not constitute an award commitment on the part of USAID, nor does it commit the U.S. Government (USG) to pay for any costs incurred in the preparation or submission of the 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. This includes the completion of all required documents for USAID awards**.

Final awards cannot be made until funds have been fully appropriated, apportioned, allocated, and committed. While it is anticipated that these procedures will be successfully completed, potential applicants are hereby notified of these requirements and conditions for award.

For the purposes of this award, the RFA consists of this cover letter and the following:

SECTION I – PROGRAM DESCRIPTION
SECTION II – FEDERAL AWARD INFORMATION

SECTION III – ELIGIBILITY INFORMATION
SECTION IV – APPLICATION AND SUBMISSION INFORMATION
SECTION V – APPLICATION REVIEW INFORMATION
SECTION VI – FEDERAL AWARD AND ADMINISTRATION INFORMATION
SECTION VII – FEDERAL AWARDING AGENCY CONTACTS
SECTION VIII – OTHER INFORMATION
APPENDIX I: Definitions and Program Areas and Elements
APPENDIX II: Past Performance Reference Questionnaire
APPENDIX III: FY 19 Phased Approach
APPENDIX IV: FFP 2016-2025 Food Assistance and Food Security Strategy
APPENDIX V: Key sectoral and county-level background sources of relevance
APPENDIX VI: Relevant Maps

To be eligible for the award, the applicant must provide all required information in the application, including the requirements found in any attachments to this opportunity on www.grants.gov. Any future amendments to this RFA can be downloaded from www.grants.gov. This information may also be posted on the FFP website. It is the applicant's responsibility to use the most up-to-date versions of all of the documents related to this RFA.

USAID may not award to an applicant unless the applicant has complied with all applicable unique entity identifier and System for Award Management (SAM) requirements detailed in Section IV.2 The registration process may take many weeks to complete; therefore, applicants are encouraged to begin registration early in the process.

Please send any questions to the email address identified in Section IV. The deadline for questions is April 30, 2019.

The RFA does not contain significant technical information. Applicants should refer to the Development Activity Application Guidance on the FFP website, including Technical References and the Monitoring and Evaluation Policy.

Per 2 CFR 200 and 2 CFR 700, USAID regulations do not award profit under assistance instruments. However, all reasonable, allocable and allowable expenses, both direct and indirect, which are related to the agreement activity and which are in accordance with applicable cost standards, may be paid under the agreement.

USAID may (a) reject any or all applications, (b) accept applications for reasons other than cost, or (c) accept more than one application (see Section V - Application Review Information). USAID intends to award predominantly cooperative agreements, but reserves the right to award any other form of assistance agreement. USAID may waive informalities and minor irregularities in applications received.

In the event of any inconsistency between this RFA and the documents referenced in the RFA, the RFA takes precedence over any referenced documents (including the Technical References), ***except*** statute and regulations. In the event of an inconsistency in the RFA documents or in the text of the RFA, it will be resolved at the discretion of the Agreement Officer (AO).

Thank you for your interest in USAID programs.

Sincerely,

/S/

Clyde Hicks
Director, Office of Food for Peace

Section I – Program Description

A. Purpose

This RFA provides information on a funding opportunity for multi-year development food security activities (DFSAs) in Kenya. Development activities are mandated in the Food for Peace Act and are aligned with the FFP 2016-2025 Food Assistance and Food Security Strategy. This funding opportunity is authorized under the Food for Peace Act, as amended. The resulting award will be subject to 2 CFR 200 – Uniform Administrative Requirements, Cost Principles, and Audit Requirements for Federal Awards, and USAID's supplement, 2 CFR 700, as well as the additional requirements found in Section F.

FFP intends to award up to two cooperative agreements to sustainably reduce acute malnutrition rates in four target counties in Kenya: Isiolo, Marsabit, Samburu, and Turkana, with the potential to expand to other counties over the life of the award.[1] Subject to availability, the anticipated funding for the Kenya multi-year DFSA(s) is approximately $186 million ($100 million Title II/$86 million Community Development Funds) over a five-year period. Applicants may request variable annual funding levels over the life of the activity. Any extension beyond the initial five-year award is subject to the Justification of Restricted Eligibility (JRE) approval process in USAID Automated Directives System (ADS) 303.

If conditions permit (determined by FFP), the application process will include two stages. The first stage is the submission and review of an initial application (technical application and cost application). Successful first-stage applicants may also receive letters of invitation to present their applications orally and to address topline issues identified during the initial review of their applications. If they occur, oral presentations will constitute the second stage of the technical review process and will be a condition of the award. After discussions have concluded, the apparently successful applicant(s) will receive a final issues letter, if necessary, and will be required to submit final technical and cost applications.

Given the complexity of persistent acute malnutrition and the need for local, context-specific, and sustainable solutions, FFP will use a **phased approach** for the Kenya DFSA(s). The first 18 to 24 months will constitute a research and collaborative design phase (Phase 1), with a subsequent transition to a systems-driven implementation and institutional strengthening phase (Phase 2). The start of Phase 2 will be contingent upon successful completion of Phase 1 objectives and approval of the Phase 2 transition plan. Please refer to Section 1.D and Appendix III for additional information on the Phased Approach.

FFP plans to invest in multi-sectoral activities in Kenya that aim to sustainably reduce acute malnutrition levels, with all proposed interventions, objectives, and indicators centered on this overarching goal. Lasting and durable reductions in acute malnutrition will require systems-level

[1] FFP selected these counties based on an analysis of key criteria, including vulnerability, level of need, and the opportunity for impact. Once an approach is successfully piloted and implemented in these counties, partners may have the opportunity to expand to other geographic areas in Kenya, contingent on the availability of funding. Applicants may propose to work in any number for the four named counties. Note that given the different challenges of working within a refugee camp setting and that refugees' needs are currently addressed through other FFP-funded activities, FFP does not intend to include refugees as participants in this activity.

approaches that coordinate with and extend beyond individual, household, and community scales.

The proposed development activities are not intended to be "stand alone" activities. FFP investments will contribute to the achievement of the USAID/Kenya and East Africa Mission Country Development Cooperation Strategy (CDCS), the Government of Kenya's Ending Drought Emergencies Strategy, USAID's FFP Strategy, USAID's Multi-Sectoral Nutrition Strategy 2014-2025, the USG Global Food Security Strategy (GFSS), and the Kenya Feed the Future Country Plan. These DFSAs will also be part of the Partnership for Resilience and Economic Growth (PREG), a platform that coordinates USAID-supported humanitarian and development activities to build resilience to cyclical drought in northern Kenya. The DFSA(s) are expected to complement and coordinate with the PREG and other relevant activities—including current and planned acute malnutrition treatment programs—as well as to leverage investments supported by the Government of Kenya (GoK), county governments, and other donors to benefit populations vulnerable to acute malnutrition.

B. Background

Country Background

In light of significant economic progress, Kenya was reclassified as a lower-middle income economy in 2014.[2] However, poverty, food insecurity, undernutrition, and income inequality remain high, particularly in the arid and semi-arid lands (ASALs).[3] Cyclical droughts, conflict, and a legacy of marginalization by state and non-state actors has exacerbated vulnerabilities and has led to chronic humanitarian caseloads, driven by high food insecurity and persistent acute malnutrition.

Responding to these challenges, in 2011 the GoK released *Vision 2030*, which outlined a plan to improve conditions in northern Kenya through strategic investments in a number of key sectors.[4] In addition, devolution, as mandated by the 2010 Kenya Constitution, officially began in 2013 and has transferred formerly centrally held power to county units. This move to a more localized government has led to the larger allocation of resources to historically marginalized areas and greater local authority regarding the use of those resources. In addition, governors and members of the county assembly are now subject to constituent-level calls to improve service delivery and better meet local needs.

Following years of providing humanitarian assistance to vulnerable populations in northern Kenya, USAID stood up the PREG to coordinate and geographically layer humanitarian and development activities to build resilience to shocks and to reduce the need for future emergency assistance.[5] PREG targets nine ASAL counties and builds on community-identified strengths and priorities. FFP currently supports asset creation activities in 14 counties, which serve as the base layer for the PREG. Five of these counties have significant additional USAID

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[2] https://datahelpdesk.worldbank.org/knowledgebase/articles/906519-world-bank-country-and-lending-groups; http://www.worldbank.org/en/news/feature/2014/09/30/kenya-a-bigger-better-economy
[3] Kenya National Bureau of Statistics (2015). The Kenya 2014 Kenya Demographic and Health Survey.
[4] Government of Kenya (2008). Vision 2030 Development Strategy for Northern Kenya and Other Arid Lands.
[5] USAID defines resilience as "the ability of people, households, communities, countries, and systems to mitigate, adapt to, and recover from shocks and stresses in a manner that reduces chronic vulnerability and facilitates inclusive growth."

investments, including livelihoods, Water, Sanitation, and Hygiene (WASH), health, nutrition, and natural resource management activities. (Note: Please see Appendix VI for map of PREG activities.)

Acute Malnutrition Background

While interim monitoring of PREG investments in 2015/2016 suggest positive trends, including improvements in dietary diversity, one notable counter trend was the prevalence of wasted children, which increased from the 2013 baseline.[6] Acute malnutrition rates in northern Kenya fluctuate, but too frequently remain at or above emergency levels and frequently fail to improve even when households' access to food and quality healthcare improves and the burden of disease is reduced.[7] Specific population sub-groups in the ASALs tend to be more susceptible to acute malnutrition, due to either unique nutritional needs (e.g. children between 6 and 23 months of age as they begin to eat family foods more regularly; adolescent girls who become pregnant; infants under six months who are not exclusively breastfed) or systemic issues that can lead to deprivation or exacerbate it (e.g. vulnerable pastoral groups; those cut off from markets, access to quality healthcare services).

Emergency nutrition responses in Kenya and elsewhere have historically employed short-term, malnutrition treatment-focused methods.[8] These approaches have been critical in averting excess mortality, but they have been unable to sustainably prevent acute malnutrition due to limited project timelines and a relative lack of focus on addressing its key drivers.[9]

FFP's intention to invest development funds to tackle persistent acute malnutrition in Kenya reflects the understanding that this problem will require an approach that goes beyond short-term humanitarian response and tackles the immediate and underlying causes of acute malnutrition through an integrated, multi-sectoral activity that leverages ongoing emergency and development activities.

The United Nations Children's Fund's (UNICEF) conceptual framework for undernutrition[10] remains a broadly accepted model for understanding the causes of malnutrition. While evidence exists to support the framework's identification of (1) insufficient household food security, (2) inadequate maternal and child care, (3) insufficient health services and unhealthy environment as the primary underlying causes of acute malnutrition, the specific drivers are often less clear—particularly in areas that experience 'persistent' acute malnutrition—because these three underlying causes and their interaction can have varied relative impacts depending on the local context.[11]

Therefore, in order to design interventions that achieve sustainable results in northern Kenya, additional research is needed to more fully understand the specific drivers of acute malnutrition

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[6] USAID/Kenya (2015). Feed the Future Northern Kenya 2015: Zone of Influence Interim Assessment Report. Rockville, MD: Westat and USAID/Kenya (2016). Mid-term assessment of Kenya's Feed the Future Program.
[7] Government of Kenya (2018). The 2018 Long Rains Season Assessment Report.
[8] USAID/FFP Fact Sheet for Kenya: https://www.usaid.gov/kenya/food-assistance
[9] Young & Marshak (2018). Persistent Global Acute Malnutrition: A Feinstein International Center Brief. Tufts University and USAID Multi-sectoral Nutrition Strategy.
[10] UNICEF's Approach to Scaling up Nutrition (2015) pg 9. https://www.unicef.org/nutrition/files/Unicef_Nutrition_Strategy.pdf
[11] Young & Marshak (2018). Persistent Global Acute Malnutrition: A Feinstein International Center Brief. Tufts University

in each county, sub-county, and community where the DFSA(s) will operate. The following list of factors and conditions is meant to illustrate the complexity of what is currently known and unknown about persistent acute malnutrition in northern Kenya. (Note: This list should not be inferred as a specific technical recommendation or prescription for applicants as they develop research and programming priorities, as these priorities are expected to be particular to each targeted geography and population.)

Table 1: Reported Drivers of Acute Malnutrition in Northern Kenya

***Reported,* Underlying Drivers of Acute Malnutrition**
• Access to food: Insufficient access to food is a widespread problem and is particularly acute among poor pastoralist households, which may have insufficient productive capacity, purchasing power and/or entitlements (through social capital and/or welfare entitlements such as the Hunger Safety Net Program (HSNP)). • Availability of food: Food availability varies by locality, season, and year. Spot shortages and seasonal food deficits often occur in drought years, particularly for high-value, nutrient-dense foods like milk and other animal-source foods, which are historically important components of people's diets in the region. In addition, the availability of fortified foods is limited throughout the ASALs. • Childhood Illness: Children in the ASALs experience a high but seasonally variable incidence of disease, particularly pneumonia, malaria, and diarrhea. In addition, the care practices used in feeding sick children are reported as suboptimal.[12] • Infant and Young Child Feeding (IYCF): Age-appropriate complementary feeding is uncommon and is partly due to seasonal availability and households' limited access to appropriate, nutrient-dense complementary foods. While exclusive breastfeeding rates have substantially improved, significant drop-offs after two months of age remain. • Access to quality health services and health-seeking behaviors: Access to high quality health care services such as antenatal and postnatal care, breastfeeding, and nutrition counseling and support, malnutrition treatment, supplementation as well as clinical services to diagnose and treat common illnesses is highly variable throughout the ASALs. Remote populations often having difficulty accessing formalized, static health facilities and instead are often dependent upon irregular mobile clinics or turn to traditional healers. Many of these challenges serve to undermine efforts to encourage caregivers to seek early medical attention for disease and malnutrition treatment. • Seasonality Impacts: Increases in the frequency and severity of droughts, as well as changes in season migration traditions, has resulted in men and adolescents remaining away from families for longer periods and has increased the time and labor burden on women. • Women's Nutrition: Adult women in the ASALs experience acute malnutrition (termed "thinness" and measured by BMI) at a uniquely high rate as compared with Kenyan women from elsewhere in the country. High rates of anemia appear to contribute to thinness, and women with no formal education and/or in the lowest socioeconomic quintile are the most vulnerable.
***Reported,* Basic/Systemic/Societal Drivers of Acute Malnutrition**
• Income Diversification: Non-diversified and climate-dependent income sources (e.g. sole reliance on livestock pastoralism) and degraded environmental landscapes increases vulnerability to environmental shocks like drought and floods. • Market Isolation and Market Functionality: Populations in northern Kenya are reliant upon market purchases to meet household consumption needs, and all areas are deficit in terms of crop production. Markets in many localities are thin, weakly integrated, and seasonal, with a limited number of market

[12] Kenya National Bureau of Statistics (2015). The Kenya 2014 Kenya Demographic and Health Survey.

traders. In spite of counties' recent prioritization of road construction, distances and poor road conditions persist, contributing to significant transport time and costs and poor market functionality. In some places, insecurity also interferes with markets. Due to this poor market integration, food prices are higher in northern Kenya than elsewhere, markets are not consistently price-responsive, and food does not necessarily flow into the market when prices rise and/or food is scarce. The poor diversity of food available in markets, in turn, negatively affects consumption habits.

- Women's Time Poverty: The time and labor burden on women is particularly significant in some areas of the ASALs, where they are often responsible for construction and maintenance of homes; water and fuel collection; food production and preparation; income generation; and child and elder care. This burden increases during migratory seasons and is further exacerbated by the climate variability of the ASALs and changing seasonal migration patterns. All of these factors can negatively impact the ability to breastfeed with the frequency and regularity required (both for health of the baby as well as for the sustained milk production for the mother); to introduce foods and feed older children according to their needs; and to provide a healthful and hygienic environment for children.
- Water/WASH: Low water availability and poor management of water resources may underpin many of the health, nutrition, and broader resilience challenges in the ASALs. The high burden of disease is potentially driven by poor hygiene practices and a dependence on surface water in certain geographies. Productive water access (e.g. for fodder and livestock) is increasingly susceptible to drought, which in turn contributes to low milk production and broader livestock/pastoral challenges. In addition, long distances traveled to water sources in some areas may contribute to women's time poverty.
- Recurring Drought, Climate Variability, and Natural Resource Management Constraints: Climate variability has increased the severity and frequency of droughts and floods, which have altered the functioning of rangelands and their ability to support community livelihoods, as well as reduced the availability and quality of surface and groundwater resources. This, in turn, has contributed to human-wildlife conflicts, increased competition and conflict over grazing lands, and widespread zoonotic disease. Repeated shocks have resulted in the severe loss of productive assets for poor households and those on the fringes of market systems and have triggered the need for significant and recurrent humanitarian response.
- Weakened Pastoralist livelihoods: The weakened viability of pastoral livelihoods has been driven in part by reduction in pastoralists' rights to own/manage rangeland, commercialization of the livestock sector, concentration of herd ownership, private expropriation of rangeland, and increased conflict over access to water, land, and fodder. Though pastoralism remains the predominant livelihood strategy in the ASALs, many have left pastoralism, or transitioned to agro-pastoral livelihoods, compelled to search for alternative livelihoods and/or to settle near urban centers.
- Poor Governance: Due to historic marginalization, the ASALs have missed opportunities for strong developmental structures compared to the rest of Kenya. Despite recent improvements with devolution which are now bringing opportunities and services to the ASAL counties, the spatial variation in incomes, poverty, and human development in Kenya indicate the significant under-development and marginalization of the ASALs. This under-development has multiple causes, including climatic and agro-ecological factors and socio-economic conditions, such as low levels of access to markets and services.
- Low literacy and education levels: Literacy and education levels in the ASALs are substantially lower than the national statistics (e.g. 42-75 percent illiteracy among women in the ASALs versus 12 percent nationally).[13] The analogous statistics for men demonstrate large gender gaps, as well as the divergence of the ASALs from national averages.[14]
- Conflict: Multiple causes of conflict in the ASALs persist, including those based on conflict over natural resources (e.g. rangeland and water), inter-ethnic tensions, communal-private land conflict, human-wildlife conflict and refugee-host community tensions.

Advancing nutrition requires capable human resources, effective institutions, and functional systems to plan, manage, and evaluate programs. Strong country commitment and government

[13] Kenya National Bureau of Statistics (2015). The Kenya 2014 Kenya Demographic and Health Survey.
[14] Men age 15-49 who cannot read at all: national (7.7%); Marsabit (36.4%); Samburu (29.2%); Turkana (47.2%); and Isiolo (12.1%). Men age 15-49 who have received no education: national (3.1%); Marsabit (35.7%); Samburu (25.9%); Turkana (35.2%); and Isiolo (11.3%), Kenya DHS 2014.

leadership along with the active engagement of communities, the private sector, and civil society are essential for achieving and sustaining nutrition outcomes.[15] To this end, devolution in Kenya has provided a unique opportunity to partner with county governments, both technically and financially, to achieve greater and more sustainable impacts around nutrition. While the national government continues to lead on nutrition policy, nutrition programming is now a devolved function of the county governments, which are nascent and could benefit from institutional strengthening activities. The USAID Kenya CDCS is built around support for devolved power, and USAID's programming in Kenya emphasizes county administrative and financial leadership of development activities where possible. FFP's 2016-2025 Strategy also emphasizes the need to strengthen communities and institutions to serve as catalysts for greater and more sustainable change. Therefore, a key objective of the DFSA(s) will be to prepare local systems and institutions to assume financial and technical responsibility for the implementation of nutrition programming following the end of the activity.

Applicants should refer to the Famine Early Warning Systems Network (FEWS NET) Kenya Enhanced Market Analysis, and key sectoral and county-level background sources of relevance (Appendix V) for additional background on the unique food security, health, nutrition, and climate conditions, market viability, and shocks and stresses in the four target counties.

C. Phased Approach and Implementation Strategy

FFP will use a **phased approach** for the Kenya DFSA(s) to provide implementing partners with the time, support, and access needed to research the local drivers of persistent acute malnutrition and to design interventions that are rooted in evidence, contextually informed, and viable for GoK implementation and scale up. The phased approach aims to ensure the activity is learning focused, evidence based, and adaptively managed.

The first 18 to 24 months will constitute a research and collaborative design phase (Phase 1), with a subsequent transition to a systems-driven implementation and institutional strengthening phase (Phase 2). Phase 1 activities should directly inform Phase 2; all formative research should be focused on creating a field-ready, field-viable design. The applicants should also consider the use of pilots or other implementation research methods to test innovative approaches and to help tailor planned interventions to each implementation area. Phase 1 will culminate with an internal assessment and partners' submission of a Phase 2 transition plan, which will outline the findings of Phase 1 and include the Phase 2 implementation plan (i.e. proposed activity design and budget).

Upon USAID approval of the transition plan, the DFSA(s) will enter Phase 2 and begin a three to three-and-a half year period of systems-driven activity implementation and institutional and system strengthening. (Note: Please refer to Section 1.D and Appendix III for additional information on the phased approach).

Given the need for rigorous formative and implementation research to understand the key drivers of acute malnutrition in northern Kenya and the programmatic approaches expected to

[15] U.S. Agency for International Development. Multi-Sectoral Nutrition Strategy 2014-2025. https://www.usaid.gov/nutrition-strategy

avert it, partners will be expected to leverage robust research capacity and expertise within their own organizations or consortia to successfully fill key information gaps and positively direct the activity design. Similarly, demonstrated capacity and expertise in institutional-strengthening and capacity-building approaches will be needed throughout the award.
As part of this approach, a Technical Steering Committee, made up of USAID staff, DFSA staff (including their research leads), and GoK representatives, will provide strategic and technical direction to the DFSA(s) and support the program objectives and outcomes throughout the life of award. During Phase 1, the Technical Steering Committee will meet monthly for joint planning exercises that will help to align the DFSA designs to GoK priorities to promote sustainability as well as to avoid duplication of efforts by ensuring collaboration with current PREG activities.

D. Programmatic Emphasis and Objectives

Overall Goal: The overarching goal of this multi-sectoral activity is to sustainably reduce levels of acute malnutrition in Kenya's ASALs.

1. Phase 1 - Research and Collaborative Design

Phase 1 Objective: *Research, test approaches, and collaboratively design a context-sensitive, multi-sectoral activity that sustainably reduces acute malnutrition.*

The drivers of persistent acute malnutrition are complex and are specific to the localities, livelihoods, and other particularities of affected groups. During Phase 1, the DFSA(s) will:
(a) identify and understand the immediate and underlying causes of persistent acute malnutrition through formative research (e.g. desk review; context assessments); (b) conduct implementation research, including piloting activities; and (c) design, in consultation with the Technical Steering Committee, a scalable, context-sensitive, multi-sectoral activity that prioritizes working through and strengthening existing systems and institutions.
Partners should note that formative and implementation research can occur simultaneously, and that implementation research can span both phases of the award.

Objective 1a: *Identify and understand the immediate and underlying causes of acute malnutrition in target populations.*

The DFSA(s) are expected to develop and articulate research priorities, questions, and methods that will push for deeper exploration of context-specific drivers and potential solutions to acute malnutrition in Kenya. For this objective of Phase 1, the DFSA(s) will work alongside public and private systems to conduct formative research (1) to validate the people, groups, and communities identified in their applications as being most vulnerable to acute malnutrition; and (2) to deepen the understanding of household-, community-, and systems-level drivers of acute malnutrition within the targeted groups and geographies.

During this period, the DFSA(s) are expected to hold consultations with a variety of stakeholders, including, but not limited to, households affected by acute malnutrition, community leaders and community-based organizations, youth, GoK national- and county-level

technical staff, relevant PREG partners and other relevant implementing partners.[16] The DFSA(s) are also expected to revisit and further refine their initial theories of change to capture the key drivers of acute malnutrition in each identified target geography and/or population sub-group.

Objective 1b: *Undertake implementation research, including pilots, to inform activity design and refine approaches.*

Given the limited evidence base for addressing persistent acute malnutrition, piloting and testing interventions is welcomed and encouraged. Root causes may be similar across counties, but prioritization and focus of the particular pathways and interventions will be context dependent at the county-, sub-county, ward-, community-, or household-level. Partners will be expected to carefully consider these contextual variations as they pilot activities and set out evaluation criteria to gauge the success of pilots to inform their activity design and refine their theories of change.

Objective 1c: *Design—in consultation with the Technical Steering Committee—a scalable, context-sensitive, multi-sectoral activity that prioritizes working through and strengthening existing local public, private, and informal systems and institutions*.

The DFSA(s) will review and use the evidence (i.e. assessments, refined theories of change, etc.) from Objectives 1a and 1b to design, in consultation with the Technical Steering Committee, a context-sensitive, scalable activity to reduce levels of persistent acute malnutrition.

Multi-sectoral solutions are likely needed to reduce levels of persistent acute malnutrition, and the DFSA(s) should focus on the combination of drivers most likely to yield results within the scope, budget, and timeframe of the award. Addressing some of the underlying causes of persistent acute malnutrition identified during Phase 1 may require change that is beyond the manageable interest or timeframe of the DFSA(s). The DFSA(s), therefore, will be expected to evaluate and prioritize causal pathways and then design interventions on the basis of comparative advantage, likely impact, and sustainability. While the DFSA(s) may not be able to address all underlying causes of acute malnutrition, the DFSA(s) are encouraged to deliberately align with other activities to fill priority gaps by leveraging ongoing activities of NGOs, PIOs, and the GoK. Given the vulnerability of the four target counties, planning for shocks and stresses should also be clearly reflected in the DFSA design(s).

Wherever possible and appropriate, the DFSA(s) should strive to create a design that works through existing systems and institutions and includes interventions that can be incrementally transitioned and handed over to public institutions, community and informal systems, and the private sector by the end of the award. Ensuring the GoK's ability to champion, lead, and manage these activities will require meaningful engagement of public institutions from the beginning of Phase 1 and throughout the life of the award.

[16] To include other USAID/Kenya and East Africa implementing partners and other development partners in Kenya, such as the EU, DFID, GIZ, the United Nations, and others.

2. Phase 2 - Activity Implementation and System and Institutional Strengthening

Phase 2 Objective: *Working with and through local systems and institutions, implement and adapt a multi-sectoral activity to reduce acute malnutrition and strengthen local systems and institutions to manage, adapt, and scale the approach.*

While the DFSA(s) will use Phase 1 to research and collaboratively design interventions to sustainably reduce acute malnutrition levels, Phase 2 will focus on (a) implementing and adapting these activities, as necessary; and (b) strengthening local formal and informal systems and institutions to prepare for activity handover and exit.

While sustainability should be an integral component of the overall activity design, preparing for handover to relevant systems and institutions is listed as a separate objective in Phase 2 to emphasize that clear exit strategies are essential for ensuring the success of the overall goal of "sustained" reduction of acute malnutrition in the ASALs.

While the logical framework driving Phase 2 activities will be dependent on Phase 1 outcomes, some key metrics to measure institutional strengthening in Phase 2 could include: demonstrated management capacity around policies, strategies, guidelines, standards, and protocols for malnutrition; demonstrated leadership around malnutrition; capacity to manage data and research; effective use of data and research outcomes; budget-related decision making (e.g. co-funding activities); developing and operationalizing county implementation plans; social dynamics; motivations and incentives in the system; networking and strategic problem-solving and partnering; adaptive management and shock responsive planning capabilities.

Objective 2a*: Working with and through local systems and institutions, implement and adaptively manage the multi-sectoral activity designed in Phase 1.*

After developing a sound, scalable model for addressing acute malnutrition, the DFSA(s) will implement these activities with and through the GoK and local systems and institutions, as appropriate. Given the multiple causes of acute malnutrition, coordination with the GoK will likely be multi-sectoral and require engagement with technical staff from multiple ministries and county offices. USAID assistance is most effective when aligned with county sectoral plans (e.g. County Integrated Development Plans (CIDPs)), budgets, and systems to avoid the creation of parallel NGO-driven systems.

The DFSA(s) should also prioritize working through, empowering, and building the capacity of local implementing partners, community-based organizations, and community leaders at every stage of activity implementation.

In addition, the DFSA(s) should continually assess progress and adapt activities based on lessons learned and submit revisions to the program description for approval, as necessary. The need for shock-responsive approaches, as articulated in the Guiding Principles Section, should also be reflected in activity adaptation, particularly with respect to changing rainfall/drought conditions.

Objective 2b: *Strengthen formal and informal systems and institutions to manage, scale, monitor, and learn from activities that reduce acute malnutrition.*

Key challenges to reducing acute malnutrition cannot be solved in an effective and sustainable manner without systems-driven, shock-responsive approaches. Therefore, throughout the life of the activity, the DFSA(s) will work in conjunction with and, as much as possible, through local public, private, and informal systems and institutions to strengthen the capacity of local actors to adaptively manage the interventions and approaches to reduce acute malnutrition. While the DFSA(s) are expected to work hand-in-hand with local systems and institutions over the course of the activity, special consideration will be given to planning activity handover and exit in Phase 2.

Over the life of the award, the DFSA(s) are expected to review and incorporate best practices for capacity strengthening as well as use innovative methods and metrics to evaluate success and to address institutional strengthening at multiple levels:

1) Government of Kenya and County Governments

Devolution and economic progress in Kenya have provided a unique opportunity to develop effective, sustainable, and scalable approaches that can be institutionalized and taken over by relevant public service delivery systems. The DFSA(s) will be expected to leverage this opportunity to cultivate leadership, influence incentive systems, build expertise and institutional capacity, and strengthen systems to ensure that service delivery, monitoring and evaluation, learning, and accountability systems are responsive and sustainable. In addition, the DFSA(s) should support deepening the national and county governments' capacity for using available nutrition and other relevant sector information for multi-sectoral and collaborative decision making, adaptive program planning, and performance and results monitoring.

2) Community and informal systems

GoK's devolution policy on public participation through the CIDPs provides a significant opportunity for the DFSA(s) to partner with local communities. Over the lifetime of the DFSA(s), communities are expected to gradually assume their rightful role as partners in the service delivery, moving toward a participatory approach where communities are empowered to advocate for themselves and hold the service providers like county governments accountable. DFSA(s) are also encouraged to understand and strengthen informal systems that support community well-being and address drivers of acute malnutrition.

3) Private Sector

During activity implementation, the DFSA(s) are encouraged to work closely with the private sector to ensure that any market linkages, products, and key partnerships developed over the course of the activity to improve the nutritional status of vulnerable populations will continue beyond the life of the award(s).

E. Guiding Principles

The following considerations aim to ensure that the design process builds on existing structures, systems, and strategies while at the same time also encouraging implementing

partners to bring innovative approaches to address persistent acute malnutrition. Applicants should consider these guiding principles as they create their Research and Evidence-Based Design Strategy, further detailed in Section IV. For broader FFP priorities, please see Appendix IV.

- **Sustainably strengthen and support existing markets, social systems, and GoK strategies.** Effective and well-functioning systems that implement sound policies and strategies are drivers of sustainability and positive change. Applicants are encouraged to identify and support local systems that are within their manageable interest that are critical to the delivery of goods and services for this activity. Where appropriate and feasible, applicants should link and contribute to the GoK's strategic plans (e.g. Kenya Ending Drought Emergencies Framework) and the CIDPs.

- **Coordinate and link with PREG partners, the ASAL donor group, or other relevant actors to leverage comparative advantages and catalyze investment for collective impact.** The PREG platform provides a valuable opportunity for implementing partners to leverage ongoing activities and coordination networks to take advantage of synergies and maximize potential impact. Specific methods of collaboration with other PREG partners include but are not limited to co-design and implementation of layered activities, coordination of annual work plans, sharing information on participant households, making joint field visits (e.g. bi-annual PREG learning events), and regular meetings and communication with other implementers, including sharing relevant reports.

- **Demonstrate a clear and thoughtful strategy for empowering and engaging communities and community-based organizations throughout activity design and implementation.** The applicant should demonstrate both active engagement of participants in activity design and implementation, as well as mechanisms to "close the feedback loop" via participant feedback collection, response, and activity adaptation. A strategy for empowering local communities recognizes the multiplicity of interests and needs at the local level; solicits and incorporates feedback from diverse local perspectives into all stages of programming from design to implementation and evaluation; and organizes regular and routine meetings with activity participants and local community-based organizations. Community engagement and empowerment strategies should be attentive to social dynamics, such as gender, age, and ethnicity, and how they link to inter-/intra-community inequalities.

- **Design and plan for flexibility and shock response.** The proposed implementation areas have historically been affected by large-scale shocks, including cyclical droughts, and conflict. Applicants should adopt a shock-responsive and adaptive approach, which includes ways to monitor these shocks, and develop contingency plans and design shock-responsive activities to adapt to changes in the environment and the needs of drought- or other shock-affected vulnerable people. Specific consideration should be given to how shock-responsive DFSA interventions may complement existing safety net programs (e.g. HSNP).

- **Adherence to "Do No Harm" and conflict sensitivity principles, and careful management of strategies that risk exacerbating the situation for target groups.** Applicants should be aware and familiar with the sensitivities of the programming context. For example, designs should ensure that interventions do not exacerbate inter-ethnic conflict, nor add additional time/labor burden to women's existing workloads. Women's time poverty is of particular concern in the ASALs because livelihood adaptations have modified traditional roles and placed new or exaggerated burdens on women. Activities should respect the value of participants' time and labor, especially that of women, and should minimize new burdens and/or seek to reduce existing burdens.

- **Explore appropriate use of resource transfers.** Any proposed activities involving resource transfers, including in-kind food assistance rations, specialized nutrition commodities, or cash-based transfers, must be justified using the USG modality decision tool. In addition, the DFSA(s) must also consider GoK priorities in determining the most appropriate modality for populations vulnerable to acute malnutrition. Taking these considerations into account, applicants are encouraged to explore the entire list of Title II commodities for potentially appropriate in-kind options. While the DFSA(s) are anticipated to prioritize prevention activities to address underlying factors, the DFSA(s) should carefully consider how to best support and strengthen treatment services. Any activities proposed to provide treatment services will require strong justification and must seek to work in conjunction with GoK and not create parallel service delivery platforms. (Note: Due to GoK restrictions on genetically modified commodities, corn- and soy-based products are currently unavailable for programming.)[17]

- **Commitment to Collaborating, Learning and Adapting (CLA).** The phased approach inherently embodies a commitment to CLA. Throughout Phase 1 and Phase 2, the DFSA(s) are expected to (1) to support and engage with local government, civil society, other donor funded projects, and local researchers and academics; (2) identify and fill knowledge gaps, including ongoing efforts to understand and assess local context, and community needs and capacities; (3) ensure analysis and application of knowledge to adapt implementation and improve activity effectiveness; (4) capture and share results, lessons learned, and promising practices, including through participation in USAID-convened meetings and workshops and; (5) strengthen capacity of staff, partners, communities, systems, and institutions based on best practices and program learning.

- **Explore the linkages between gender and social dynamics with food security and malnutrition**: Gender equity in decision-making, access to and control of resources, livelihood options, and time burdens all affect food security and nutrition outcomes. Preventing or reducing acute malnutrition requires attending to the different experiences and needs of women, men, boys and girls, and deliberately engaging these gender and age groups across all development interventions. Applicants should, likewise, consider ways

[17] Kenya National Biosafety Authority. June 2013. Guidelines and Checklists for the Risk Assessment and Certification of Facilities dealing with Genetically Modified Organisms. http://www.biosafetykenya.go.ke/Docs/Guidelines%20and%20checklist%20for%20Risk%20assessment%20and%20certification%20of%20facilities(1).pdf

young people can be positive change agents who bring creativity, energy, commitment, and novel perspectives to understanding and addressing malnutrition in their communities.

Section II – Federal Award Information

1. Estimate of Funds Available

Subject to availability, the anticipated funding for the Kenya multi-year DFSA(s) is approximately $186 million (($100 million Title II/$86 million Community Development Funds) over a five-year period for up to two cooperative agreements. USAID reserves the right to adjust the number of awards, funding levels, and/or sources of funding. Note that not all funding is interchangeable and some budget adjustments may need to take place. Successful applicants will be notified of any changes or updates accordingly.

2. Anticipated Start Date and Performance Period

The anticipated start date of the new award(s) will be October 1, 2019. The award(s) will be issued for a performance period of five years during which the applicant will research and collaboratively design during the first 18-24 months of the award called Phase 1 and implement the activity in the following three to three and a half years called Phase 2. FFP anticipates the Kenya FY 2019 DFSA(s) to be implemented according to the phased approach model (see Section 1.C and Appendix III).

3. Substantial Involvement

In accordance with the ADS 303.3.11, a cooperative agreement will require the following elements of substantial involvement by FFP, if applicable to the application:

- Approval of the Awardee's Implementation Plans
- Approval of Specified Key Personnel
- Agency and Awardee Collaboration or Joint Participation covering:
    - selection of advisory committee including the Technical Steering Committee members
    - assessments, analyses, and reviews of the Theory of Change (ToC), activity design, and implementation
    - concurrence on the substantive provisions of sub-awards approval of the awardee's performance management and/or monitoring and evaluation plans and evaluation team members
    - monitoring to authorize specified kinds of direction or redirection because of interrelationships with other activities
- Agency Authority to Immediately Halt a Construction Activity

For specifics and additional detail, please refer to ADS 303.3.11 - Substantial Involvement and Cooperative Agreements.

4. Authorized Geographic Code

The anticipated authorized geographic code for procurement of goods and services under the prospective award(s) is 935; USAID reserves the right to modify this.

5. Nature of the Relationship between USAID and the Awardee(s)

The principal purpose of the relationship with the awardee(s) under the subject award is to transfer funds to accomplish a public purpose of support or stimulation of the activities as described in the program description, which is authorized by federal statute. The successful awardee(s) will be responsible for ensuring the achievement of the award objectives and the efficient and effective administration of the award through the application of sound management practices. The awardee(s) will assume responsibility for administering federal funds in a manner consistent with underlying agreements, award objectives, and the terms and conditions of the federal award.

6. Assistance Award

USAID may (a) reject any or all applications, (b) accept applications for reasons other than cost, or (c) accept more than one application. USAID intends to award predominantly cooperative agreements, but reserves the right to award any other form of assistance agreement. USAID may waive informalities and minor irregularities in applications received. USAID may award the resulting assistance award(s) on the basis of initial applications received, without discussions, negotiations and/or oral presentations. Therefore, each initial application must contain the applicant's best terms from a technical and cost standpoint. However, as part of its evaluation process, USAID may elect to discuss technical, cost, or other pre-award issues with one or more applicants. Alternatively, USAID may proceed with award selection based on its evaluation of initial applications received, use an alternative process (e.g., keep or drop oral presentations), and/or commence negotiations solely with one applicant.

Section III – Eligibility Information

1. Eligible Applicants

To be considered for a Title II-funded award, the applicant must be a Private Voluntary Organization (PVO) or consortium, or an organization designated by USAID as a Public International Organization (PIO). PVOs may include U.S. and non-U.S. NGOs as defined in the Food for Peace Act. Per the Food for Peace Act, universities are not eligible to apply as primes for any Title II-funded activity. Universities can be sub-awardees or members of a consortium at the discretion of the prime applicant.

To be considered for a Community Development Fund (CDF)-funded award, the applicant must be a U.S. or non-U.S. NGO, or an organization designated by USAID as a PIO.
In the case of a consortium, the applicant must be the consortium lead and must identify any other members of the consortium or individuals tied to the implementation of the activity as described in the application, along with all sub-awardees. The respective roles of any other

members of the consortium or individuals, including all sub-awardees, must be described and separate detailed budgets must be attached for each. For more information, see Section IV. Application and Submission Information, I. Application Format, d. Management and Staffing.

2. New Partners and Local Organizations

USAID encourages applications from potential new partners (i.e., those who have not received any USAID funding previously) and local organizations.

USAID supports applicants signing non-exclusive letters of commitment with local partners, if applicable.

3. Cost Share

Cost share is not required.

4. Limit on Number of Applications

Each applicant may only submit one application. However, an applicant may also be a sub-awardee on applications submitted by other organizations.

Section IV – Application and Submission Information

1. Application Format

The application must be specific, complete, and concise. Applications that do not meet the requirements of this RFA will not be considered. The application is divided into the following sections, with the maximum number of pages given per section, excluding the table of contents, but including any endnotes and/or footnotes, as follows:

a) Cover Page (1 page, see paragraph a)
b) Executive Summary (2 pages maximum, see paragraph b)
c) Activity Design (45 pages maximum, see paragraph c)
d) Management and Staffing (12 pages maximum, see paragraph d)
e) Organizational Capability (7 pages maximum, see paragraph e)
f) Cost Application (no page limit, see paragraph f)
g) Environmental Compliance (see paragraph g)
h) Annexes (see paragraph h)

If submissions exceed the page number maximum, only the pages up to the limit will be reviewed, and pages exceeding the maximum will not be considered.

a) Cover Page (1 page)

The cover page must include:

- Name of the applicant's organization;

- Name and title of the organization's representative who has signatory authority and authority to submit the application;
- Name, title, and contact information of the organization's point of contact with whom USAID will coordinate on matters related to the application (if different from the organization's representative with signatory authority and authority to submit the application). Contact information should include mailing address, e-mail, and telephone number;
- Title II food commodity(ies) request, if any, in metric tons (MT) (rounded to the nearest 10 MT), if applicable;
- Total funds requested (in U.S. dollars), including CDF, Section 202(e), and, if relevant, Internal Transportation, Storage and Handling (ITSH) (please note ITSH is only associated with U.S. in-kind commodities) and cost share;
- Valid Dun and Bradstreet Universal Numbering System (DUNS) Number;
- Activation date in System for Award Management (SAM) – note that successful applicants must maintain SAM registration.

b) Executive Summary (2 pages maximum)

The executive summary must include:

- Problem Statement, including the underlying causes and major determinants of acute malnutrition, articulating clearly what is known and unknown, and what will be prioritized for Phase 1 exploration and investigation;
- Brief explanation of Phase 1 methods, approaches, and anticipated outcomes;
- A paragraph summarizing the theory of change presented in the conceptual framework section; and
- Unique capabilities that applicant and proposed sub-awardees possess to successfully meet Phase 1 and Phase 2 activity objectives.

c) Activity Design (45 pages maximum)

The activity design presents the vision for reaching the activity's goals and targets and the strategy that will be taken to achieve the objectives for the target participants. In this section, applicants must demonstrate a tailored, focused, and integrated approach to reach the activity's goals.

Applicants should present an integrated narrative that details:

1) **a context analysis** of the participants and intervention area;
2) **the conceptual framework** that describes the theory of how the application will lead to the desired change;
3) **the methodology and strategy used for targeting**;
4) **a research and evidence-based design strategy** that lays out the overall rationale for the proposed set of formative and implementation research, emphasizing how the model being developed will significantly contribute to creating a field-ready, field-viable design to prevent acute malnutrition; and
5) **institutional and local system strengthening strategy**

A descriptive overview of the criteria applicants will be evaluated against is below. The official Evaluation Criteria are included in Section V, 1. Evaluation Criteria.

(1) Context Analysis

A context-appropriate and effective activity requires a deep understanding of targeted participants' needs and their communities, and the constraints they face. A description of the context should demonstrate local, contextualized knowledge of the participants and the target area, as well as the larger enabling environment in the country. If only national-level data and evidence are available, the applicant should explain why the data can be generalized to the subnational level. Elements may include:

- A description of the geographic areas of intervention and the profiles of each sub-population that the activity plans to target.
- A map that illustrates proposed intervention areas and activity layering at the Administrative Level 2 (i.e. sub-county or district level).
- A preliminary analysis of the immediate and underlying causes of persistent acute malnutrition in target areas.
- A description of socio-economic, political, and climatic context; status of infrastructure, and market; and safety and security that may positively or negatively influence the implementation of the activity and anticipated outcomes.
- A description of the other development actors in the target area including their goals and specific interventions.
- A description of the capacity of the host government's institutions and reach into the targeted areas.
- A description of the availability and quality of public and private extension services and health systems.
- A description of other systems and institutions (i.e. local, regional, and national levels) that impact the target participants and affect the medium- and long-term sustainability of nutrition security.

(2) Conceptual Framework

Theory of Change (ToC): A ToC is the conceptual foundation of any activity design. The ToC provides a road map showing how the proposed set of interventions, in interaction with interventions or outcomes produced by other actors, will produce all the necessary and sufficient outcomes to achieve the goal of reducing acute malnutrition based on evidence and plausible logical reasoning. The applicant should develop and present a theory of change and accompanying narrative, which provides complementary documentation to the TOC diagram, based on the empirical evidence and specific to target group(s). All applicants should submit a brief ToC in their application and include the ToC diagram and detailed ToC narrative as an annex. This is an opportunity for applicants to demonstrate to FFP their initial thinking around the types of approaches and interventions that are likely to reduce acute malnutrition and to strengthen local formal and informal systems to adaptively manage and scale these in the long term.

Given the phased approach to the DFSA(s), and that there are known gaps in existing evidence for how to sustainably reduce acute malnutrition rates in the four target counties, FFP expects applicants to illustrate gaps and uncertainties in the ToC at the time of application. The identified gaps and uncertainties in the causal pathways should serve as the foundation for the research agenda to be undertaken in Phase 1. Therefore, before drafting the research and evidence-based design strategy, the applicant should develop a ToC based on existing empirical evidence on causal pathways for acute malnutrition and highlight the interventions, connections, and pathways within the ToC that are either unknown or require greater understanding within the specific geographies to be included in the DFSA.

Applicants may have ToCs with alternative causal pathways depending on their assessment of current evidence and gaps in evidence related to different subgroups that experience acute malnutrition (i.e. children 6-59 months, infants < 6 months, adolescent and adult women). Any alternative causal pathways for different subgroups or contexts should be highlighted or somehow differentiated in the diagram and explained in the accompanying documentation.

The ToC will be revised based on learning and evidence generated from Phase 1 activities. The ToC(s) should be developed based on evidence, independently confirmed and not strictly based on project reports. A few common research repositories include 3ie Impact Evaluation Repository and J-PAL's library of randomized evaluations. Papers published in peer-reviewed journals could also be used as sources. For more information, please see the FFP Policy and Guidance on Monitoring, Evaluation, and Reporting and TOPS' ToC Curriculum.

Logical Framework: All applicants must submit a brief Logical Framework (LogFrame) in their application and a detailed LogFrame matrix as an annex. The LogFrame includes higher-level results, such as goal, purpose, sub-purpose, and intermediate outcomes. As with the ToC, the LogFrame should be designed for the entire activity and will be revised near the end of Phase 1 based on the refined ToC. For more information, please see the FFP Policy and Guidance on Monitoring, Evaluation, and Reporting.

An applicant's LogFrame will include indicators to monitor and evaluate the performance of the activity. Applicants should keep in mind that FFP has a list of required and required if applicable performance indicators. These should be reviewed carefully during the development of an applicant's LogFrame. In general, only out*come* indicators are required for the LogFrame with the application; however, if an applicant chooses to include out*put* indicators, the use of FFP output indicators is preferred. FFP requires the successful applicant to submit a comprehensive LogFrame with all relevant indicators as outlined in the FFP Policy and Guidance on Monitoring, Evaluation, and Reporting with the Monitoring and Evaluation (M&E) Plan.

For target setting, applicants are only required to establish targets for higher-level impacts - usually key baseline indicators. Note that FFP uses population-based surveys to measure the performance of an activity. Therefore, the impact-level indicator targets must be linked to the target population and not only to the activity participants, context, food security, nutritional status, and the applicant's ToC. All life of award targets should be ambitious yet achievable. Nutrition and poverty reduction targets should be linked to FFP's targets: an annual average of 3 percentage point reduction of prevalence of underweight, and an annual average of 4

percentage point reduction of depth-of-poverty depending on the baseline. The prime objective of the DFSA(s) is to reduce persistently high acute malnutrition rates. As such, FFP aims to initially reduce and then maintain the Global Acute Malnutrition (GAM) rate[18] below the level of emergency thresholds (15 percent) at all times. To effectively transition from a normalized emergency or near emergency status, FFP hopes to eventually see rates below the GAM critical threshold (10 percent). These conservative targets[19] for higher level indicators reflect the challenging environment in which FFP awards are implemented, but should be possible to achieve, and possibly exceed, with sustainability. **Note**: FFP does not require applicants to submit an Indicator Performance Tracking Table (IPTT) as part of their application; successful applicants develop this tool during and after the M&E workshop. The M&E workshop is expected to take place 12-14 months after the start of Phase 1.

(3) Targeting

To reduce persistent acute malnutrition, it is important that FFP activities identify communities and groups of focus for Phase 1 that reflect the DFSA(s)'s goal of working with populations most affected by acute malnutrition.

Identification of sub-county geographies should be based on key data sources and country-specific methodologies centered on food insecurity and acute malnutrition (e.g. National Drought Management Authority (NDMA) long- and short-rains assessments,[20] historical and seasonal GAM rates,[21] Integrated Phase Classification, disease rates[22]).

Targeting strategies should reflect an understanding of those vulnerable to acute malnutrition, including extremely poor households; children under five years of age; infants under six months not exclusively breastfed; women of reproductive age (including pregnant and lactating women); orphans and vulnerable children; adolescent girls who become pregnant; the elderly and disabled.

(4) Research and Evidence-Based Design Strategy

Under the phased approach, rather than providing a traditional plan outlining their proposed technical interventions, applicants will instead submit a Research and Evidence-Based Design Strategy, which details the strategy and methods proposed for Phase 1 to understand the specific drivers of persistent acute malnutrition in the applicant's proposed implementation areas and how this information will be used to design effective interventions. As stated above in Section IV.1.c.2, FFP expects applicants to use the gaps and uncertainties in the causal pathways identified in the ToC to serve as the foundation for the priority areas of inquiry in this strategy. Critical components of the Research and Evidence-Based Design Strategy include the following:

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[18] The GAM rate should include all 6-59 month old children with a weight-for-height < -2 standard deviations of the WHO Child Growth Standards median as well as any children 6-59 months of age presenting with nutritional bi-pedal edema.
[19] Compared to BFS funded Feed the Future activities
[20] Government of Kenya/National Drought Management Authority (NDMA) Long and Short Rain Assessment Reports: http://www.ndma.go.ke/index.php/resource-center/category/28-long-short-rains-assessment-reports
[21] Government of Kenya/Ministry of Health Nutrition and Health Surveys: http://www.nutritionhealth.or.ke/nutrition-reports-on-maps/
[22] Government of Kenya/Ministry of Health Smart Surveys: http://www.nutritionhealth.or.ke/reports/smart-survey-reports/

- **Selection of specific target geographies, communities and/or people within the four target counties.** Applicants should explain the technical and operational criteria that influenced their choice of specific target areas. Selection criteria must include the prevalence and/or incidence of acute malnutrition. (Note: Applicants should refer to the targeting guidance provided within Section IV.C.3)
- **Phase 1 and Phase 2 timeline.** The proposed timeline must be clearly delineated and indicate when anticipated components, milestones, and/or deliverables of the activity will be completed. The level of detail for the Phase 1 timeline should be substantial and should provide a timeline by which to assess progress. The timeline should also include timing for key feedback loops and information sharing with stakeholders and participants (e.g. for communicating progress and challenges). The use of basic project planning software is encouraged.
- **Stakeholder Engagement Plan.** Applicants must also articulate a plan for identification and engagement of key stakeholders (i.e. USAID/GoK through the Technical Steering Committee; other organizations implementing in target geographies; community leaders; direct and indirect participants) during both phases of the activity, but with particular emphasis on collaboration with stakeholders throughout the research and design process during Phase 1. Applicants are strongly encouraged to review lessons learned from participant engagement strategies from Refine & Implement pilots (e.g. ensure that beneficiaries are treated as collaborators and active participants during research activities; balancing research and implementation timelines and methods to mitigate issues like survey fatigue).
- **Priority areas of inquiry and formative research methodologies.** As noted above, the initial ToC should identify outstanding questions and empirical gaps in knowledge related to the patterns and causes of acute malnutrition in the target geographies. In this section, applicants should provide rationale for these proposed areas of inquiry, explain their proposed research methodologies, and provide an abbreviated formative research scope of work that includes:
    a. **Key research questions:** Applicants are encouraged to deeply explore issues believed to affect acute malnutrition that are identified in their ToC(s) to be less than fully understood. Depth will depend on the issue being researched, but should be comprehensive (e.g. a comprehensive question on seasonality would be: *How does seasonality affect variations in IYCF practices? Are there differences in risk and vulnerability to acute malnutrition by season? By season of birth of children or season of weaning? How available are nutrient-dense foods by season, and what opportunities exist to expand access into typical lean seasons?)*
    b. **Methods/approaches**: USAID/FFP encourages use of rigorous, in-depth research methods that (1) will elucidate the specific drivers of acute malnutrition in the intervention area, and (2) will yield field-ready and field-viable results and information to inform a field-ready and field-viable design. Applicants are encouraged to explore and tailor methods/approaches to fit the objectives of research; some illustrative methods include ethnography and/or observational studies, phenomenological methods, interviews, time allocation analysis, quantitative analysis of secondary data.

c. **Data collection methods:** Applicants should describe their planned data/information collection methods, including sampling methods if survey-based methods will be employed.
d. **Data analysis plan:** Applicants are encouraged to identify how resulting data and information will be analyzed and used to generate useful, actionable insights to inform the transition plan and Phase 2 design.

- **Implementation Research Plan.** Early results from FFP's Refine and Implement DFSAs suggest that implementation research (e.g. pilots) can improve activity outcomes. Therefore, applicants are encouraged to consider their utility during Phase 1 of the Kenya DFSA. Applicants have the option to propose implementation research activities within their Research and Evidence-Based Design Strategy. If applicants determine that additional research is necessary prior to planning these activities, they are invited to explain how their anticipated research will inform the decision of which pilot activities, or other implementation research, may be undertaken. (Note: Applicants planning to conduct research that involves human subject testing will be expected to submit their research proposal to an Institutional Review Board (IRB) for protocols for review and approval. Applicants should demonstrate familiarity with the IRB process and should build IRB review into its project start-up timeline. Information on IRB review for Kenya is available through the Scientific and Ethics Review Unit of the Kenya Medical Research Institute (KEMRI) at www.kemri.org. Please also reference 22 CFR 225 and ADS 300 Standard Provision RAA6. Protection of the Individual as a Research Subject and ensure compliance with USG regulations.) If pilot activities are proposed for Year 1, applicants should include the following information as part of their strategy:
  a. **Implementation Research Description**
     - Applicants should provide a description of any proposed pilots or other implementation research, including purpose and goals, geographic scope, timeline, activities, number of anticipated participants, projected cost, and methodology to evaluate the outcomes and results.
  b. **Resource Justification**
     - Applicants should provide details of and justification for any cash or in-kind resources that will be needed for pilot activities during Phase 1. Applicants who propose a resource transfer to improve nutritional outcomes are encouraged to consider an evidence-based resource package of interventions including but not limited to in-kind food (i.e. specialized nutrition commodities), cash or food voucher, or any combination of those transfer types. Alternatively, applicants can propose no transfer, but intensive nutrition-specific and -sensitive interventions.
     - Details of how to address consumption gaps and/or asset depletion; specifically details on and justification for the proposed modality (i.e. in-kind, cash, and/or voucher). This includes the structure and logic of the resource seasonal transfer and how it will contribute to the award's objectives. Applicants must demonstrate that the chosen modality will be appropriate to market conditions across the areas of intervention.
     - Applicants are encouraged to review available market data including FEWS NET assessments.[23] When either conditional or unconditional cash transfers are

[23] FEWS NET Kenya Enhanced Market Analysis September 2018.

proposed to address asset depletion, applicants should provide details outlining how work norms and transfer value will be structured to ensure compensation is sufficient to address the consumption gap based on local market prices. Partners are encouraged to justify modality and resource transfers in alignment with the Food for Peace Modality Decision Tool.

- **Phase 1 Evaluation Plan.** Applicants must articulate a methodology and timeline for evaluating the results of the formative and implementation activities during Phase 1. This narrative should provide a clear vision and benchmark for 'success.'
- **Evidence-Based Design Plan.** Applicants should explain how the information gathered through Phase 1's formative research, implementation research, and consultative activities will be used to inform the Phase 2 design. This should provide illustrative examples of the decision points that will be informed by the proposed areas of research.

(5) Institutional and Local System Strengthening Strategy

Consistent with USAID's commitment to the journey to self-reliance, USAID's focus in Kenya is on supporting host country institutions to own and lead development initiatives. As described in Section 1.C "Phased Approach and Implementation Strategy," during Phase 1, the DFSA(s) will work closely with the Technical Steering Committee, which includes GoK officials, to design effective interventions that work with and through government institutions to address acute malnutrition in the ASALs. Likewise, a key objective of Phase 2 will be strengthening both formal and informal systems and institutions based on Phase 1 research findings (e.g. prioritization of particular systems, service providers, government bodies for leadership and institutional strengthening).

Recognizing that the Institutional and Local System Strengthening Strategy will be refined and expanded during Phase 1, at the application stage, applicants must provide a plan for institutional strengthening and capacity building that demonstrates understanding of: (1) the roles of key players within nutrition, health, and related public, private and formal and informal systems in the ASALs, (2) the partner's role in supporting the GoK and other relevant systems to own, lead, champion, and manage the Phase 1 results and activity design; (3) promising and innovative practices for formal and informal institutional strengthening and capacity building; and (4) key metrics to evaluate success of capacity-building methods.

Awardees should anticipate providing an updated Institutional and Local System Strengthening Strategy as part of the Phase 2 Transition Plan. FFP anticipates that the strategy will form the basis of a handover and exit strategy at the end of the award, including roles and responsibilities, budgeting, Memorandums of Understanding, timelines, and other relevant components.

Cross-Cutting Issues for Activity Design

The partner's overall design approach should reflect particular understanding and incorporation of the Kenya-specific Guiding Principles (Note: See Section 1.E). The following cross-cutting issues are fundamental to FFP programming globally and should also be reflected in the partner's application.

Gender Equity and Integration: Applicants must consider gender throughout the application. Integration of a gender sensitive approach must be context-appropriate and reflected throughout the activity. Female empowerment—promoting women and girls' self-determination—and transforming gender relations for the better are equally vital for attaining equitable food security that will be sustained over time. Factors demonstrating gender integration include, but are not necessarily limited to:

- Examples of how gender and age dynamics and roles could affect interventions and outcomes at key steps in the proposed ToC;
- Recognition of the potential impact—positive or negative—of interventions on access to and control over resources and benefits for girls, boys, women, or men, and how any negative consequences will be avoided or mitigated;
- Consideration of how proposed interventions could affect women's time use and how this will be taken into account in planning interventions (e.g. mothers' participation resulting in less time for childcare);
- Plans for how the activity will ensure equitable participation and input from women and men from different age and socio-economic groups, with examples for different technical interventions;
- Anticipation of how interventions could lead to, exacerbate, or affect gender-based violence at the household and community level and the steps the activity will take to prevent or mitigate its occurrence, should it occur; and
- How interventions will be tracked over time to ascertain any unintended consequences related to gender and gender-based violence.

The applicant must describe how the gender analysis results will be integrated into interventions and how gender changes, including unanticipated outcomes, will be tracked over time. For more information, see the Technical Reference on Gender.

Environmental, Disaster Risk Reduction and Natural Resources Risk Management: Risks emanating from natural resources-based shocks—such as geological hazards, extreme weather events, and a changing climate—are compounded by underlying levels of local environmental degradation. Addressing these risks in an integrated manner is essential to enhancing resilient systems and communities supported by USAID. In accordance with the FFP Strategy, applicants must consider these nature-based risks throughout each section of the application.

It is important that applicants consider interventions that strengthen people's capacity to anticipate, cope, and recover from future shocks by addressing the underlying causes of those disasters. Contributing stressors include lack of knowledge, unplanned urbanization, and environmental degradation. Further, applicants are encouraged to use risk-sensitive approaches for all interventions whereby key risks, hazards, and mitigation strategies are identified and integrated into the overall activity design. Interventions should not only meet immediate needs but also strengthen the ability of people to handle future crises particularly as it pertains to acute malnutrition.

Social and Behavior Change (SBC): SBC is the systematic application of iterative, theory-based, and research-driven processes and strategies for change at the individual, community, and social levels. FFP recognizes that social and behavior change is critical to achieving the overall goals of the DFSA(s). Future SBC programming should be developed through an evidence-based, participant-centered process. This process will include, at minimum, a behavior-focused element and a social change element. The behavior element should include the identification of a manageable number of key behaviors and audiences, selection of a behavior change framework to guide programming, discernment of the behavioral factors that influence each behavior, and development of a variety of evidence-based interventions. The social change element should build on local knowledge and facilitate community problem-solving. SBC interventions should leverage existing community networks and resources should and move beyond messaging to catalyze lasting change.

FFP recently funded the Food and Nutrition Technical Assistance (FANTA) project to conduct a review[24] of SBC approaches and methods in eleven DFSAs to identify which approaches were used by current and recent DFSAs and the common strengths and weaknesses in the implementation of the SBC activities, as well as the quality of implementation. Among the key findings, FANTA noted a heavy focus on delivering messages rather than engaging people in a process of learning to solve problems or develop new skills, with limited attention placed on adult-learning and dialogic techniques and lack of other evidence based approaches such as community mobilization and advocacy. FANTA found that the quality of interpersonal communication (e.g. counseling) deteriorates at the community level and was the most notable weakness of DFSAs, despite the fact that interpersonal communication was the most widely utilized SBC approach. Applicants are strongly encouraged to take into consideration the findings and recommendations of the review.

Youth Empowerment: Where appropriate for project objectives, FFP promotes a focus on young people as positive change agents who bring creativity, energy, commitment, and novel perspectives to understanding and addressing food insecurity in their communities. Applicants are encouraged to pursue positive youth development strategies, that view young people as key partners in all development efforts, from nutritional programming to strengthening agricultural markets and building food secure communities.[25] Programming should take into account the disparities and constraints faced by the different youth cohorts related to participation in the agriculture/food system and, as well the differing nutritional needs by gender, age and life situation.[26] In particular, applicants should consider approaches that aim to:

- Promote active engagement of young people in all phases of the initiative;
- Empower young women without disenfranchising young men;
- Strengthen relations and build ties among youth across identities and socio-economic distinctions;

[24] FANTA Project (2018) Report on a Review of Social and Behavior Change Methods and Approaches within Food for Peace Development Food Security Activities.
[25] http://www.youthpower.org/positive-youth-development
[26] These stages are: Early Adolescence (10-14 years); Adolescence (15--19 years); Emerging Adulthood (20--24 years); Transition into Adulthood (25--29 years). See Annex A: Factors for Selectivity and Focus of the USAID Youth in Development Policy for a description of these life stages.

- Recognize that youth are not all the same; life context and differences such as gender, marital status, societal place, ethnicity, economic class, and other identity factors should be taken into account in all programming;
- Promote intergenerational dialogue and encourage improved standing and better relations for youth and young adults within their families and their communities;
- Respect the agency and aspirations of youth and young adults; and
- Give thought to the increased risk of exploitation for the young, and advocate for their fair compensation and safe working conditions.

FFP encourages applicants to use Participatory Learning and Action tools to guide youth participation. Approaches that engage youth in community problem-solving, create leadership opportunities for youth, especially in initiating community dialogue, and strengthen social ties between youth, their families, and communities, are highly encouraged.

The USAID Youth in Development Policy defines youth as a lifestage marking the transition to adulthood and recognizes that this phase varies by cultural and country contexts. USAID youth development programs tend to focus on the 15-24 age range, as this is the standard definition used by key multilaterals; however, the policy notes that USAID programs are "likely to engage individuals aged 10-29 as broader youth cohort." Meanwhile, the 2010 Kenya Constitution defines youth as ages 18-35. Within these parameters, it is at applicants' discretion to define the age range that constitutes "youth."

Layering, Sequencing, and Integration of Interventions: Acute malnutrition is a complex phenomenon. Sustainable reduction of acute malnutrition rates will likely require an approach that addresses multiple drivers of malnutrition and purposefully works across multiple levels of analysis (individual, household, and community). Creating a transformational and sustainable impact will require cross-sectoral collaboration, precise targeting, and thoughtful layering and sequencing of interventions.

It is anticipated that the DFSA(s) will largely focus on preventing acute malnutrition, with particular attention on addressing its underlying drivers. While addressing this problem may require the DFSA(s) to support existing treatment programming, the DFSAs should avoid creating parallel service delivery systems and ensure that prevention and treatment efforts work in tandem.

Within the Research and Evidence-Based Design Strategy, applicants must reflect how, during Phase 1, they will design activities using a targeted, participant-centered intervention strategy tailored to individuals' needs and strengths that facilitates delivery of multiple types of support to each household, and builds community assets based on the ToC for all participants who need multiple services. Applicants should also demonstrate how they will design a package of prioritized and focused interventions that will work together to address the most critical needs through both direct service provision, and working to strengthen the capacities of systems that support the participants and the communities.
While the activity may provide most of the services to the direct participants, the applicant will be responsible for demonstrating change at the population level—meaning all households (both direct participants and non-participants) in the target area would benefit from the proposed

activity. For this reason, the baseline study and final evaluation surveys will be conducted at the population level. Promoting secondary adoption would require: (a) targeting a critical mass so that others can easily see the benefits and adopt and (b) implementing a set of dedicated strategies to promote secondary adoption.

Applicants are encouraged to utilize and build on existing platforms and single registry systems for participant registration and tracking (e.g. national ID systems, and the GoK's Single Registry[27]). If such systems are unavailable, applicants may propose a cost-effective and efficient participant registration and tracking system that will enable cross-sectoral coordination at the participant level and verification of service delivery throughout the life of the award. This system should also facilitate tracking the "number of direct participating households receiving multiple interventions by sector, including community assets built" as required by FFP.

Sustainability and Exit Strategies: Applicants must develop and present thorough and realistic sustainability and exit strategies that will result in lasting change. Applicants are requested to integrate the sustainability strategy within the Research and Evidence-Based Design Strategy and the Institutional and Local System Strengthening Strategy. The sustainability strategy should identify the outcomes that are to be sustained, critical services and systems that are necessary to sustain them, and strategies to strengthen the service delivery systems to ensure that they continue into the future. Applicants should refer to language within the program description, application instructions, and evaluation criteria on the Phase 2 objectives of institutional strengthening and capacity building for the particular sustainability and exit strategies envisioned for this activity. These strategies should ensure that host country partners, the private sector, local government, and participants take ownership of their development processes to sustain the critical services and programmatic outcomes. Efforts to achieve these ends must be incorporated into the activity design at every level, and for any specific tangible resource transfer the activity plans to provide to participants.

FFP encourages applicants to review the Sustaining Development: A Synthesis of Results from a Four-Country Study of Sustainability and Exit Strategies among Development Food Assistance Projects paper and the four case studies to develop the sustainability strategy. The study identified four factors that are critical to sustain service delivery, access to services, and demand for services that contribute to sustained behavioral outcomes. The four factors include resources, capacities, motivation, and linkages. The study highlights the importance of the linkage between community-based organizations and existing public or private institutions to access capacity strengthening support.

The sustainability and exit strategy should include interventions to build capacity of host country entities, whether private or public, as well as leverage investments of key stakeholders to ensure basic services are sustained once the activity withdraws support. Applicants should present an understanding of the local, regional, and national systems and identify areas where the activity will produce the desired outcomes to promote sustainability. Applicants should use their ToC to map out the interventions and outcomes not only to show how the outcome level changes will be achieved, but also interventions to sustain them. The sustainability strategy

[27] Government of Kenya, Social Protection Secretariat (SPS), Single Registry System: http://www.socialprotection.or.ke/single-registry

should address all issues pertaining to phase down, handover, or termination of FFP-resourced interventions. Considering that not all strategies, interventions, and partnerships will be identified until after implementation is underway, any feedback loops that will inform refinements in post-award design should be presented.

Note: If volunteers are included as service providers, applicants must understand and outline how to address the motivation of volunteers to deliver and continue to deliver high quality services to the target communities or households. The use of volunteers should also address gender concerns, understanding that women volunteers may already be marginalized and the impact of any additional unpaid work, and that women's time burden can be negatively impacted by reliance on volunteer labor for crucial service delivery.

Applicants are reminded that FFP will employ external evaluators to conduct either an impact evaluation using randomized control trial or a performance evaluation using baseline and endline population-based surveys, reflecting the expectation that impacts extend well beyond specific participant households. Participatory development, where communities are empowered to take ownership of intervention activities, should be an important aspect of all proposed interventions and a guiding principle over the duration of the proposed activity. Individual interventions should be designed to be self-financing and self-transferring both during and after the activity in order to reach indirect participants, who are needed to achieve real, and measurable, community impact. FFP expects that a significant proportion of the population will adopt and adapt these models, helping to improve both sustainability and impact of the interventions.

Addressing Resilience Challenges: USAID Kenya's PREG initiative is committed to strengthening the resilience of individuals, households, communities, and systems to mitigate, adapt to and recover from shocks and stresses. The DFSA(s) should align with PREG by addressing those drivers of chronic vulnerability that contribute to acute malnutrition in the ASALs. Applicants must identify and address causes of chronic vulnerability that are linked to acute malnutrition. Particular focus on climate- and health-related shocks and stresses may be warranted.

d) Management and Staffing (12 pages maximum)

(1) Management Structure

The application must detail a management structure that ensures the efficient use of resources, as well as effective and adaptive management, strong technical implementation, and administrative support. The management structure must demonstrate the necessary technical competencies to design and implement a multi-sectoral activity which includes rigorous research, systems-driven approaches, and institutional strengthening. The applicant must explain the management structure presented in the organizational chart; personnel management of expatriate and local staff; and lines of authority and communications between organizations and staff.

For sub-awardees or consortium models, applicants must describe how the partnerships will be organized and managed to use complementary capabilities most effectively. Applicants must specify the responsibilities of all principal organizations and the rationale for their selection (i.e. organizational strengths and weaknesses, technical expertise, etc.); proposed staff and reporting relationships within and between each of these organizations; and how the consortium will be structured to ensure cohesive and coordinated knowledge sharing, planning, decision-making, and implementation across roles and organizational boundaries. Letters of commitment from consortium members must be included.

To demonstrate adaptive management in staffing plans, consider if and how:

- Staffing and staffing structure needs will evolve over time;
- The particular roles, skills, and time allocations of staff members may shift; and
- The most effective management structure may change multiple times over the course of an activity.

For the Kenya DFSA, applicants are required to clearly demonstrate technical and management capacity to (1) perform rigorous, in-depth research to assess, at the sub-county level, the drivers of persistent acute malnutrition, (2) craft a technical approach that is sensitive to local variation in those drivers; (3) pilot and assess that strategy; and (4) use this experience and evidence to adapt and improve it. Successful applications will include a robust learning and evidence-based adaptive management strategy.

The applicant must demonstrate the degree to which the applicant and all proposed consortium members or sub-awardees possess the management systems to plan, implement and support the complex pathways and interventions as reflected earlier in Section IV. The applicant must explain the management structure presented in the organizational chart; personnel management of expatriate and local staff; and lines of authority and communications between organizations and staff.

(2) Management Approach

In addition to the management structure and institutional capacity, applicants must explain how their management approach will ensure holistic, integrated, and adaptive management. This must include a description of:

- Planned consortium management approaches and processes that will foster integrated activity planning, implementation, and coordination within the proposed award. The applicant should also describe approaches to collaboration with other FFP-funded activities working in the same country, as applicable, and with other external stakeholders, including government partners, other donor funded activities, private sector actors, local partners, and other change agents.
- Adaptive management approaches that will enable feedback cycles that foster experiential learning and analysis of data from assessments, surveys, research, and routine monitoring, as well as scenario planning around activity responses to anticipated

shocks and/or changes in the political, social, environmental, or market context. The applicant should describe the management processes that will enable the application of analysis and learning in adjustments to the ToC and other design elements, adaptations to ongoing implementation and management strategies, and updates to learning strategies and plans. See Activity Learning Plan, Annex 11.

- Performance management strategies that measure the effectiveness and efficiency of proposed interventions, and how these interventions contribute to achieve the intended outcomes in a sustainable fashion. Understanding that the best designed activities will have very limited impact without quality implementation, performance management strategies should include a description of how the applicant will monitor for, identify, and, through linkages with adaptive management strategies, address implementation quality issues throughout the life of the award.

(3) Staffing and Key Personnel

Applicants must provide a comprehensive staffing plan that demonstrates the ability to recruit highly qualified, technical, managerial, M&E, commodity management, and learning staff that will be sufficient to implement the proposed interventions outlined in the Technical Approach and Management Approach sections of the application. The staffing plan should demonstrate:

- Staff with substantive experience with both development food security and emergency nutrition activities.
- Necessary staff skills should include adaptive management, integration and coordination, stakeholder engagement, community-level governance and planning, SBC, facilitation, and conflict mitigation, nutrition, applied research, and evidence-based design.

Key Personnel

Six Key Personnel are envisioned under the RFA, which represents less than five percent of the anticipated number of employees in each award, based on an analysis of comparable current awards. The Key Personnel include: Chief of Party (COP), Research and Design Lead, Strategic Learning Lead, System Strengthening and Institutionalization Lead, Gender, Youth, and Social Dynamics Lead, and M&E Lead. Each key personnel position requires USAID approval as noted in the substantial involvement provision in Section II – Federal Award Information, 5. Substantial Involvement. All key personnel are intended to be full-time positions (40-hour work week) throughout the life of the award; however, if applicants anticipate all positions are not necessary at 100 percent level of effort (LoE) for the entire life of the award, applicants may propose and justify a key personnel plan with varying LoE for applicable positions. Required attributes for all key personnel include strong management and interpersonal skills, excellent oral and written communication skills in English and other language(s) as required, mentoring and facilitation skills, the ability to network and communicate with a wide range of stakeholders, and experience working overseas in low-resource environments. At least one Key Personnel should also have, at minimum, a master's degree in a nutrition-related field and at least five years of professional experience in nutrition programming.

<u>Chief of Party (COP)</u>: The COP is responsible for the overall management and representation of the activity. For management, the COP must have proven leadership skills and experience

managing projects of a similar scale in developing countries. The COP should have demonstrated experience recruiting, developing, and managing staff, as well as experience managing programmatic and financial reporting. As the person responsible for the representation of the activity, the COP must have demonstrated ability to build and maintain relationships with host governments, donors, other donor-funded projects and stakeholders, local organizations, and partners. S/he must understand and demonstrate commitment to the importance of gender and youth issues in food security programming and within staff and management of the activity. Demonstrated experience in adaptive management and learning techniques is highly encouraged. A master's degree in a relevant field (e.g. development studies, international relations, agriculture, nutrition, public health, business administration) and a minimum of 10 years of progressively increasing management responsibility is required.

Research and Design Lead: During Phase 1 of the award, the Research and Design Lead will provide technical leadership to formative research activities, refinement of the ToC, and development of a locally adapted programmatic approach to reducing acute malnutrition. S/he will be responsible for ensuring the appropriateness and rigor of research methods, overseeing data collection and analysis, and ensuring research results are useful and applicable for making program design decisions, particularly to inform the Phase 2 transition plan. During Phase 2 of the award, the Research and Design lead will ensure (1) that Phase 1 research and pilot findings are incorporated into sound programmatic design, and (2) that program quality standards and rigor are adhered to. Responsibilities throughout the award will include coordination and collaboration with research staff, the Technical Steering Committee, and other GoK and USAID stakeholders and partners. The Research and Design Lead should have an in-depth understanding of applicable research methods and project design. S/he will work closely with the Strategic Learning Lead and M&E Leads to ensure intentional learning and knowledge application throughout all phases of this activity. Technical expertise in a relevant field with an advanced degree (PhD or master's) is required. Significant field experience in research, design, and evaluation is desired.

Strategic Learning Lead: The Strategic Learning Lead will work closely with the Research and Design Lead and the M&E lead to ensure collaboration and learning across all projects in the applicants selected implementation area. This includes but is not limited to USG, host country government, multilateral organizations, and private sector investments. S/he, in collaboration with the Research and Design Lead, will play a critical role in translating formative and implementation research findings (Phase 1) into an evidence-based activity design for the Phase 2 Transition Plan and for Phase 2 implementation. The Strategic Learning Lead will also ensure the activity includes active, intentional, and adaptive learning within and across its multi-sectoral activities. Additionally, the Strategic Learning Lead will improve peer-to-peer learning, knowledge sharing and application, activity-based capacity strengthening, evidence and data utilization, and CLA. A bachelor's degree and a minimum of five years relevant experience or an advanced degree (PhD or master's) plus a minimum of three years relevant work experience is required.

System Strengthening and Institutionalization Lead: The System Strengthening and Institutionalization Lead will be responsible for (1) building effective working relationships with government ministries, county-level organizations and officials, and local institutions; (2)

providing technical leadership and management in the development and execution of systems-strengthening and capacity-building efforts; and (3) ensuring close consultation and incorporation of ongoing feedback from relevant officials over the life of the DFSA. The System Strengthening and Institutionalization Lead should also have successful record of providing technical assistance to government and community entities relevant to this activity. A bachelor's degree plus a minimum of seven years relevant work experience or a master's degree and a minimum of five years relevant experience required.

Gender, Youth, and Social Dynamics Lead (GYSD): GYSD Lead will ensure that the social dimensions of malnutrition, food security, and community resilience are effectively addressed across all activity components, at all levels, throughout the entire award period. Attention to social dynamics, in particular gender and youth integration, is critical to realizing FFP intended outcomes. The GYSD Lead should have an in-depth understanding of gender, age, and other locally significant socio-cultural factors in the context of food security programming and a demonstrated capacity to lead the collection, analysis, and utilization of information from a broad range of sources. The GYSD Lead should also have skills in participatory learning and action and facilitating collaborative problem solving; the ability to foster commitment and build capacity among activity staff and in-country actors to ensure gender and youth integration and empowerment; and an in-depth understanding of food security programming. A bachelor's degree in a relevant academic area—e.g. a social science discipline—plus 7 years of field experience at the community level is required.

M&E Lead: The M&E Lead will provide technical expertise and leadership to generate and analyze quality evidence and data through monitoring, assessments, and evaluations. The M&E Lead is a technician with demonstrated experience in building or strengthening monitoring systems, quantitative and qualitative analysis, survey and sample design and effectively promoting evidence-based program management. A master's degree in a relevant field (economics, agricultural/development economics, statistics, biostatistics; nutrition, applied sociology, anthropology, or other relevant subject) with significant training in quantitative methods plus eight years relevant experience, or a PhD in any of the stated field of study above, with at least six years relevant work experience is required. Additional required qualifications include demonstrated experience in leading the M&E of a large award, knowledge about ToCs, logic models, food and nutrition security indicators, data quality assurance, data utilization, and gender integration into M&E and experience and expertise in developing and operationalizing a comprehensive monitoring and evaluation plan (please see the FFP Policy and Guidance for Monitoring, Evaluation, and Reporting for the components of an M&E plan).

During the issues letter phase, applicants may be requested to identify and provide Curriculum Vitaes (CV) for other key technical staff.

(4) Resource Management

Applicants must include a logistical management overview of the proposed resource transfers. In-kind resource transfers: Applicants proposing in-kind commodities for implementation research activities during Phase 1 must provide details on the ration amount, how this amount was derived, delivery mechanisms demonstrating feasibility of the approach relative to the scale.

Specific consideration should be given to proximity of distribution sites, security, and risk management. Staffing should reflect adequate support for technical delivery of resource transfers. Additionally, applicants proposing to include in-kind commodities should address commodity-related issues concerning direct distribution. This includes, but is not limited to, commodity requests, commodity substitutions (if select planned commodities are not available from the U.S. or through local, regional, and international procurement (LRP)), certifying commodities meet programmatic and/or contractual specifications and requirements, port/warehouse/road/rail infrastructure, commodity management, including fumigation, and commodity transportation (including inland and internal transport). The applicant must include an Annual Estimate of Requirements, Ration Calculator, Executive Summary Table, and Commodity Pipeline for Title II commodities, i.e., data entered in the Food for Peace Management Information System (FFPMIS). In addition, LRP interventions should describe the proposed procurement process (including relevant source and origin information), safety and quality assurance, and a guarantee that the FFP LRP policy will be adhered to. Commodity distributions need to be planned and implemented in accordance with the relevant Food for Peace Information Bulletins (FFPIBs) and policies and regulations. Staffing should reflect adequate support for technical delivery of resource transfers.

Cash or Vouchers: Applicants proposing cash and/or vouchers for implementation research activities during Phase 1 must provide details on the transfer amount, how this amount was derived, delivery mechanisms demonstrating feasibility of the approach relative to the scale. Specific consideration should be given to proximity of outlets (cash or retailers), liquidity, security, and risk management. *Staffing should reflect adequate support for technical delivery of resource transfers.*

(5) Risk Management

Applicant must discuss the local market factors and potential risks that may result from distribution of U.S. or LRP in-kind commodities, and/or cash/vouchers. Additionally, applicants must complete an assessment of risk as it relates to the proposed modalities and physical security of participants and relevant mitigation measures. Specifically, the assessment should examine potential risk related to fraud, corruption, and mismanagement. Applicants should demonstrate that due consideration has been given to ensuring the security and protection of all participants, especially with respect to: timing and location of distributions; amount of food or cash transfers or value of food vouchers of which participants will take possession; person(s) responsible for pickup; distance to distribution sites, etc. This assessment will be included as a Annex 12. A sample risk matrix from The Remote Cash Project can be found on the The Cash Learning Partnership (CALP) website. Additionally, the USAID Office of Inspector General has a fraud prevention and compliance guide.

Information on the status of the Host Country Agreement for Title II funded activities must be included under management and logistics as well. Please see Section VIII – Other Information, 2. Host Country Agreement.

e) Organizational Capability (7 pages maximum)

The applicant should demonstrate how the organization and any sub-awardee(s) are uniquely qualified to execute research, collaboratively design, and implement a multi-sectoral development activity focused on the reduction of acute malnutrition. Applicants should pay particular attention to demonstrating key capabilities in relevant research methodologies, as well as an incorporation of the context, government, and field application into research goals. Applicants should exhibit an ability to adapt approaches based on learning, experience, and inputs from internal and external research, evaluation, and learning efforts.

The applicant should also clearly show expertise and capabilities for systems-driven approaches and institutional strengthening efforts. The applicant should describe its capabilities and institutional expertise in providing technical assistance to government and community entities relevant to this activity. The applicant should include lessons learned and how these would be applied to the DFSA. The applicant should also demonstrate its capabilities to establish effective working relationships with government ministries, county-level organizations and officials, and local institutions and demonstrate how this has worked for and/or against the achievement of expected results.

Applicants must specify the responsibilities of all principal organizations and the rationale for their selection (i.e. organizational strengths and weaknesses, technical expertise, etc.). The applicant should also provide relevant information on the applicant's ability to attract and retain high-quality Key Personnel for the duration of its activity.

f) Cost Application (no page limit)

The cost application must be submitted in FFPMIS as a separate document 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 cost application must illustrate the entire period of performance, using the budget format shown in the SF-424A and include a comprehensive budget, detailed budget, and budget narrative. Standard Forms, including the SF-424, SF-424A and SF-424B; can be accessed electronically at www.grants.gov. Failure to accurately complete these forms could result in the rejection of the application. Note that a detailed budget is expected for all five years of the award. It is expected however, that budgets for years 3-5 (Phase 2) will be modified and updated at the time of the Phase 2 transition plan to reflect research findings and Phase 2 activity priorities. For more information on the cost application, please see Section V. Application Review 2. Review of cost application. Cost applications include the Executive Summary Table, general budgets such as the SF-424, SF-424A, SF-424B, a comprehensive budget, detailed budget, and budget narrative and must be submitted into FFPMIS separately from the technical application portion. Cost applications (i.e., budget components) are not subject to the page limitation of the application, and will not be evaluated alongside the technical application. Cost applications must be in U.S. dollars only and include budget details as described below for the applicant, each member of the consortium (if applicable), sub-awardees, and/or sub-contractors. While maintaining activity quality, applicants should seek to minimize their administrative and support costs for managing the activity to maximize the funding available for interventions. More details on the budget annexes can be

found in Section IV. Application and Submission Information 1. Application Format g) Annexes.

Entering Cash, Voucher and LRP information on FFPMIS: Please note, for applications requesting enhanced Section 202(e) and CDF resources, the following information is required: month, country, total request amount, program area or element, intervention (the intervention should be put in the activity column) fund type, and modality. If requesting LRP, the following information is required: country, region/sub-region, commodity, country of purchase, country of origin, commodity MT amount, commodity amount, transportation, storage, and distribution costs.

g) Environmental Compliance (Including Climate Risk Management)

USAID requires both an environmental impact assessment procedure (as codified in 22 CFR 216, Agency Environmental Procedures) and Climate Risk Management for USAID Projects and Activities (as required by ADS 201mal). FFP requirements for this solicitation are defined in the FY19 FFP RFA-level Initial Environmental Examination (RFA-IEE) which described the overall compliance strategy for both pre-award (i.e., during applicant activity design) and post-award for the development food security activities.

At this pre-award stage, all applicants must submit a brief summary of how their proposed activity will meet these requirements in a four-page Environmental Safeguards Plan, as elaborated in Annex 9.

This section of the application should form the initial foundation for the Phase 2 Transition Plan. In doing so, should lay the groundwork for a clear environmental and climate risk management strategy, as articulated in the activity-level IEE revised by the awardee for Phase 2.

h) Application Annexes

The following is a list of annexes that must be included with the application. Any additional information provided in an annex will be considered supplemental and not considered in the scoring of the application. Please note, applicants may submit additional annexes as supporting documentation. Annexes, beyond those required below, do not replace the required elements listed under activity description.

Application Annex Types	**Methodology**
1. Executive Summary Table for the Award	Data Entered on FFPMIS
2. Comprehensive Budget	Uploaded into FFPMIS
3. Detailed Budget	Uploaded into FFPMIS
4. Budget Narrative - Motor Vehicle Procurement Table	Uploaded into FFPMIS

5. Negotiated Indirect Cost Rate Agreement (NICRA)	Uploaded into FFPMIS
6. Ration Calculator, Annual Estimate of Requirements, Commodity Pipeline, Section 202(e), ITSH, and/or CDF cash funding request (if relevant)	Data Entered on FFPMIS
7. Log Frame, ToC diagram, and ToC narrative, which provides complementary documentation to the TOC diagram (upload the LogFrame as one document and the ToC diagram as the other in lieu of the Results Framework & IPTT) six page maximum for ToC narrative	Uploaded into FFPMIS
8. Gender Analysis Summary four pages maximum	Uploaded into FFPMIS
9. Environmental Safeguards Plan four pages maximum	Uploaded into FFPMIS
10. Abridged Monitoring & Evaluation Plan five pages maximum	Uploaded into FFPMIS
11. Activity Learning Plan five pages maximum	Uploaded into FFPMIS
12. Risk Assessment and Mitigation Plan	Uploaded into FFPMIS
13. Intervention Area Map(s)	Uploaded into FFPMIS
14. Applicant Organizational Chart (and information on consortium or sub-awardee structure, if applicable)	Uploaded into FFPMIS
15. CVs for Chief of Party, Research and Design Lead, Strategic Learning Lead, Systems Strengthening and Institutionalization Lead, GYSD Lead, and M&E Lead	Uploaded into FFPMIS
16. Letter(s) of Commitment, if applicable	Uploaded into FFPMIS
17. Glossary and List of Acronyms	Uploaded into FFPMIS
18. **For Apparently Successful Applicants Only**: Past Performance Supporting Documentation, including the Past Performance Reference Questionnaire (Appendix II)	Uploaded into FFPMIS

Annex 1. Executive Summary Table: Separate from the Executive Summary, an Executive Summary Table must be submitted through FFPMIS. It captures dollar amounts of the proposed Title II commodity resources, if any, and various funding for the life of the award.

Annex 2. Comprehensive Budget: The comprehensive budget must incorporate all planned costs by object class category, and funding type (funding source) for each year of the activity. Object class categories are logical groupings of costs, such as staff salaries, fringe benefits, travel, capital equipment, supplies, and indirect costs. The comprehensive budget must list

funding types for each program area or element the partner proposes interventions within (see Appendix I for definitions). All costs must also be associated with an applicable funding source.

Annex 3. Detailed Budget: A suggested budget format is available on the FFP website. All budgets must be completed on a fiscal year basis. Applicants may use budget formats they have developed that contain the requested information or use budget formats, as appropriate, from other sources such as grants.gov. If reimbursement for inland transport charges will be requested, include in the detailed budget an estimate of total U.S. dollars needed for inland transport. If this information is not yet available, please include the estimate and state in the budget narrative when the information will be submitted to FFP. Please note that, per ADS303maw (*USAID Implementation of Construction Activities*), construction activities must be detailed as an explicit section within the budget and budget narrative, see Section V. Application Review 2. Review of Cost Application m) Construction, for more details on construction requirements under cooperative agreements. Note that per ADS 312, for restricted goods, the applicant must ensure that they are identified in each budget and follow up with any approvals, as required. Note that a detailed budget is expected for all five years of the award. It is expected however, that budgets for years 3-5 (Phase 2) will be modified and updated at the time of the Phase 2 transition plan to reflect research findings and Phase 2 activity priorities.

Annex 4. Budget Narrative: The budget narrative justifies proposed expenses and explains how costs were estimated. Applicants must provide their rationale for cost development, such as the methodology and assumptions used to determine individual costs. For ease of review, budget narratives must follow the order of line items in the detailed budget and should contain clear explanations. The budget narrative should include the motor vehicle procurement table, which should cover the information listed in Section VIII, paragraph 3.

Annex 5. Negotiated Indirect Cost Rate Agreement (NICRA): If applicable, please include the most recent USG-issued NICRA.

Annex 6. Annual Estimate of Requirements and Commodity Pipeline and/or enhanced Section 202(e) and CDF cash funding request: If applicable, enter an annual estimate of requirements and commodity pipeline into FFPMIS for enhanced Section 202(e), CDF, ITSH, inland freight and/or ocean freight.

Annex 7. Log Frame, ToC Diagram, and ToC narrative/complementary documentation: The LogFrame consists of a matrix with four columns (identified below) and many rows, summarizing the key elements of the activity, namely:

a) Narrative summary: The activity's hierarchy of objectives (Goal, Purpose, Sub-purpose, Intermediate Outcome, and Outputs);

b) Assumptions: The conditions external to the proposed activity but necessary to achieve results, contextual environment, and key external factors critical to success;

c) Indicators with targets: How the activity's achievements will be monitored and evaluated. In identifying indicators, applicants must review the FFP Indicators. Only out*come* indicators are

required for the LogFrame with the application; however, if an applicant chooses to include out*put* indicators, the use of FFP output indicators is preferred. Applicants must provide targets only for baseline/evaluation indicators. These targets must be linked to the context, food security and nutritional analyses, and the ToC. Applicants' targets have to be ambitious yet achievable and linked to FFP's targets. Depending on the baseline survey results, FFP aims to achieve a minimum of 3 to 4 percentage point annual reduction of prevalence of underweight, a minimum of 4 percentage annual reduction of depth-of-poverty from baseline to endline, and monthly monitoring/nutritional surveillance demonstrating that wasting rates[28] are initially reduced and maintained below the level of emergency thresholds (15 percent) at all times. To effectively transition from a normalized emergency or near emergency status, FFP hopes to eventually see rates below the GAM critical threshold (10 percent). For all other indicators, targets must be ambitious yet achievable.

d) Data sources: Where the indicator data will come from and when it will be collected.

ToC Diagram contains a set of diagrams that use shapes, text, color and directional arrows to show the hypothesized pathways of change from intervention Outputs through resulting Outcomes to the long-term Goal, plus the critical rationales and assumptions underlying the ToC.

The ToC narrative provides complementary documentation to the ToC diagram. It need not be written to be understood as a stand-alone document, without the ToC diagrams. Instead, it should add information that is not easily communicated graphically or expressed in a few words on a diagram. It should provide reference to the evidence that was used to develop the ToC. It should also help the external reader understand the awardee's degree of certainty that the pathways portrayed in the diagrams will occur and identify conditions that could be threats to progress along the pathways. It can be presented in narrative form or tabular form. See Section IV.1.c.2 for more detailed information on the phased approach ToC.

Annex 8. Gender Analysis Summary: Consistent with USAID's Gender Equality and Female Empowerment Policy (USAID 2012), all FFP multi-year DFSA(s) are required to complete a gender analysis within the first year to inform design and strengthen programming. In this summary, the applicant should discuss illustrative points (three to four) along the proposed ToC where the applicant anticipates existing gender norms or gender relations could facilitate or impede progress towards results and provide examples of information that would be collected in order to clarify the issues identified. Applicants are encouraged to take into consideration the interplay of gender and other social dimensions such as age, ethnicity, and origin that play a role in determining both opportunities and constraints for women, men, girls, and boys. The summary should also include the makeup of the team the applicant anticipates would conduct the gender analysis, a discussion of the tools likely to be used for data collection, an estimated budget, and the process the applicant would use to incorporate analysis findings into the ToC and implementation plan.

[28] *Prevalence of wasting* should be interpreted as the aggregate of wasted children (<-2 Z-scores, using WHO Child Growth Standards) and those with nutritional edema.

Applicants will not be restricted to the specifics details discussed in the summary should their application be awarded, but it should be evident from the summary that the applicant has:

(1) an understanding of what a gender analysis entails within the context of an FFP activity,
(2) the capacity to carry out the gender analysis, and
(3) the intention to incorporate the analysis findings into the activity, and a practical means to do so.

Applicants should refer to *ADS 205: Integrating Gender Equality and Female Empowerment in USAID's Program Cycle* and the *Technical References on Gender* for more information.

FFP will host a three-day consultation in the initial months of the award to bring together implementing partner staff with local leaders and government officials to explore gender issues related to the food insecurity and malnutrition in the selected geographic area and intended targeted participants. The consultation will lay the groundwork for the Year 1 Gender Analysis and for continuing collaboration between partner staff and local leaders in ensuring gender issues are addressed effectively and inclusively in all activity interventions. Partners will be asked to bring a field team that includes their activity's GYSD Lead(s), technical staff who understand the technical areas of the award, and at least one senior manager.

Annex 9. Environmental Safeguards Plan: Consistent with USAID's Agency Environmental Procedures (22 CFR 216) and Climate Risk Management for USAID Projects and Activities (ADS 201mal), USAID programming must properly consider and minimize the potential for environmental impact and susceptibility to climate risks. For this RFA, applicants are expected to design innovative approaches which promote environmental and climate risk management to improve and sustain food and nutrition security of vulnerable populations, as articulated in the IRs under both SO1 and SO2 of the FFP 2016-2025 Food Assistance and Food Security Strategy.

The Environmental Safeguards Plan must thus summarize:

1. How strategies that reduce climate risks *to* the activity and environmental impacts *of* the activity have been integrated into the activity design;
2. How funds for environmental risk management have been allocated in the detailed/comprehensive budgets and described in the budget narrative;
3. How outcomes of the Environmental Mitigation and Monitoring Plan (EMMP) will inform the performance monitored through the Log Frame and IPTT in M&E systems[29];
4. How staffing capacity for oversight of environmental compliance and climate risk management requirements will be ensured over the life of the activity and how those staff will coordinate and integrate with broader project management.

The RFA-IEE provides direction on environmental compliance and climate risk management procedures for both pre-award (i.e., Environmental Safeguards Plan) and post-award (e.g., Supplemental IEE, Climate Risk Management screening, PERSUAPs, Environmental Status

[29] USAID FFP Policy and Guidance for Monitoring, Evaluation, and Reporting for Development Food Security Activities, Section 2.4, Performance Indicator Reference Sheets, Page 36.

Reports, etc) requirements. This RFA-IEE is a mandatory reference for environmental compliance and climate risk management of FFP development activities.
For successful applicants, a series of carefully thought out requirements ("Conditions" in the RFA-IEE) will be the responsibility of the awardee to ensure sufficient capacity to meet the demands. Especially for applicants that are new to FFP, in order to understand the full suite of responsibilities upon award, careful attention should be given to review the various Conditions of the RFA-IEE.

One of the requirements described in the RFA-IEE will be to conduct an Supplemental IEE that assesses environmental impacts and opportunities that are specific to the particular geographical zone of influence of the food security activity. An element of the Supplemental IEE will be a CRM screening, in accordance with ADS 201mal. These analyses are only required for successful applicants.

Annex 10. Abridged M&E Plan: Applicants must submit an abridged M&E plan that describes the applicant's planned M&E approach, recognizing that at the time of application many aspects of the activity M&E will be further defined during Phase 1. At the time of application, the M&E plan should build upon the conceptual framework and research design to illustrate
(1) a description of the applicant's approach to monitoring and/or nutritional surveillance;
(2) M&E staffing (with M&E staff included in the organizational chart);
(3) the strategy to identify and address staff M&E capacity building needs;
(4) a short summary budget that includes staffing, monitoring, evaluation, MIS, data quality assurance, and participant registration.

Applicants are encouraged to consider and illustrate how M&E needs will change over time, particularly between Phase 1 and Phase 2. As part of the Phase 2 transition plan, all required components of the M&E plan (per the Policy and Guidance for Monitoring, Evaluation, and Reporting for DFSA) must be developed or updated and submitted for approval.

FFP encourages applicants to describe how they will utilize M&E data to address ongoing analytic needs, knowledge gaps, context monitoring and change management throughout the course of implementation. FFP requests the applicant to use cost effective, and existing open source or widely available platforms (such as Google or Microsoft) to develop a database. FFP may not approve developing a database/MIS using proprietary codes. FFP plans to contract and manage a third-party firm to conduct the activity's baseline study and final evaluations. Under the phased approach, the baseline will be conducted in Year 2 to evaluate the performance of the main implementation in Phase 2. FFP will work with successful applicants to determine the methods that will be used in the final evaluation.

As noted above as part of the Research and Evidence-Based Design strategy, the applicant should plan and budget for objective evaluations of Phase 1 pilot interventions.

A description of required elements related to the M&E plan can be found in the USAID FFP Policy and Guidance for Monitoring, Evaluation, and Reporting for Development Food Security Activities.

FFP strongly encourages applicants to articulate linkages between the M&E and CLA plans to demonstrate how knowledge gained through monitoring, evaluation, collaboration, and learning activities will influence decision making, resource allocation, and adaptation to contextual shifts.

Annex 11. Activity Learning Plan (Collaborating, Learning and Adapting): Applicants must develop an activity learning plan that identifies how the activity will ensure robust cycles of learning, both during Phase 1 as well as throughout the period of award. This plan should demonstrate clear plans to work with and through the GoK and local actors. In line with the Phased approach, the activity learning plan should seek to link evidence gaps, research, and results to improved activity design, strengthened implementation planning and quality, and better preparedness and responsiveness to local context. The learning plan should elaborate on management approaches to support collaborating, learning and adaptive management. This annex should provide detailed planning for:

1. robust partner engagement and consultative processes with communities, local government, civil society, other donor funded projects, and local researchers and academics;
2. identifying and filling knowledge gaps, including Phase 1 formative research, improved understanding of local context, and community needs and capacities, as well as small-scale implementation research and pilots of new approaches and interventions.
3. capturing and sharing results, lessons learned, reflections, scenario planning, and promising practices;
4. ensuring analysis and application of new evidence, findings from reflection and scenario planning practices, and knowledge sharing to improve activity processes, approaches, and overall effectiveness;
5. strengthening capacity of staff, partners, and communities based on best practices and program learning.

Annex 12. Risk Assessment and Mitigation Plan: Applicants must examine any potential risk related to fraud, corruption, and/or mismanagement. This assessment should demonstrate that due consideration has been given to ensuring the security and protection of all participants, dependent on the intervention proposed.

Annex 13. Intervention Area Maps: These maps should show proposed areas for Phase 1 participant engagement, research, and piloting, if applicable, at the Administrative 2 level (i.e. sub-county level) by the applicant, consortium members. For the purpose of spatially illustrating proposed layering, the maps should also show the presence of other partners, stakeholders, and/or donors, as relevant to the activity design. The maps should clarify who is expected to operate in the areas.

Annex 14. Organizational Chart: The organizational chart should include the structure of the prime, all members of the consortium, and sub-awardees. If possible, it should include locations, supervisory hierarchies, and relationships between all participants. The organizational chart should also clearly illustrate the presence and number of field staff at the village level.

Annex 15. CVs of Key Personnel: The application should include CVs of key personnel, including the COP, Research and Design Lead, Strategic Learning Lead, System Strengthening and Institutionalization Lead, the GYSD Lead, and the M&E Lead.

Annex 16. Letters of Commitment: FFP encourages letters of commitment from partners and staff, if applicable.

Annex 17. Glossary and Acronyms: Please include a glossary of any application specific terms and acronyms with definitions, as needed.

Annex 18. Past Performance Documentation: Apparently successful applicants will submit past performance documentation, found in Appendix II of this RFA. For initial applications, please upload a blank document in lieu of past performance information.

2. Dun and Bradstreet Universal Numbering System (DUNS) Number and System for Award Management (SAM)

Each applicant, unless they have an exception approved by the federal awarding agency under 2 CFR 25.110(d), is required to:

- Provide a valid DUNS number; and
- Be registered in the SAM – note that successful applicants must maintain SAM registration.

FFP may not make an award to an applicant until the applicant has complied with all applicable DUNS and SAM requirements. This is justification for not signing an award. Please note an awardee cannot make a sub-award to an entity unless the entity has provided a DUNS number.

3. Submission Date and Time

The application submission deadline is May 20, 2019 at 11:59 a.m. EDT. The applicant is responsible for ensuring that the electronic application is received by the due date and time specified.

4. Funding Restrictions

For special considerations and information pertaining to ineligible and restricted goods, services, and countries, please see the USAID Automated Directives System (ADS) *Major Functional Series 300: Acquisition and Assistance, Chapter 312 - Eligibility of Commodities*. Additionally, it is the legal responsibility of USAID awardees to ensure compliance with all U.S. laws and regulations, including those that prohibit transactions with, and the provision of resources and support to, sanctioned individuals, groups, and organizations.

5. Pre-Award Certifications, Assurances, and Other Statements of the Recipient

Successful applicants must provide a signed copy of *Certifications, Assurances, and Other Statements of the Recipient and Solicitation Standard Provisions* as described in ADS 303.3.8 on the USAID website in response to the issues letter.

6. Other Submission Requirements

FFP requires that applicants use FFPMIS to apply for a DFSA under this RFA.

- To request access or for technical questions, please contact FFPMIS Support.
    - FFPMIS Support is staffed from 9:00 a.m. to 5:00 p.m. EDT, Monday through Friday, except holidays.

- Potential applicants are encouraged to start the submission process early, as new account creation and answers to technical questions may take more than one business day.
- User guides and additional FFPMIS resources can be found at FFPMIS Training and Documentation Resources.

Any questions concerning submission of applications must be submitted in writing to FACG@usaid.gov.

FFPMIS submission will require a combination of data entry and document uploads. All uploaded documents must be completed in accordance with the format detailed in this RFA and must adhere to the following:

- Written in English and in 12-point Times New Roman font;
- Text in tables or charts may be 10-point Arial Narrow font;
- Narratives must be prepared in Microsoft Word or compatible equivalent with print areas set to 8.5 x 11 inch, letter-sized paper with one-inch margins, left justification and a footer on each page including page number, date of submission, proposed country, and applicant name;
- Spreadsheets must be prepared in Microsoft Excel or compatible equivalent, with print areas set to 8.5 x 11 inch, letter-sized paper;
- Official (signed) documents, memoranda, and certifications may be submitted as Adobe PDF files, with one-inch margins;
- Emailed, faxed, or hard copy applications are not accepted.

If any of the necessary documents listed in the RFA are not submitted according to the format and/or deadline referenced in the RFA, FFP will consider the application incomplete. Late or incomplete applications will be considered at FFP's discretion.

Please note that FFPMIS will not let applicants submit applications after the closing time.

The applicant may be required to submit certain documents in order for the AO to make a determination of financial responsibility. Applicants may be required to submit any additional evidence of responsibility, as requested, to support the determination, such as:

- Adequate financial resources or the ability to obtain such resources as required during the performance of the award;
- Adequate management and personnel resources and systems;
- Ability to comply with the award conditions, considering all existing and currently prospective commitments of the applicant, both NGO and governmental;
- Satisfactory record of performance - unsatisfactory past relevant performance is ordinarily sufficient to justify a finding of non-responsibility, unless there is clear evidence of subsequent satisfactory performance or the applicant has taken adequate corrective measures to ensure that it will be able to perform its functions satisfactorily; and
- Integrity and business ethics; along with qualifications and eligibility to receive a grant or cooperative agreement under applicable laws and regulations.

Applications are submitted at the risk of the applicant, and all preparation and submission costs for the application are at the applicant's expense.

SECTION V – APPLICATION REVIEW INFORMATION

1. Evaluation Criteria

Merit Review Criteria	**Maximum Possible Points**
a) Activity Design	75
Context Analysis, Targeting, Conceptual Framework	*15*
Research and Evidence-Based Design Strategy	*25*
Institutional and Local System Strengthening and Sustainability Strategies	*20*
Gender Equity and Gender Integration	*15*
b) Management and Staffing	15
c) Organizational Capability	10
Total Possible Points	100

a) Activity Design

(1) Context Analysis, Targeting, and Conceptual Framework (15 points)

Applicants will be evaluated on their adherence to the criteria articulated within Section IV, C (1-3). Their context analysis should demonstrate a deep understanding of the needs of the targeted participants and communities and the constraints they face. The conceptual framework should demonstrate the linkages between the underlying causes and influencing factors of acute malnutrition specific to the target area. It must include a ToC that provides clear, logical steps showing how the proposed set of interventions, and interactions by other actors, will produce all the necessary and sufficient outcomes/conditions to achieve the stated goal based on evidence and plausible reasoning.

Additionally, applicants will be evaluated on how well their strategy ensures targeting the following types of households with a comprehensive set of interventions: extremely poor households; chronically vulnerable households; and households with women, adolescents, and children at risk of acute malnutrition. This includes a wealth-ranking and targeting methodology that will ensure inclusion of extremely poor households.

(2) Research and Design Approach (25 points)

Applicants will be evaluated on their adherence to the criteria articulated within Section IV, C (4). The research and design approach should demonstrate sound technical knowledge through a relevant and coherent research strategy and feasible evidence-based design strategy. They also will be evaluated on how consistently and appropriately they plan to engage stakeholders in the research and design process. Successful applicants will also present realistic and clear timelines for Phase 1 and Phase 2 and identify appropriate milestones to mark progress toward activity objectives. Applicants will also be evaluated on how implementation will support effective CLA over the life of the Agreement.

(3) Institutional and Local System Strengthening and Sustainability Strategies (20 points)

Applicants will be evaluated on their adherence to the criteria articulated within Section IV, C (5). Their institutional and local system strengthening and sustainability strategies should be articulated within their Activity Design, and particularly within their Institutional and Local System Strengthening Strategy (see Section IV, C (5)). This plan should reflect their ToC and, based on realistic assumptions, describe the resources, technical and managerial capacities, motivation, and linkages that will ensure that local systems and institutions have the ability to champion, lead, manage, and scale these activities. Applicants will be evaluated on the extent to which they have planned for meaningful GoK engagement during both project phases. Any strategy that requires a transition from an activity financed service delivery system to a market-based or public service delivery system should include concrete timelines and benchmarks.

(4) Gender Equity and Gender Integration (15 points)

Applicants will be evaluated on their description of how gender will be addressed in all areas of the proposed activity. Integration of a gender-sensitive approach must be context-appropriate and reflected at every phase of the activity. Applicants will also be evaluated on their plans for integrating gender analysis results into interventions and for tracking gender changes, including unanticipated outcomes, over time. At least one gender indicator must be identified for each purpose at either the sub-purpose or immediate outcome level.

b) Personnel and Management Structure (15 points)

Applicants will be evaluated on their adherence to the criteria listed under S*ection IV.D (1-5).* The management structure and staffing must ensure the efficient use of resources, as well as effective and adaptive management, strong technical implementation, and administrative support. All relevant information on consortium members and sub-awardees must be included and clear planning for Phase 1 activities and subsequent management and staffing adjustments must be addressed.

The resource management section should be appropriate and sufficient for the resources requested. The applicant should have a clear understanding of country specific requirements (e.g., local, regional, national, international) for proposed use(s) of food assistance (e.g., in-kind, local/regional purchase, cash or vouchers), and awareness of restrictions that may hinder operations or implementation (e.g., biotechnology restrictions or concerns). Applicants should justify how staffing and structure will allow for the effective and accountable implementation of any chosen resource transfer as an activity component.

c) Organizational Capability (10 points)

Applicants will be evaluated on their adherence to the criteria listed under Application and Submission Information, Section IV, E. Successful applicants will demonstrate how the organization and/or sub-awardees have sufficient technical competencies to work effectively during both Phase 1 and Phase 2 of the activity. In particular, they should be qualified to (1) execute research, collaboratively design, and implement a multi-sectoral approach to reduce malnutrition; and (2) lead governance and institutional strengthening efforts. They must also have the demonstrated capability to manage large activities and build collaborative relationships in complex development environments and excellent communication abilities.

2. Review of Cost Application

The cost application will be reviewed separately from the technical application and will not directly contribute to evaluation criteria. The review of the cost application will determine if the level of resources is appropriate for the number of participants and degree of change being proposed. Aspects to be considered under this criterion include the justification for activity costs: if they are reasonable, are allowed under the cost principles and according to FFPIBs, and allocable in the budget. For further information on costs considered reasonable, allowable, and allocable, please refer to 2 CFR 200, subpart E.

The cost application must include:

- The breakdown of all costs associated with the activity according to costs of headquarters, regional and/or country offices, as applicable;
- The breakdown of all costs according to each partner organization or
    - sub-contractor/sub-awardee involved in the activity;
- The costs associated with external, expatriate technical assistance and those associated with local in-country technical assistance;
- The costs associated with robust monitoring and evaluation;
- The total activity costs including a breakdown of the financial and in-kind contributions of all organizations involved in implementing the proposed activity;
- Potential contributions of non-USAID or private commercial donors to this proposed activity;
- A procurement plan for equipment and other restricted items as defined by 2 CFR 200.34 and ADS 312 (may be incorporated into an existing or new annex in the cost application).

Areas to be listed/discussed in detailed budget and budget notes may include:

a) Personnel

Salaries and wages should reflect the market value for each position. Salaries and wages may not exceed the applicant's established written personnel policy and practice, including the applicant's established pay scale for equivalent classifications of employees, which must be certified by the applicant. Base pay, or base salary, is defined as the employee's basic compensation (salary) for services rendered. Taxes, which are a responsibility or liability of the employee, are inclusive of, and not additive to, the base pay or salary. The base pay excludes benefit and allowances, bonuses, profit sharing arrangements, commission, consultant fees, extra or overtime payments, overseas differential or quarters, cost of living or dependent education allowances, etc.

In accordance with ADS 303.3.12 USAID will review proposed costs, including salaries, for reasonableness. USAID uses the top salary on the Mission's Local Compensation Plan as one indicator of reasonableness for the base salaries of locally employed staff, and the Contractor Salary Threshold as one indicator of reasonableness for the base salaries of U.S. and third-country national staff.

Annual salary increase and/or promotional increase must be justified and supported by appropriate documentation and may be granted in accordance with the applicant's established written personnel policy and practice.

b) Fringe Benefits

Applicants must indicate the fringe benefit rate used and the base of application for each rate that has been approved by a U.S. federal agency. Applicants must submit the most recent NICRA as evidence of rate approval. If the fringe benefit rate has not been approved, the applicant must propose a rate and explain how the rate was determined. If the latter is used,

the budget narrative must include a detailed explanation/breakdown comprised of all items of fringe benefits, such as unemployment insurance, workers' compensation, health and life insurance, retirement, FICA, etc. and the cost estimates of each expressed in dollars and as a percentage of salaries. The applicant must specify if paid leave is included in fringe benefits.

The applicant should indicate fringe benefits, for local employees as a separate item of cost, providing a detailed explanation/breakdown as described above. The applicant should specify which fringe benefits for local employees are required by local law and which are applied in accordance with the applicant's compensation policy.

c) Non-Employee Labor

Non-Employee Labor are short-term employee. Applicants should provide the following details for Non-Employee Labor: rate of pay (daily rate), hours worked in a day and length of employment.

d) Travel and Transport

The applicant must:

- Identify total domestic and international travel as separate items;
- Indicate the estimated number of trips, number of travelers, position of travelers, number of days per trip, point of origin, destination, and purpose of trip;
- Itemize the estimate of transportation and/or subsistence costs, including airfare and per diem for each trip. Per diem is based on the applicant's normal travel policies and practices. However, proposed lodging and per diem must not be in excess of that authorized by Department of State Standard Regulations; and
- Provide supporting documentation, such as the applicant's travel policy to justify these costs, as appropriate.

e) Overseas Allowances

The applicant must indicate any overseas allowances provided to staff and the corresponding rate or fixed amount per staff.

f) Equipment

In accordance with 2 CFR 200.33, in a brief description, "equipment" means tangible non-expendable personal property, including exempt property charged directly to the award having a useful life of more than one year and an acquisition cost of $5,000 or more per unit.

The applicant must:

- Itemize the type of equipment and briefly justify the need for the items to be purchased as they relate to the applicant's technical approach;
- Indicate the estimated unit cost and number of units for each item to be purchased; and
- Provide the basis for the cost estimates, e.g., pro forma invoice or published price lists.

There are statutory constraints relating to the purchase of agricultural commodities, motor vehicles, pharmaceuticals, pesticides, and more with USAID program funds. Applicants may obtain specific information on these regulations on USAID Website, particularly ADS 312. Additional information for motor vehicles is found in Section VIII. 3. Motor Vehicle Procurement Table.

g) Supplies

In accordance with 2 CFR 200.94, "supplies" means all personal property excluding equipment, intangible property, debt instruments, and interventions. The applicant must specify the supply items and briefly justify the need for those items to be purchased as they relate to the applicant's technical approach.

h) Staff Training

The applicant should indicate any training and workshops provided to staff and the cost break out for each training provided.

i) USAID Branding and Marking

In accordance with 2 CFR 700.1, "branding" means how the program, project, or activity is named and positioned, as well as how it is promoted and communicated to beneficiaries and cooperating country citizens and "marking" means the public communications, commodities, and program materials and other items that will visibly bear the USAID Identity. If applicable, applicants must specify any costs associated with these requirements showing the unit cost and units purchased

j) Sub-awards

In accordance with 2 CFR 200.92, "sub-award" means an award provided by a pass-through entity to a subrecipient for the subrecipient to carry out part of a federal award received by the pass-through entity. It does not include payments to a contractor or payments to an individual that is a beneficiary of a federal program.

The applicant must:

- Identify any sub-awards (other than the purchase of supplies, material, equipment, or general support services) and provide this information in a chart that includes their total value.
- Provide sub-award budgets and accompanying budget notes in the same format as submitted by the prime applicant and with the same exchange rate for all members of the consortium.

k) Contracts (if any)

The applicant must:

- Identify any sub-awards/transfers/sub-contracts (other than the purchase of supplies, material, equipment, or general support services) and provide this information in a chart that includes their total value.
- Provide sub-award/sub-contract budgets and accompanying budget notes in the same format as submitted by the prime applicant and with the same exchange rate for all members of the consortium.

l) Audits

The applicant should indicate any costs associated with the required "Single audit," as defined at 2 CFR 200.501(b), for a non-federal entity that expends $750,000 or more during the non-federal entity's fiscal year in federal awards. Per ADS 591.3.5 Audit Funding, the AO officer will determine if the cost of the audit is an allowable direct or indirect expense based on the applicable cost standards. This includes audit costs for Foreign Non-profit organizations and host government entities.

m) Construction

Per the USAID-wide policy set out in USAID ADS 303.3.30, construction activities may only be carried out under cooperative agreements if they meet certain criteria, absent a case-by-case waiver. CDF-funded construction activities may also be subject to the requirements of Section 611(e) of the FAA. For these reasons, FFP requests applicants to provide an explicit description of construction activities, including location of site(s), within the technical narrative, and/or an explicit plan for a pre-feasibility analysis to determine type and scope of construction activities, as well as an explicit construction section within their budget and budget narrative that detail:

(1) the estimated cost of construction activities at each site; and
(2) the total estimated cost of construction activities under the award.

For the purpose of this policy, the term "construction" includes "construction, alteration, rehabilitation, or repair (including dredging and excavation) of buildings, structures, or other real property", including any infrastructure built or rehabilitated via conditional food assistance activities (e.g. cash-for-assets, food-for-assets). And a "single activity site" is "a single undertaking of construction within a contiguous geographic location", examples in the Agency's publicly available policy guidance include a road, a building, a water harvesting structure, a drinking water point or system, a power plant, a school, a clinic, and/or any continuous multiples of the same. For more information, see ADS 303maw, USAID Implementation of Construction Activities: A Mandatory Reference for ADS Chapter 303.

n) Other Direct Costs

The applicant must:

- Identify other direct costs and briefly justify the need for each cost item as they relate to the applicant's technical approach;
- Indicate the estimated unit cost and number of units for each item proposed; and
- Provide the basis for the cost estimates.

o) Indirect Costs

The applicant must support the proposed indirect cost rate with a letter from a cognizant USG audit agency, a NICRA, or with sufficient information for USAID to determine the reasonableness of the rates. For example, a breakdown of labor bases and overhead pools, the method of determining the rate, etc. The applicant must:

- State the percentages and amounts used for the calculation of indirect costs.
- Provide a copy of the latest USG-approved NICRA from the cognizant USG audit agency showing the Overhead and/or General Administrative rates.
- State if indirect costs have not been approved by a federal agency and provide the basis for the proposed indirect cost rates, as appropriate. The applicant who does not currently have a NICRA from their cognizant agency must submit the following information:
    - Copies of the applicant's financial reports for the previous three-year period, which have been audited by a certified public accountant or other auditor satisfactory to USAID;
    - Projected budget, cash flow, and organizational chart; and
    - A copy of the organization's accounting manual.

In accordance with 2 CFR 200.414, eligible applicants may choose to apply a 10 percent *de minimis* indirect cost rate. Please note this is only for those applicants who have never received a NICRA.

p) Budgeting for Climate Risk and Environmental Safeguards

All budgeting for climate and environmental safeguards can follow the framework established through the FSN consultation for the environmental budgeting toolkit.

Note: Applicants that have never received a cooperative agreement, grant, or contract from the USG are required to submit a copy of their accounting manual, or file a self-certificate of compliance with USAID standards. If a copy of the manual has already been submitted to an agency other than USAID, the applicant must list which federal agency or office and provide a point of contact with contact information. This certificate template is available from the USAID point of contact listed in this RFA upon request.

3. Review and Selection Process

Consistent with the requirements set forth in the Food for Peace Act, FFP shall determine whether to accept an application no later than 120 days after receipt of a complete application (subject to availability of funds). FFP is committed to meeting this mandate; however, its ability to do so depends upon the quality of applications and their responsiveness to the standards and requirements set forth in the RFA**.**

Once an application is deemed complete, FFP will review it based on the RFA evaluation criteria and FFP policies. FFP field offices will collaborate closely with FFP in Washington in the

review of applications. Following its review of a complete application, FFP may accept the application, deny the application, or withhold a decision on whether to accept or deny the application pending resolution of outstanding issues.

SECTION VI – FEDERAL AWARD AND ADMINISTRATION INFORMATION

USAID may (a) reject any or all applications, (b) accept applications for reasons other than cost, (c) accept more than one application, (d) accept alternate applications, (e) waive informalities and minor irregularities in applications received, and/or (f) drop the oral presentation.

Successful applicants will find award administration information and reporting requirements in signed award documents.

The AO is the only individual who may legally commit the USG to the expenditure of public funds.

SECTION VII – FEDERAL AWARDING AGENCY CONTACTS

Any questions concerning this RFA, its appendices, or Technical References must be submitted in writing by April 30, 2019 to FACG@usaid.gov and "FY 2019 Kenya RFA" in the subject line.

SECTION VIII – OTHER INFORMATION

1. Host Country Agreement

The Host Country Agreement (HCA) should be in place prior to finalization of the award. The HCA establishes the terms and conditions by which an applicant will be able to conduct a Title II activity in a specific country in accordance with the applicable requirements of USAID 22 CFR 211. As such, the applicant must enter into a written HCA with the government of the country in which it is proposing to implement a Title II activity. If the activity will be implemented in a number of countries within a region, an HCA must be negotiated with each government. Applicants submitting applications to work in countries for which they do not have an HCA must make arrangements well in advance to ensure that a signed HCA is prepared prior to the food security activity approval.

Although it is 22 CFR 211 that stipulates the need for an HCA, **FFP requests as a matter of policy an HCA for all food security activities**, given that the reasons for an HCA govern sound commodity and resource management and underscore an understanding of the host country government of the activity interventions.

Even though the HCA is expected and preferred prior to finalization of the award, the applicant may submit when asked during the review and approval process (if selected) either the HCA or

the Mission Director's determination that the proposed food security activity can be effectively implemented in compliance with 22 CFR 211.

- **Note**: that the Mission Director's determination is not a substitute for an HCA.
- There must first be a written decision by the Mission Director that it is "not appropriate or feasible" for the applicant to have an agreement with the government at this time.
- Following that determination, activities may only be implemented after the Mission Director's determination is made that the activity can be implemented without an agreement in place for the time being.
- **If an HCA is not in place prior to finalization of the award, FFP will include the awardee's explanation for the delay with the award language, along with a timetable for awardee's HCA negotiations and anticipated receipt of a signed HCA.**

2. Motor Vehicle Procurement Table

If the prime, members of a consortium, and/or sub-awardees plan to procure any motor vehicles during the award, the applicant (i.e., the prime) must include information on why procuring the vehicle(s) is less expensive than leasing the vehicle(s). In addition, the prime must submit a table with the following information for all vehicles to be procured as indicated in the budget(s):

- Type and number of motor vehicles (includes motorcycles);
- Manufacturer/make, model, and year of motor vehicles;
- Planned uses of motor vehicles, including who will retain title;
- Estimated cost of each motor vehicle;
- Funding source for each motor vehicle; and
- Fiscal year during which each procurement is planned.

The applicant must specify which organizations will use the vehicles; when and how purchases and transfers to consortium members and/or sub-awardees will occur; and a rationale for the purchase or long-term lease of all vehicles (U.S. and non-U.S.) in text accompanying the table.

The requirement to purchase or lease only U.S.-manufactured motor vehicles date be waived on a case-by-case basis when special circumstances exist and those special circumstances are supported by market research and adequate documentation. Special circumstances that merit waiving the requirement include, but are not limited to:

- The inability of U.S. manufacturers to provide a particular type of motor vehicle;
- The present or projected lack of adequate service facilities and supply of spare parts for U.S.-manufactured motor vehicles in the country or region within a country where the vehicle will be used; or
- An emergency requirement for motor vehicle(s) that can be met in time only by purchase of non-U.S.-manufactured motor vehicle(s) and for which no non-USAID funds are available.

The following is a step-by-step process (to be followed in this order) of the analysis and necessary documentation to be provided in requests to purchase a non-U.S. manufactured vehicle.

1. For all applications, describe the need and intended use for the vehicle. Identify the type of vehicle that will fulfill that need, why it is the best choice for the intended use, and if appropriate, include specifications.

2. For all applications, detail efforts made to determine if the type of vehicle is produced in the U.S.

3. For non-Title II funded applications, if the type of vehicle is produced in the U.S., is it produced in an appropriate export model that the manufacturer will supply to the recipient country from the U.S.? If not, state this in the waiver request. If yes, state so and reference the second or third bullet above to justify the waiver request.

4. For non-Title II funded applications, is a U.S.-manufactured vehicle available on the local market in country or from another country in Geographic Code 935? If so, no waiver is required to purchase that vehicle. However, if you want to purchase a different vehicle, use any of the circumstances in the bullets above to justify the case for purchasing that vehicle.

5. For non-Title II funded applications, if the type of vehicle is made in the U.S. and can be delivered from the U.S., is the availability of service and spare parts for that vehicle adequate in country? If not, then use b) above to justify the waiver.

6. For non-Title II funded applications, document the above information and efforts to support one of the special circumstances or waiver criteria in ADS 312. See circumstances outlined in the three bullets above.

For subsequent applications from previous or expiring FFP activities, applicants must provide in table format:

- The size and condition of the current motor vehicle fleet;
- Age of each motor vehicle;
- Funding source for each motor vehicle;
- Use of motor vehicles by intervention; and
- Plans for maintenance and replacement.

Supporting text regarding the history of the motor vehicle fleet and its procurement by the applicant in the country must be included.

3. Branding Strategy and Marking Plan

The Branding Strategy and Marking Plan (BS/MP) is required for successful applicants only. Note that because USAID's branding and marking requirements have cost implications, such costs must be included in the application budget even if the applicant does not submit its BS/MP with the application. Note all Title II modalities are subject to branding requirements, therefore all

commodities, food vouchers, and cash transfers provided under Title II must be clearly identified with appropriate markings on the package, container, or printed material that accompanies the transfer. These rules do not apply to intergovernmental organizations. Special markings may be required in Feed the Future target countries.

Under special circumstances USAID approved Marking Plans may be waived.

Agency branding and marking guidance can be found in ADS Chapter 320 and at the USAID branding site.

4. Open Data Policy

To facilitate purposeful activity monitoring, and to contribute to the USG Open Data policy and USAID Development Data Library, FFP is beginning efforts to catalog and spatially map interventions and assets at a village/community-level. Applicants are required to include the necessary resources and capacity to provide FFP with geospatial datasets and accompanying maps. At a minimum this includes the village-level (formal or informal) GPS coordinates for individual sector based interventions, but partners are encouraged to think through what this type of data and data analysis can provide to enhance the desired impact of programming.

APPENDIX I: Definitions and Program Areas and Elements

Definitions

Climate Risk: The potential for negative consequences due to changing climatic conditions. Climate risk consists of potentially severe adverse consequences for development activities (or for humans and social-ecological systems) resulting from the interaction of climate-related hazards with the vulnerability of societies and systems exposed to climate change. For purposes of USAID's climate risk management, risks are qualitatively categorized as high, moderate, or low.

Climate Risk Management: The process of assessing, addressing, and adaptively managing for climate risks that may impact the ability of awards to achieve development objectives.

Direct Participants: Those who come into direct contact with the set of interventions (goods or services) provided by the activity in each technical area. Individuals who receive training or benefit from activity-supported technical assistance or service provision are considered direct participants, as are those who receive a ration or another type of good. **Note** that all recipients are participants, but not all participants are necessarily food ration recipients.

Services include training and technical assistance provided directly by activity staff, and training and technical assistance provided by people who have been trained by activity staff (e.g., agricultural extension agents, village health workers). If cooperatives or organizations receive training or technical assistance from the activity, that will directly benefit all members, then all members of the cooperative/organization are considered direct participants.

In a Food for Training (FFT) intervention, the direct participants are those trained under the activity. In a Food for Work (FFW) or Food for Assets (FFA) intervention that is implemented as a stand-alone intervention (e.g., not as part of a wider set of interventions), direct participants are those who directly participate in the intervention (i.e., receive a ration), not all of those who use or benefit from the infrastructure/asset created (e.g., a road).

Occasionally, a FFW or FFA intervention forms part of a set of interventions in a program area or element (e.g., FFW to build irrigation infrastructure, accompanied by technical assistance in new cultivation techniques and water management to a targeted group of farmers). If this happens, the direct participants include FFW participants and the farmers receiving the technical assistance and the two groups may overlap. In the case of food rations, direct participants include the individual recipient in the case of individual rations, and the recipient plus his/her family members in the case of family rations.

Direct participants do **not** include those who benefit indirectly from the goods and services provided to the direct participants. Examples of *indirect* participants include:

- Members of the household of a participant farmer who received technical assistance, seeds and tools, other inputs, credit, or livestock;

- Farmers from a neighboring community who might observe the effects of the training and demonstration plots in the target community and decide to adopt or model the new practices themselves;
- The population of all of the communities in a valley that uses a road improved by FFW; or
- All individuals who may have heard a radio message about prices, but who did not receive the other elements of an agricultural intervention necessary to increase incomes.

Direct Distribution Food Assistance Commodities: Food assistance commodities provided directly to participants as in-kind take home rations or for on-site feeding.

Environmental Safeguards: Components of an activity that are developed as part of the project design to mitigate potentially foreseeable negative environmental impacts of activity interventions, maintain ecological goods and services and promote their sustainable management by community stakeholders. Environmental safeguards are incorporated into application design and implementation under the mandate of the USAID environmental compliance regulation, 22 CFR 216.

Fiscal Year (FY): The USG's fiscal year begins October 1 and ends the following September 30.

Gender Analysis: An analytic, social science tool that is used to identify, understand, and explain gaps between males and females that exist in households, communities, and countries, and the relevance of gender norms and power relations in a specific context. Such analysis typically involves examining:

- Differences in the status of women and men and their differing access to assets, resources, opportunities, and services;
- The influence of gender roles and norms on the division of time between paid employment, unpaid work (including subsistence production and care for family members), and volunteer activities;
- The influence of gender roles and norms on leadership roles and decision-making; constraints, opportunities, and entry points for narrowing gender gaps and empowering women; and
- Potential differential impacts of development policies and activities on men and women, including unintended or negative consequences.

More information can be found in ADS 205, *Integrating Gender Equality and Female Empowerment in USAID's Program Cycle*.

Indirect Beneficiaries: Indirect beneficiaries are those who benefit indirectly from the goods and services provided to the direct participants (as defined above). Examples of indirect participants include:

- Members of the household of a participant farmer who received technical assistance, seeds and tools, other inputs, credit, or livestock;

- Farmers from a neighboring community who might observe the effects of the training and demonstration plots in the target community and decide to adopt or model the new practices themselves;
- The population of all of the communities in a valley that uses a road improved by FFW; or
- All individuals who may have heard a radio message about prices, but who did not receive the other elements of an agricultural intervention necessary to increase incomes.

Metric ton(s) (MT): The standard unit of measurement for Title II commodities. One metric ton equals 1,000 kilograms.

Recipient: A recipient is a direct receiver of a food assistance ration. Each program recipient should be counted once, regardless of the number of months they will receive food aid. In other words, a recipient who will receive a food assistance ration for 12 months is counted once, as is a recipient who will receive a food assistance ration for three months.

Program Areas and Elements

Program Area and Element: The general category and sub-category, or focus of interventions, with FFP resources. The program areas and elements are defined below, and the updated Standardized Program Structure and Definitions are on the Department of State website.

Civil Society: Support civil society as an effective arena that empowers citizens to advance democratic values of citizen participation and governmental accountability. This includes supporting an enabling legal environment that protects and promotes civil society and civic action; providing capacity development assistance to civil society organizations; supporting civic participation; bolstering government oversight and accountability activities; strengthening a democratic political culture that values civic engagement, tolerance, and respect for human rights; and strengthening independent and democratic trade/labor unions. Civil society organizations include, but are not limited to, human rights organizations, youth movements, informal groups, religious organizations, labor and trade unions, professional associations, indigenous organizations, women organizations, lesbian, gay, bisexual, or transgender (LGBT) organizations, and think tanks.

HIV/AIDS: Reduce the transmission and impact of HIV/AIDS through support for prevention, care, and treatment programs.

Maternal and Child Health (MCH): Increase the availability and use of proven life-saving interventions that address the major killers of mothers and children and improve their health status, including effective maternity care and management of obstetric complications; prevention services including newborn care, routine immunization, polio eradication, safe water and hygiene; and treatment of life-threatening childhood illnesses. **Note** that Household-Level WASH interventions fall within the MCH program area. Increase household-level actions to prevent disease regardless of the state of public service infrastructure, including safe water

storage, handling, and household treatment, sanitation marketing and promotion, promotion of handwashing with soap, reduction of exposure to indoor smoke from cooking and to local sources of environmental toxins such as lead.

Family Planning and Reproductive Health: Expand access to high-quality voluntary family planning services and information, and reproductive health care. This element contributes to reducing unintended pregnancy and promoting healthy reproductive behaviors of men and women, reducing abortion, and reducing maternal and child mortality and morbidity.

Water Supply and Sanitation: Ensure broadly accessible, reliable and economically sustainable water and sanitation services for health, security, and prosperity. Example activities include: source water protection; repair, rehabilitation, and/or construction of water sources and water supply infrastructure; and implementation of community-based approaches to the design, construction, and operations & maintenance of facilities. **Note** that household-level interventions related to WASH fall within the MCH program area.

Environment: Objectives, as they relate to FFP participants, include **community-level** interventions to reduce health risks associated with environmental pollution (e.g. due to agriculture or other human activity). Example activities include improving management of solid waste; debris cleanup; drainage; livestock waste management; and environmental control activities for vector-borne disease. **Note** that household-level interventions related to environmental hygiene are reported on as part of the MCH program element.

Climate Change – Adaptation: Adaptation programs enhance resilience and reduce vulnerability to climate change of people, places, and livelihoods. They may undertake activities in the following areas: improving access to science and analysis for decision making in climate-sensitive areas or sectors; establishing effective governance systems to address climate-related risks; and identifying and disseminating actions that increase resilience to climate change by decreasing exposure or sensitivity or by increasing adaptive capacity.

Climate Change – Clean Energy: Clean Energy programs reduce greenhouse gas and other climate-warming emissions while improving livelihoods. Clean energy practices include: development of low emission development plans; renewable energy; end use efficiency; greenhouse gas accounting and inventory systems; enabling environment and energy sector reforms necessary to support sustainable investments and energy systems; enhanced transmission, distribution, and operating systems; flared gas reduction; and renewable energy generation grid integration. Linkages may be made to Area EG.7 Modern Energy Services but the same funding should not be counted in both parts of the SPSD.

Nutrition: Increase availability and use of proven nutrition interventions to reduce mortality, morbidity, and food insecurity, including nutrition education to improve maternal diets, nutrition during pregnancy, exclusive breastfeeding, and infant and young child feeding practices; fortified or biofortified staple foods, and specialized food products to improve consumption of quality food; and delivery of nutrition services including micronutrient supplementation and community management of acute malnutrition. Strengthen host country capacity by advancing supportive nutrition and food security policies and improving nutrition information systems.

Basic Education: Improve early childhood education, primary education, and secondary education, delivered in formal or non-formal settings. It includes literacy, numeracy, and other basic skills programs for youth and adults.

Social Assistance: Cash or in-kind transfers to the poor or to those suffering from temporary shocks. Health services provided in-kind should be captured under the respective Health Area(s).

Agriculture: Support the science and practice of food, feed, and fiber production (including forestry, wildlife, fisheries, aquaculture and floriculture) and its relationships to natural resources, processing, marketing, distribution, utilization (including nutrition), and trade**.**

Private Sector Productivity: Improve policies, laws, regulations, and administrative practices affecting the private sector's ability to compete nationally and internationally. All the elements include not only the adoption and implementation of policies, but also their oversight by elected officials, NGOs, and the private sector. Improve the capacity of private sector entities to respond and link to markets. This Area includes work to link the poor to markets through effective and economically sustainable systems and relationships.

Financial Sector: Support the establishment of a sound private, well-functioning, equitable financial sector that fulfills critical roles in a market economy, most importantly financial intermediation – the efficient generation and allocation of savings to their most productive use.

Protection, Assistance and Solutions: The provision of effective protection, assistance, and durable solutions for refugees, internally displaced persons (IDPs), stateless persons, and other victims of conflict and disasters. Activities included herein should be linked to relevant Human Rights areas.

Disaster Readiness: Improvement of the capacity of the USG, host countries and the international community to reduce vulnerabilities to disasters and respond better to humanitarian emergencies.

APPENDIX II: Past Performance Reference Questionnaire

With the technical application, please upload a blank document in place of the required Past Performance document in FFPMIS. Only successful applicants must upload the completed section A of this questionnaire to FFPMIS. A successful applicant's history of performance is part of the pre-award risk assessment. The remaining sections will be completed by USAID.

A. CONTRACT/GRANT/COOPERATIVE AGREEMENT INFORMATION:

Name of Company/Organization Being Evaluated:
Address:
Contract/Award Number:
Contract/Award Value:
Contract/Award Type:
Period of Performance:

B. DESCRIPTION OF CONTRACT/AWARD:

_____
_____
_____
_____
_____
_____

During the contract/award being evaluated, this firm was the
Prime Contractor/Awardee
Significant subcontractor/sub-awardee
Team Member
Other (Describe):
_____
_____
_____
_____

Does anything other than a customer/supplier relationship exist between the firm being evaluated and your organization?
No
Yes
If yes, please describe the nature of this relationship:
_____
_____
_____

C. EVALUATOR:

Name:
Title:

Organization:
Address
Telephone No:
Email Address:

D. PERFORMANCE

Please describe and explain the below of the applicant, in regard to performance and/or management abilities:

- How well the applicant performed.
- The relevancy of the work performed under the previous award to food assistance programming.
- Instances of good performance.
- Instances of poor performance.
- Significant achievements.
- Significant problems.
- Any indications of excellent or exceptional performance in the most critical areas.

APPENDIX III: FY 19 Phased Approach

FFP will use a **phased approach** for the Kenya DFSA(s) to provide implementing partners with the time, support, and access needed to research the local drivers of persistent acute malnutrition and to collaboratively design interventions that are rooted in evidence, contextually informed, and viable for GoK implementation and scale up. The phased approach aims to ensure the activity is learning focused, evidence based, and adaptively managed. It differs from the "Refine & Implement" co-creation model FFP has employed recently for the DFSAs in that applicants are not required to submit a technical intervention plan during the application stage. Instead, partners will submit a Research and Evidence-Based Design Strategy and demonstrate how their organization and/or consortium has the capacity to design and implement a multi-sectoral activity that will reduce persistent acute malnutrition and strengthen government and community systems.

During Phase 1 (approximately 18-24 months), new awardees will carry out a number of tasks including: pre-implementation formative research that addresses evidence and knowledge gaps and strengthens understanding of the local context; community consultation and local engagement; preparation for implementation through hiring, training, and procurement of goods and services; small scale operational research and piloting of new approaches; participatory stakeholder engagement for strengthened local partnerships and coordination; refining the activity theory of change; designing—in consultation with Technical Steering Committee—context sensitive activities that leverage ongoing activities and fill priority gaps.

Implementation of the full suite of programmatic interventions begins after the end of Phase 1 pending submission and FFP's approval of the Phase 2 transition plan, which will include the revised theory of change and updated program documents. It is expected that during implementation, as a matter of strong adaptive management and continued program quality improvement, awardees will continue with efforts to close knowledge gaps, refine planning, test and pilot innovative approaches, update the theory of change and continue stakeholder engagement and coordination with other relevant actors.

Phase 1 – Key Collaboration Events

- <u>Post-Award Conferences</u>
    - Format: In person and/or remote meeting
    - Attendees: Implementing partner (IP) headquarter (HQ) and possibly key field staff positions, FFP representatives, including relevant technical and award management personnel
    - Location: Washington, DC
    - Timing: Immediately after award.

- <u>Kickoff Meetings</u>
    - Format: Three-day meetings with field and HQ staff from each awardee, USAID Mission and FFP HQ staff
    - Location: In country
    - Timing: Within weeks of award after discussion and agreement with IPs.

- Monthly Technical Steering Committee Meetings
    - Format: Video teleconference (VTC)/Teleconference with field and HQ staff from each awardee, including relevant research staff, to discuss research and design plans and progress with the Technical Steering Committee
    - Location: In country/Remote
    - Timing: Monthly.

- Gender Consultation
    - Format: Three-day workshop with IP field and HQ staff from each awardee, USAID Mission and FFP HQ staff
    - Location: In country
    - Timing: Approximately ten weeks after award.

- Technical Team Field Visits (as needed)
    - Format: Field visits by FFP/W and Mission (and IP optional) technical staff to better understand the technical issues and opportunities. The team will then participate in the Phase 1 Inception workshop to contribute to the ToC review
    - Location: In country
    - Timing: Approximately 13 weeks after award.

- Phase 1 Inception workshop
    - Format: Five-day workshop focused Phase 1 research and design planning - with IP field and HQ staff from each awardee, USAID Mission and FFP HQ staff
    - Location: In country
    - Timing: Approximately 14 weeks after award.

- M&E and Baseline Workshop
    - Format: Five to seven days with IP field and HQ staff from each awardee, USAID Mission and FFP HQ staff
    - Location: In country
    - Timing: Approximately 12-14 months after award.

- Phase 1 Culmination Workshop
    - Format: Multi-day workshop with IP field and HQ staff from each awardee, USAID Mission and FFP HQ staff
    - Location: In country
    - Timing: Approximately 18 months after award.

- Chief of Party – Phase 2 Transition Presentations
    - Format: Half-day presentation and discussion/one presentation per awardee
    - Location: In country
    - Timing: Approximately 20-24 months after award.

APPENDIX IV: FFP 2016-2025 Food Assistance and Food Security Strategy

FFP Strategic Priorities

In FY 2017, FFP launched a new Food Assistance and Food Security Strategy 2016-2025 (FFP Strategy) which laid out new priorities for the future around sustainability, systems approaches and a new set of cross cutting areas of focus addressing gender equity and youth empowerment, social cohesion and social accountability. In seeking improved and more sustained food and nutrition security for vulnerable populations, the FFP Strategy works through two parallel objectives: to protect and enhance lives and livelihoods while strengthening and transforming communities and institutions.

The FFP Strategy's Results Framework is a global framing of FFP's work, outlining what is considered within FFP's mandate, as well as what is expected to be within the skill sets and capacities of our implementing partners. At the field level, the exact contours of a program will depend on context, need, available resources and the skills, capacities and roles of other food and nutrition security actors working in that space.

- **FFP Strategic Objectives**

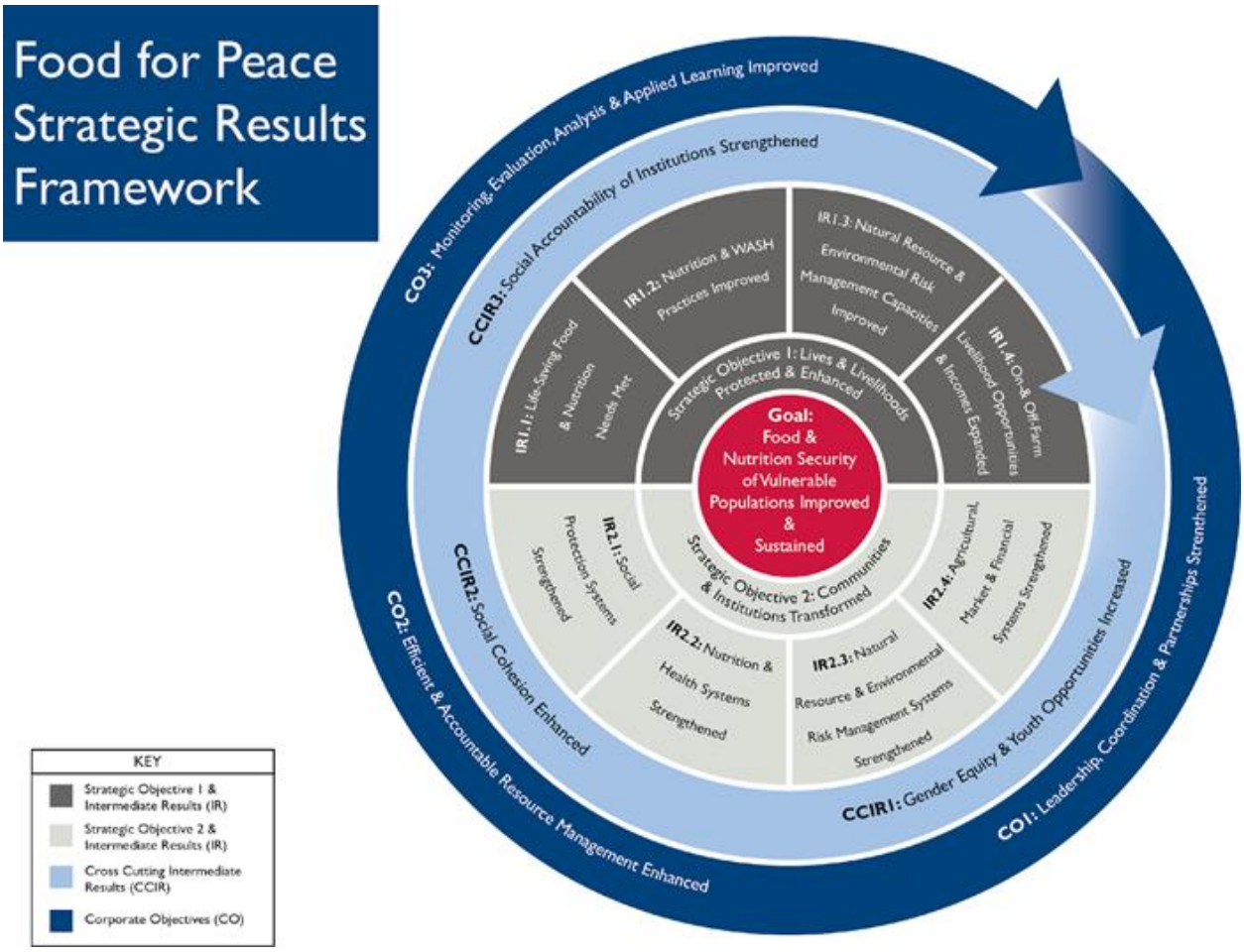
SO1: Lives and livelihoods protected and enhanced

FFP works to protect and enhance the lives and livelihoods of those affected by crisis, and those vulnerable to crisis due to chronic poverty and hunger. In acute emergency situations, this may be by meeting immediate food and nutrition needs of those most vulnerable to food deficits through direct resource transfers accompanied by complementary programming that seeks to maximize the impact of those resources. In recovery and development settings, the emphasis may shift more strongly towards improving the lives of the most marginalized and protecting development investments through capacity building, knowledge transfer, household asset-building, or other productive investments contributing to improved food and nutrition security outcomes across a range of sectors.

SO2: Communities and institutions transformed

Even in the most acute crisis, work that avoids doing harm and succeeds in strengthening local systems - including both social dynamics and formal and informal institutions - can lay an important foundation for transformative change. Under SO2, FFP works to strengthen communities and institutions that then serve as catalysts for greater and more sustainable change in emergency response and long-term development settings alike. SO2 provides a pathway to address root causes and drivers of food insecurity, through efforts at the community level and, where appropriate, up to national policy and planning, in ways that strengthen the capacity of both formal and informal institutions, reduce risks, and provide engines of growth, opportunity and change.

- **FFP Strategy Intermediate Results**



The SOs in the FFP Results Framework (RF) are each supported by four Intermediate Results (IRs) that address social protection, nutrition, environmental management and increasing incomes and assets. The IRs under SO1 focus on the individual- and household-level capacities required for positive change, while those under SO2 address the community and institutional capacities required to promote, support and sustain those changes.

Across all IRs, FFP's strategy calls for a broadened concept of risk management that, in addition to natural hazards such as drought and flooding, addresses risks posed by fragility, conflict, pandemic disease and climate change, as well as idiosyncratic shocks, such as the death of a household head. Working at multiple levels, protecting and enhancing the lives and livelihoods of individuals and households while also strengthening local systems, creates synergies between the two SOs and the IRs under them. It also increases the need for FFP and its partners to sequence, layer and integrate activities within FFP programs, as well as with other USAID, local government and donor-funded efforts.

- **FFP Strategy Cross-cutting Intermediate Results**

A set of cross-cutting IRs underpins the SOs and IRs, to support the empowerment of women and youth, enhance social cohesion and strengthen social accountability. They are intended to bring new focus and clarity to work to positively influence the local systems – including both social dynamics and formal and informal institutions - in which FFP emergency and multi-sectoral development food security activities are implemented.

- **FFP Strategy Corporate Objectives**

The FFP strategy also includes three Corporate Objectives relevant to FFP and partners alike. These are designed to improve the efficiency and effectiveness of FFP's work through strengthening partnership and influence, capacities of staff and institutions, and the evidence base underlying work in food and nutrition security.

- **Other USG and USAID Strategic Priorities**

The FFP Strategy and programming contribute to countries' Journey to Self-Reliance (JSR), by improving capacity and commitment of government and local systems, and USAID's mission to end extreme poverty and promote resilient democratic societies; and to the DCHA Bureau's strategic objectives, notably "Supporting areas of recurrent crisis to become more resilient."

The FFP Strategy also contributes to and reflects the USAID Multi-Sectoral Nutrition Strategy 2014-2025, USAID policy and program guidance "Building Resilience to Recurrent Crisis," USAID's policy on Gender Equality and Female Empowerment; USAID's policy on Youth in Development, and USAID's Democracy, Human Rights and Governance Strategy. Notably, through FFP's development food security activities, the Strategy also contributes to the USG Global Food Security Strategy, 2017-2021, launched in October 2016.

APPENDIX V: Key sectoral and county-level background sources of relevance

The resources within this Annex are intended to guide applicants to key technical and programmatic resources relevant to the design and objectives of this RFA.

- Action Against Hunger International. *Nutrition Causal Analysis Qualitative Inquiry Kenya - February 2014.* 2014. https://www.actionagainsthunger.org/sites/default/files/publications/ACF_NCA_Kenya_Report_Feb2014.pdf

  The core objective of a Nutrition Causal Analysis (NCA) study is to understand the risk factors of undernutrition and their interplay with nutrition outcomes for a given study population. NCA provides a holistic view on the dynamics of wasting compared with KAP and SMART surveys. It looks at the severity of undernutrition based on various factors such as time and seasonality and provides a rating of the causes of undernutrition. The NCA study had the objectives of: i) identifying the main causes of wasting in Isiolo County; ii) understanding the local seasonal and historical pathways to wasting; iii) developing local causal models for acute malnutrition; and iv) using these results to support advocacy on causes of wasting.

- Anderson D., Elliott H., Kochore H., and Lochery E. *Camel Milk, Capital, and Gender: The Changing Dynamics of Pastoralist Dairy Markets in Kenya.* https://www.soas.ac.uk/camelconference2011/file84333.pdf.

  Valued for its medicinal properties, camel milk has been transformed from a food produced and consumed on a subsistence level by camel-owning pastoralist communities in northern Kenya and elsewhere in the Horn of Africa, to a highly valued commodity around which there is a booming trade and growing international interest. This paper looks at camel milk's commodification through the activities of three camel milk trading enterprises in Kenya. Rapid pastoral sedentarization and urbanization has created high demand for camel milk among townspeople. These new pockets of demand first prompted small-scale, informal trade run by women from camel-owning communities. The growth of Eastleigh, Nairobi, as an urban center accommodating a large Somali population following the collapse of the Somali state has further fueled the boom in the camel milk trade, leading to growing formalization and consequently a shift in gender roles within the business. By tracking these changes, our study of the camel milk trade in Kenya illustrates how camel-owning pastoralists are adapting to political, climatic and demographic changes in northern Kenya.

- Catley, Andy. *Pathways to Resilience in Pastoralist Areas: A Synthesis of Research in the Horn of Africa.* Boston: Feinstein International Center, Tufts University, 2017. http://fic.tufts.edu/assets/FIC-Publication-Q1_web_2.26s.pdf

  Across the Horn Africa, pastoralist areas have been one of the most persistent and difficult challenges for governments, as well as development and humanitarian agencies. Although often viewed as physically remote, universally poor, and subject to droughts and conflicts, in reality these areas can also be economic hubs, with substantial livestock trade networks to

local markets, and crossing borders to neighboring countries. Ethiopia, Somalia, Somaliland, and Sudan are all major exporters of livestock with most of these animals sourced from pastoralist areas, or from producers who rely on mobile production systems. This synthesis paper reviews 20 years of research and focuses on the increasing socioeconomic differentiation in selected pastoralist areas, and the implications in terms of pathways to resilience.

- County Council of Research Science and Technology, Luc, Mutegi and Kipruto. *Link Nutrition Causal Analysis Report, West Pokot County, Kenya. March-July, 2015.* Action Against Hunger, USAID, West Pokot County. 2015. http://linknca.org/etude/comte_de_west_pokot.htm?lng=en&

  This study was carried out in Western Pokot to the West of Kenya. Chronic undernourishment has reached critical levels with a prevalence rate at 45.9%. Nearly one out of two children under 5 years old are exposed to the undesirable side effects of stunted growth. For several years Action Against Hunger and their partners have implemented food security, nutrition, water sanitation and hygiene operation programs to fight against persistent under nourishment. The following major risk factors have been identified: the prevalence of childhood illness, inadequate diet, overworking women, few income opportunities, unbalanced allocation of earnings in the household, limited access to drinking water, detrimental hygiene practices.

- Department for International Development (DFID). *Strengthening the Incentives for Pro-Poor Policy Change: An analysis of drivers of change in Kenya.* United Kingdom. (2004) http://www.gsdrc.org/docs/open/doc24.pdf

  This report is a summary of a study commissioned by DFID Kenya on the drivers of pro-poor change. It considers the processes, institutional changes and actors that may drive or block pro-poor change in Kenya. It argues that the critical obstacles to bringing about change lie in the realm of political economy and governance.

- Dometita, Maria L., *Beneath the Dryland: Kenya Drought Gender Analysis*. Oxfam. 2017. https://kenya.oxfam.org/policy_paper/beneath-dryland-kenya-drought-gender-analysis

  In the ASAL counties of Kenya, people are experiencing a food security and nutrition crisis as a result of the drought that has worsened since August 2016. The drought has undermined coping capacities and exacerbated vulnerabilities, for example by destroying livelihoods and triggering local conflicts over scarce resources. This report draws on research conducted in two ASAL counties – Turkana and Wajir – on how people are coping. The main objective of the research was to understand the gendered needs, vulnerabilities and capacities of people in Turkana and Wajir and the specific gendered risks they face, in order to identify opportunities for increasing their agency, voice, participation and economic empowerment. The study also sought to understand the interactions between duty bearers and people affected by the drought, and the capacity of duty bearers to provide humanitarian assistance. The report presents key findings from the research and recommendations on how to strengthen the humanitarian response.

- Fernandez D. & Forson Y. *Market Dynamics and Financial Services in Kenya's Arid Lands*. World Food Programme. 2013. https://documents.wfp.org/stellent/groups/public/documents/ena/wfp257939.pdf?_ga=2.230690655.1902294815.1540328332-324934768.1536866645

  The objective of this survey is to better understand how markets function in the Arid Lands and what capacity they may have to respond to increased demand. It explores the feasibility of alternative transfer delivery mechanisms in the Arid Lands based on cash or vouchers. This will inform decision-makers when programming food assistance and livelihood interventions including how these options impact on gender dynamics. The analysis focuses on the market systems with different supply side actors and their behaviour, the enabling environment and how markets perform with regards to food supplies, e.g. how are markets integrated and whether prices exhibit seasonal and volatile patterns.

- Food and Agriculture Organization of the United Nations (FAO). *Good Food Security Governance: The Crucial Premise to the Twin-Track Approach.* 2011 http://www.fao.org/fileadmin/templates/righttofood/documents/other_documents/2011_good_food_security_gov/FoodSecurityGovernanceWorkshop_backgroundpaper.pdf

  Food insecurity is caused by a complex interplay of factors, some outside the direct control of governments; but there is now a growing recognition that institutions, rules and political processes play an important role in enabling or constraining particular pathways to sustainable agricultural production growth, increased food and nutrition security, and better livelihoods and wellbeing for all.

- Government of the Republic of Kenya. *National Climate Change Response Strategy*. 2010. http://www.environment.go.ke/wpcontent/documents/complete%20nccrs%20executive%20brief.pdf

  The National Climate Change Response Strategy (NCCRS) is the culmination of a year-long process to develop a comprehensive and concerted suite of strategies to respond to the challenges climate change is posing to Kenya's socio-economic development. The NCCRS is a significant step in the recognition that climate change is a threat to national development. It has presented evidence on climate change and associated impacts. In addition, it has proposed a concerted programme of activities and actions to combat such impacts and an enabling implementation framework.

- Government of the Republic of Kenya. *Sector Plan For Drought Risk Management and Ending Drought Emergencies.* 2013. http://vision2030.go.ke/inc/uploads/2018/05/SECTOR-PLAN-FOR-DROUGHT-RISK-MANAGEMENT-2013-2017.pdf

  The content of this document builds on the Ending Drought Emergencies Kenya Country Programme Paper (CPP). It draws to a significant degree from existing strategies, both for individual sectors and for the ASALs, and particularly the Vision 2030 Development Strategy for Northern Kenya and other Arid Lands. It highlights the contribution that each sector is making to drought resilience, particularly those which in the past were not conventionally

understood in such terms, such as infrastructure or education. It also provides in one document a comprehensive portfolio of resilience-related activities, in order to facilitate monitoring and evaluation of the commitments the Government has made to Kenyans under the IGAD framework and for ease of communication with interested development partners.

- Hailey, Peter. *Independent Evaluation of the CMAM Model Surge Pilo*t. Concern Worldwide. 2015. https://www.concern.net/sites/default/files/resource/2015/10/evaluation_of_the_cmam_model_surge_pilot.pdf.

  The pilot Community Management of Acute Malnutrition (CMAM) Surge Model project was implemented in two sub-counties of Marsabit, Kenya between May 2012 and October 2014. The aim of the CMAM surge model is to strengthen the capacity of government health systems to effectively manage increased caseloads of severe acute malnutrition (SAM) and moderate acute malnutrition (MAM), during predictable emergencies without undermining ongoing health and nutrition systems strengthening efforts. It is based on one of the fundamental principles of CMAM; that early detection of malnutrition leads to improved treatment outcomes and fewer cases of SAM, as children are treated before their malnutrition becomes severe.

- World Bank. *Kenya: A Bigger, Better Economy.* World Bank. 2014. www.worldbank.org/en/news/feature/2014/09/30/kenya-a-bigger-better-economy.

  Kenya has crossed the threshold to become a low-middle income country following the rebasing of its National Accounts, including gross domestic product and Gross National Income. The size of the economy is 25 percent larger than previously thought, and Kenya is now the fifth largest economy in Sub-Saharan Africa behind Nigeria, South Africa, Angola and Sudan. Economic growth during 2013 was revised upwards from 4.7 percent to 5.7 percent, but challenges of poverty and income inequalities remain

- The Kenya Ministry of Agriculture, Livestock and Fisheries (MoALF). *Kenya County Climate Risk Profile Series.* 2017. https://ccafs.cgiar.org/publications/kenya-county-climate-risk-profiles

  The International Center for Tropical Agriculture (CIAT) developed 31 county climate risk profiles to guide climate-smart agriculture (CSA) investments and priorities at the sub national level in Kenya. In every county, key value chain commodities are identified, the most problematic climatic hazards are outlined, and a mapping of the vulnerabilities and risks posed by these hazards across the value chain is discussed. The profiles provide an analysis of the underlying causes of vulnerability, ongoing adaptation strategies and existing off-farm services available for combating the risks associated with the hazards, with recommendations for potential adaptation options. The profiles also give snapshots of the enabling environment for building resilience by giving a synthesis on the policy, institutional and governance context, and possible pathways to be pursued to build institutional capacities for effective redress of potential future climate risks.

- Kenya Food Security Steering Group (KFSSG). *The 2018 Long Rains Season Assessment Report*. Government of the Republic of Kenya. 2018. https://reliefweb.int/sites/reliefweb.int/files/resources/2018%20LRA%20National%20Report.pdf

  The long rains assessment is led by the Kenya Food Security Steering Group (KFSSG) - a multi-sectoral and multi-agency body which brings together relevant government sectors, UN agencies and technically qualified NGOs under the leadership of NDMA, co-chaired by the World Food Programme (WFP). The KFSSG carries out the seasonal assessments in partnership with the County Steering Groups (CSGs), which are also multi-sectoral and multi-agency, and whose membership includes local leaders. The assessment reports are therefore the definitive statement on food security in arid and semi-arid counties, endorsed by all KFSSG and CSG members.

- Kenya National Bureau of Statistics. *The Kenya 2014 Demographic and Health Survey*. Government of the Republic of Kenya. 2015. https://dhsprogram.com/pubs/pdf/fr308/fr308.pdf

  The Kenya Demographic and Health Survey is a nationally representative household survey that provides data for a wide range of monitoring and impact evaluation indicators in the areas of population, WASH, health, and nutrition.

- Kenya National Bureau of Statistics and Society for International Development. *Exploring Kenya's Inequalities: Pulling Apart or Pooling Together?* Government of the Republic of Kenya. 2014. http://inequalities.sidint.net/kenya/wpcontent/uploads/sites/3/2013/10/SID%20Abridged%20Small%20Version%20Final%20Download%20Report.pdf

  KNBS and SID in this publication present monetary measures of inequality such as expenditure patterns of groups and non-money metric measures of inequality in important livelihood parameters like employment, education, energy, housing, water and sanitation to show the levels of vulnerability and patterns of unequal access to essential social services at the national, county, constituency and ward levels.

- Kenyan Ministry of Youth Affairs. *Kenya National Youth Policy*. Government of the Republic of Kenya. 2006. http://www.youthpolicy.org/national/Kenya_2006_National_Youth_Policy.pdf

  The National Youth Policy is aimed at ensuring that the youth play their role, alongside adults, in the development of the country. The policy goal of the youth policy is to promote youth participation in community and civic affairs and to ensure that youth programmes are youth centred. The policy proposes guidelines and strategies that can be used to facilitate participation of the youth in national development.

- Ministry of Public Health and Sanitation. *National Nutrition Action Plan (2012-2017)*. Republic of Kenya. https://scalingupnutrition.org/wp-content/uploads/2013/10/Kenya-National-Nutrition-Action-Plan-2012-2017-final.pdf

  This Plan has been developed to operationalize the strategies outlined in the Kenya Food Security and Nutrition Policy 2012. It serves as a road map for coordinated implementation of nutrition interventions by the Kenyan government and nutrition stakeholders across development sectors for maximum impact.

- Misiani, Maj G., Njambi E. PhD. *Cross-Border Conflict and Gendered Implications for Local Communities: The Case of the Kenya-Ethiopia Border.* Occasional Paper, Series 7., No 1. International Peace Support Training Centre. 2016. http://www.ipstc.org/media/documents/OP_No1_series7_2016.pdf

  The conflict pattern on the Moyale Kenya-Ethiopia border is complex and involves several actors. This study was conducted in Moyale Sub-county in Kenya and Ethiopia's Regions 4 & 5. The broad objective of the study was to analyze the cross-border conflict and gendered implications for the local communities. In addition, it assessed: its nature and dynamics; community conflict management strategies; gender transformative approaches, and determinants of gendered implications.

- National Drought Management Authority (NDMA). *Ending Drought Emergencies (EDE) Initiative.* Government of the Republic of Kenya. Web. http://www.ndma.go.ke/index.php/resource-center/ede-reports/category/43-ending-drought-emergencies

  NDMA is an agency of the Government of Kenya mandated to establish mechanisms which ensure that drought does not result in emergencies and that the impacts of climate change are sufficiently mitigated. Led by NDMA, Kenya's Ending Drought Emergencies (EDE) initiative is widely recognized as a forward-leaning, country-led model for building resilience to recurrent crisis and managing drought risk. EDE's common programming framework serves as a platform for collective action to which donors and partners align around six pillars.

- Peachey, Karen. *Responding to drought in Kenya using cash and vouchers: Six key questions from previous experience*. The Cash Learning Partnership. 2017. http://www.cashlearning.org/downloads/user-submitted resources/2017/05/1493964681.2017-04%20 %20CVTP%20in%20Kenya%20drought%20response%20-%20Final.pdf

  The Cash Learning Partnership (CaLP) reviewed previous reports on the use of cash/vouchers in drought responses in Kenya and identified 100 lessons, recommendations and observations

- Sadler, K., Kerven, C., Calo, M., Manske, M. and Catley, A. (2009). *Milk Matters: A literature review of pastoralist nutrition and programming responses.* Feinstein International Center, Tufts University and Save the Children, Addis Ababa. https://reliefweb.int/sites/reliefweb.int/files/resources/36C6901B7554FACC432575C500312D7D-Tufts_Feb2009.pdf

  Despite acceptance of the urgent need for risk reduction and drought mitigation, there is still little understanding of the causes of malnutrition, and which interventions in the medium-to-long term should be prioritized to improve the health and nutritional status of children in these settings. In pastoral communities milk is well known as the staple food of children's diets and therefore is directly linked with the nutritional status of young children. In some areas, young pastoral children obtain up to 66 percent of their daily energy intake from milk. In order to improve nutritional status in children who live in pastoral communities, this project aims to take a critical look at the factors that affect the quality, quantity, and access to human and animal milk across all seasons, particularly during drought, and among various wealth groups. Additionally, the project considers household livelihood strategies that have emerged in response to the scarcity of milk.

- Signorelli, S., Azzarri, C., & Roberts, C. (2016). *Malnutrition and Climate Patterns in the ASALs of Kenya: A Resilience Analysis based on a Pseudo-panel Dataset. Report prepared by the Technical Consortium, a project of the CGIAR.* Technical Report Series No. 2: Strengthening the Evidence Base for Resilience in the Horn of Africa. Nairobi, Kenya: A joint International Livestock Research Institute (ILRI) and International Food Policy Research Institute (IFPRI) publication. http://www.ifpri.org/publication/malnutrition-and-climate-patterns-asals-kenya-resilience-analysis-based-pseudo-panel

  Despite undernutrition improving in the rest of the country, in the ASAL areas the trends appear to be negative, particularly with respect to wasting in children and women being underweight. The report discusses how temperature shocks have emerged as the most detrimental factor for nutrition, especially in the ASALs.

- UNICEF. *Improving Child Nutrition: The achievable imperative for global progress, Conceptual framework of the determinants of child undernutrition*. United Nations Children's Fund. 2013. https://www.unicef.org/gambia/Improving_Child_Nutrition_-_the_achievable_imperative_for_global_progress.pdf

  The UNICEF conceptual framework defines nutrition and captures the multifactorial causality of undernutrition. Nutritional status is influenced by three broad factors: food, health and care. Optimal nutritional status results when children have access to affordable, diverse, nutrient-rich food; appropriate maternal and child-care practices; adequate health services; and a healthy environment including safe water, sanitation and good hygiene practices. These factors directly influence nutrient intake and the presence of disease. The interaction between undernutrition and infection creates a potentially lethal cycle of worsening illness and deteriorating nutritional status.

- U.S. Agency for International Development. *Gender Equality and Women Empowerment Strategy.* 2012. https://www.usaid.gov/sites/default/files/documents/1865/GenderEqualityPolicy_0.pdf

  The goal of this policy is to improve the lives of citizens around the world by advancing equality between females and males, and empowering women and girls to participate fully in and benefit from the development of their societies. It will be addressed through integration of gender equality and female empowerment throughout the Agency's Program Cycle and related processes: in strategic planning, project design and implementation, and monitoring and evaluation. This integrated approach positions the Agency to address gender gaps and the constraints that hold women back.

- U.S. Agency for International Development. *Kenya: Nutrition Profile*. 2014. https://www.usaid.gov/sites/default/files/documents/1864/USAID-Kenya_NCP.pdf.

- U.S. Agency for International Development. *Multi-sectoral Nutrition Strategy 2014-2025.* https://www.usaid.gov/nutrition-strategy

  These resources provide both Agency-wide and general information about the nutrition context in Kenya, including background, policies, and a brief summary of ongoing USAID interventions focusing on nutrition.

- U.S. Agency for International Development (USAID). 'The development response to violent extremism and insurgency policy', in *Putting principles into practice*. 2011. https://pdf.usaid.gov/pdf_docs/Pdacs400.pdf

  This policy is the first of its kind produced by USAID. Its purpose is to provide a policy framework that USAID can use to improve the effectiveness of its development tools in responding to violent extremism and insurgency, as well as its capacity to interact constructively with its interagency and other partners in these challenging environments. The policy will also help USAID focus more tightly on capacity building and sustainability which are critical to long-term security and development goals.

- U.S. Agency for International Development. *Policy And Guidance For Monitoring, Evaluation, And Reporting For Development Food Security Activities.* 2016. https://pdf.usaid.gov/pdf_docs/PBAAF103.pdf

  FFP funds development activities with an objective to improve and sustain the food and nutrition security of vulnerable populations, with a continued focus on the most food insecure and a renewed emphasis on nutrition security. USAID applies the best available evidence to document activity effectiveness and improve program design and implementation. FFP has an obligation to the federal government and the American people to ensure that resources are used efficiently to achieve the best possible food security outcomes and that, in the process, food security actors learn from experience how to improve programming and implementation. This FFP Policy and Guidance for Monitoring, Evaluation, and Reporting for Development Food Security Activities describes key

monitoring, evaluation, and reporting responsibilities of FFP development (non-emergency) food security activity awardees and potential awardees.

- U.S. Agency for International Development. *Youth in Development Policy*. 2012. https://www.usaid.gov/policy/youth

  This policy puts forward an overarching goal for youth devel-opment along with related objectives and outcomes to be achieved. It outlines a conceptual approach to youth in devel-opment and provides guiding principles and operational practices in support of USAID's efforts to mainstream youth in development, carry out more effective programs, and elevate youth participation. Importantly, this policy will position USAID and its partners to capitalize on favorable global population trends by investing in programs and policies by, with, and for youth that seize opportunity and lead to sustainable growth and human development, including through the realization of what is often referred to as a demographic dividend.

- "Positive youth development" (PYD) http://www.youthpower.org/positive-youth-development

  PYD engages youth along with their families, communities and/or governments so that youth are empowered to reach their full potential. PYD approaches build skills, assets and competencies; foster healthy relationships; strengthen the environment; and transform systems." USAID supports the use of this definition across Agency implementation.

- YouthPower - http://www.youthpower.org/:

  USAID's flagship cross-sectoral project was designed by youth experts from across workforce development, sexual reproductive health, education, HIV/AIDS, and democracy and governance. This website includes the most current evidence based resources related to PYD including systematic reviews of PYD programs, a "What Works For Youth" series, and the latest research and tools to help partners implement high quality youth programs applicable across all regions and USAID programs reaching youth.

- U.S. Agency for International Development (USAID)/Government of Kenya. *Feed the Future Northern Kenya 2015: Zone of Influence Interim Assessment Report.* Rockville, MD: Westat and USAID/Kenya (2016). Mid-term assessment of Kenya's Feed the Future Program. 2015. https://www.usaid.gov/data/dataset/776e0a88-ed0e-4201-81a6-73f38524be49

  USAID's Feed the Future Initiative monitors its performance in part by periodic assessments of a number of standardized indicators. These indicators reflect data collected through population-based surveys (PBS) in the geographic areas targeted by Feed the Future interventions, known as the Feed the Future Zones of Influence (ZOI). The northern Kenya ZOI is composed of five counties: Marsabit, Garissa, Isiolo, Wajir, and Turkana. Data collection took place from 14 May to 13 June 2015. This interim assessment uses data from 1,193 households in the five counties of the ZOI (Garissa, Isiolo, Marsabit, Turkana, and Wajir).

- World Bank. *World Bank Country and Lending Groups.* World Bank Data Help Desk. 2018. https://datahelpdesk.worldbank.org/knowledgebase/articles/906519-world-bank-country-and-lending-groups

  This list contains country classifications by type of economy. Economies are currently divided into four income groupings: low, lower-middle, upper-middle, and high. Income is measured using gross national income (GNI) per capita, in U.S. dollars, converted from local currency using the World Bank Atlas method. Estimates of GNI are obtained from economists in World Bank country units; and the size of the population is estimated by World Bank demographers from a variety of sources, including the UN's biennial World Population Prospects.

- World Food Programme. *Kenya Country Strategic Plan (2018-2023).* United Nations. 2018. https://docs.wfp.org/api/documents/8681e711600d423caf6c595139c10da4/download/?_ga=2.176326949.1487928508.1537369621-324934768.1536866645

  The overarching aim of WFP's new CSP in Kenya is to accelerate its shift from the direct provision of transfers and services to the strengthening of national systems and capacities to deliver food and nutrition security. In particular WFP will: seek greater efficiency in refugee interventions, including support for the integration and self-reliance of refugees and host communities; build national capacities and systems for social protection, emergency preparedness and response and government-led food assistance programmes and nutrition services; provide direct relief assistance only where requirements exceed Kenya's national capacities; and increase resilience by focusing on food systems through the development and modelling of integrated solutions along the food production, transformation and consumption chain that can be scaled up by the Government and the private sector.

- Yerian, S., Hennink, M., Greene, L.E. et al. *The role of women in water management and conflict resolution in Marsabit, Kenya.* Environmental Management (2014) 54: 1320. https://doi.org/10.1007/s00267-014-0356-1

  The authors employed qualitative methods to explore how conflict over water collection and use impacts women, and the role that women play in water management and conflict resolution in Marsabit, Kenya. Conflicts between domestic and livestock water led to insufficient water for domestic use and intra-household conflict. Women's contributions to water management were valued, especially through informal initiatives, though involvement in statutory water management committees was not culturally appropriate. Promoting culturally appropriate ways to involve women in water management, rather than merely increasing the percentage of women on water committee, may reduce conflicts and increase women's access to domestic water supplies.

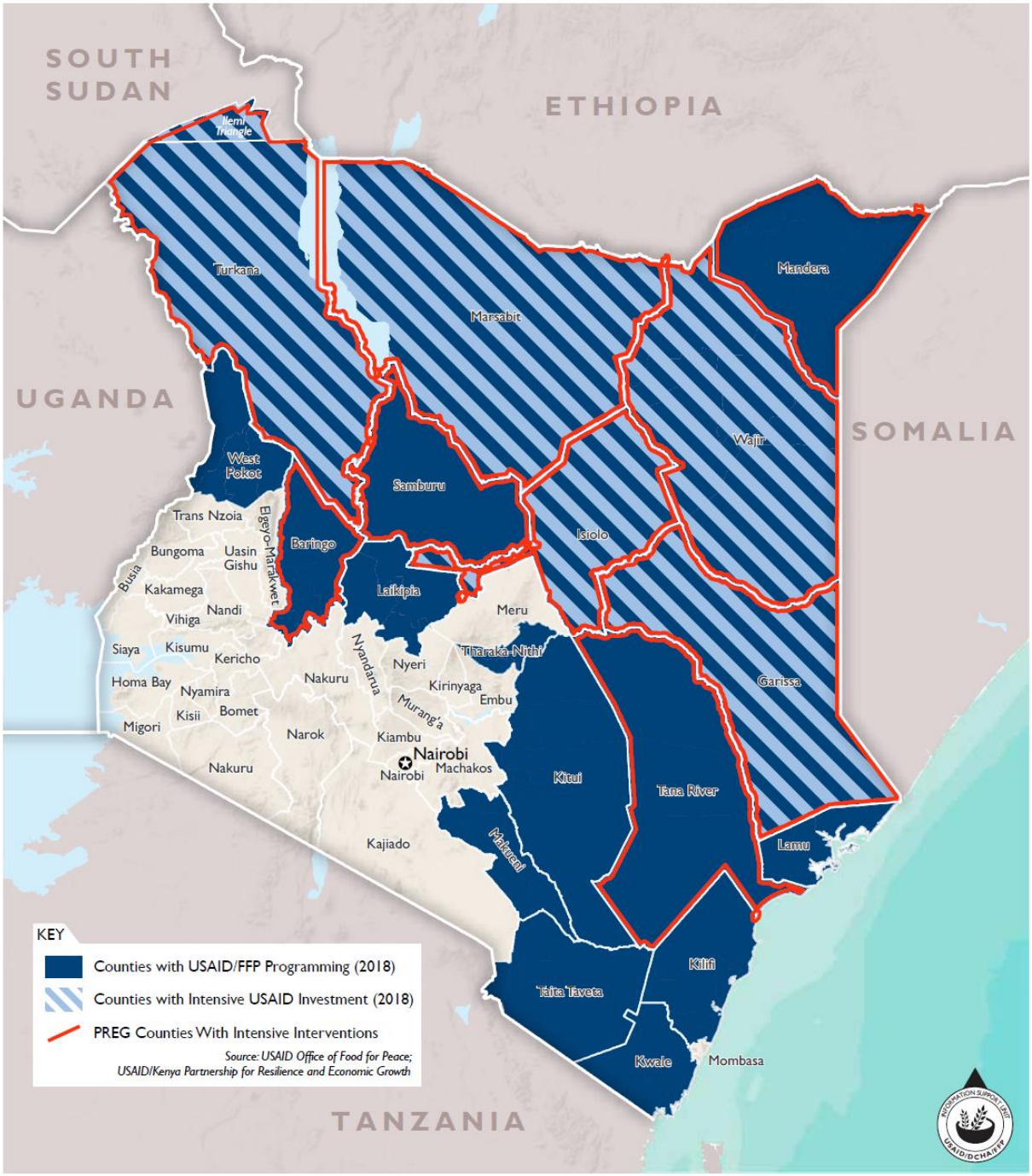
- Young, H., Marshak, A. *Persistent Global Acute Malnutrition.* Boston: Feinstein International Center, Tufts University, 2017. http://fic.tufts.edu/publication-item/persistent-global-acute-malnutrition-discussion-paper/

In many protracted emergencies, the prevalence rates of global acute malnutrition (GAM) regularly exceed the emergency threshold of > 15 percent of children despite ongoing humanitarian interventions. The widespread scale and long-lasting nature of "persistent GAM" means that it must be a policy and programming priority. Drawing on a literature review and a series of key informant interviews, this paper describes the following: scale and duration of the persistent GAM problem, perceived causal pathways, methodological challenges in identifying trends, implications for current practice and policies, implications for future research.

APPENDIX VI: Maps of USAID Programming and Relevant Vulnerability Indicators

These maps in this Annex provide a national- and county-level analysis of vulnerability indicators, population, and relevant USAID programming and are intended to help applicants visualize the key criteria that drove the geographic selection process for this activity. (Note: See maps on following pages)

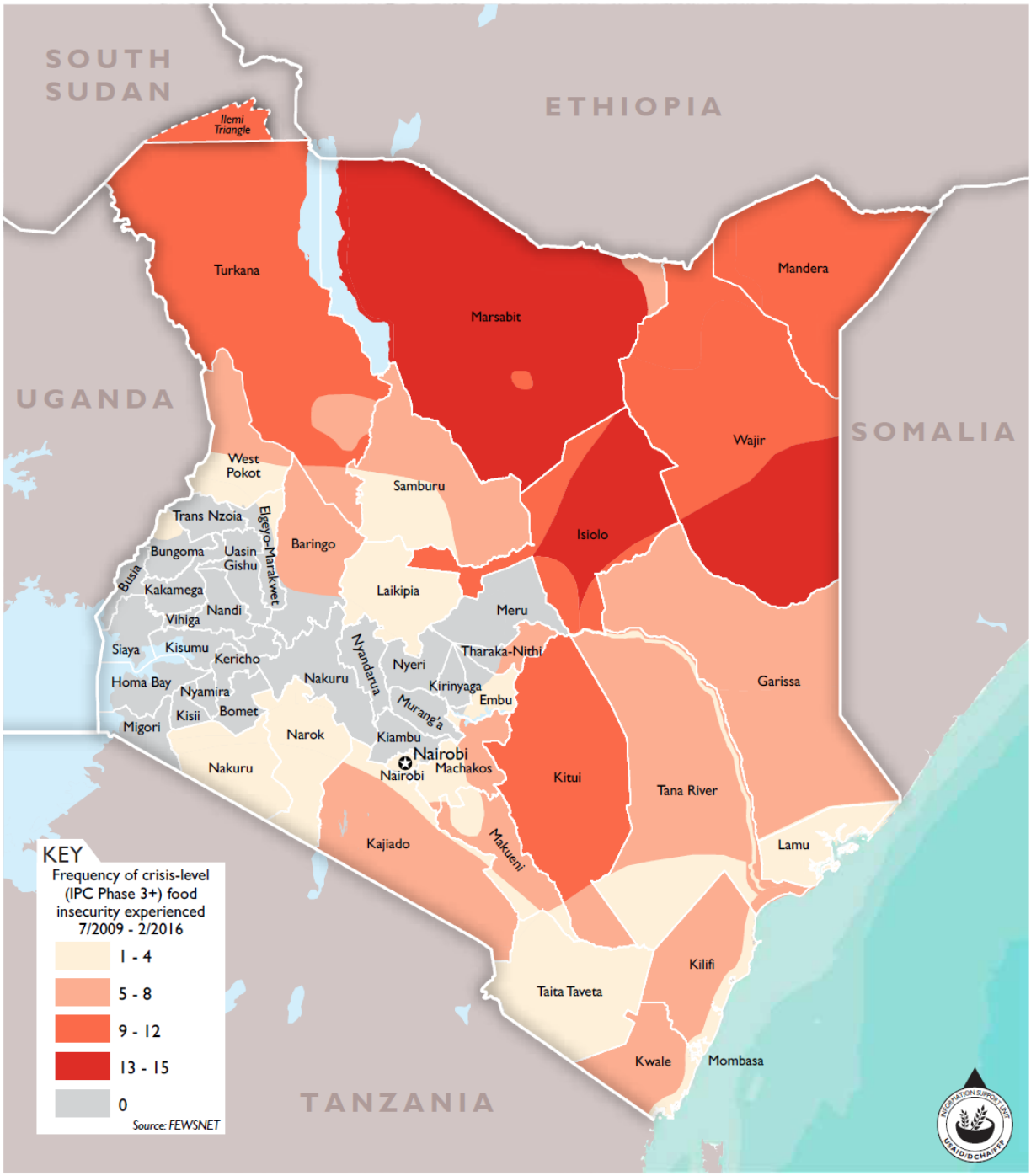
CURRENT PREG AND USAID/FFP PROGRAMMING IN KENYA (2018)



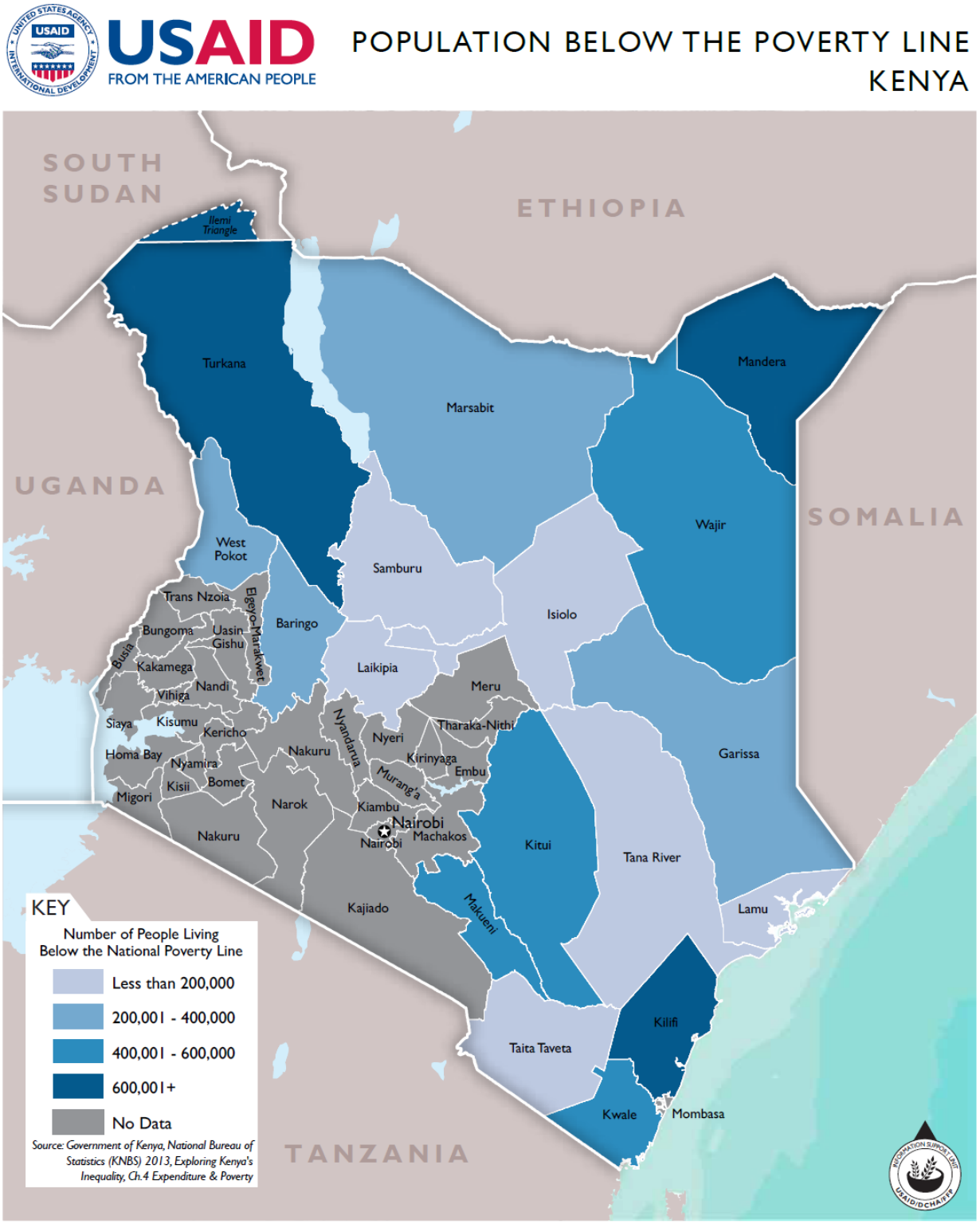
The boundaries and names used on this map do not imply official endorsement or acceptance by the U.S. Government.

USAID FROM THE AMERICAN PEOPLE

FREQUENCY OF CRISIS-LEVEL FOOD INSECURITY JULY 2009 - FEBRUARY 2016 KENYA



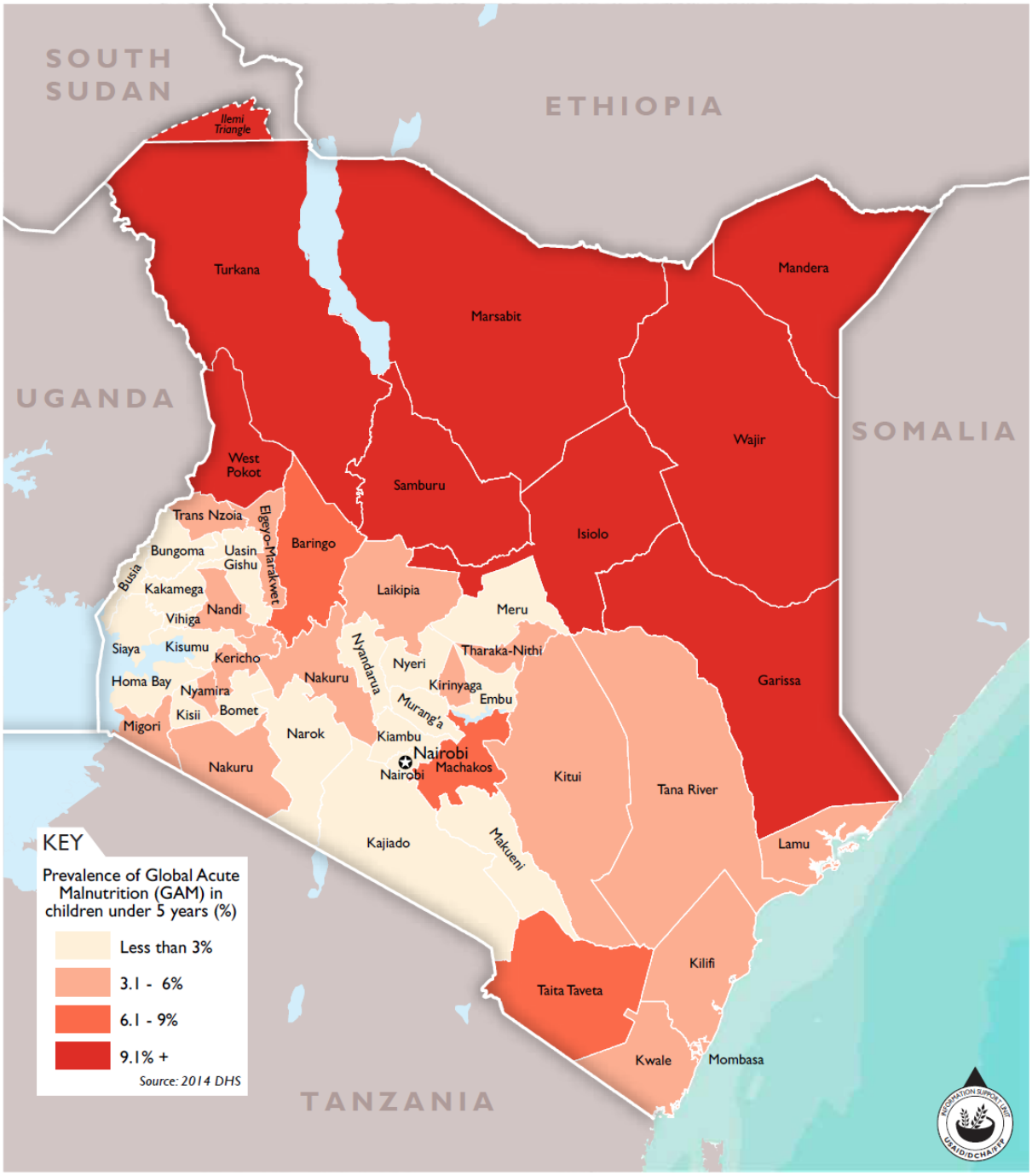
The boundaries and names used on this map do not imply official endorsement or acceptance by the U.S. Government.



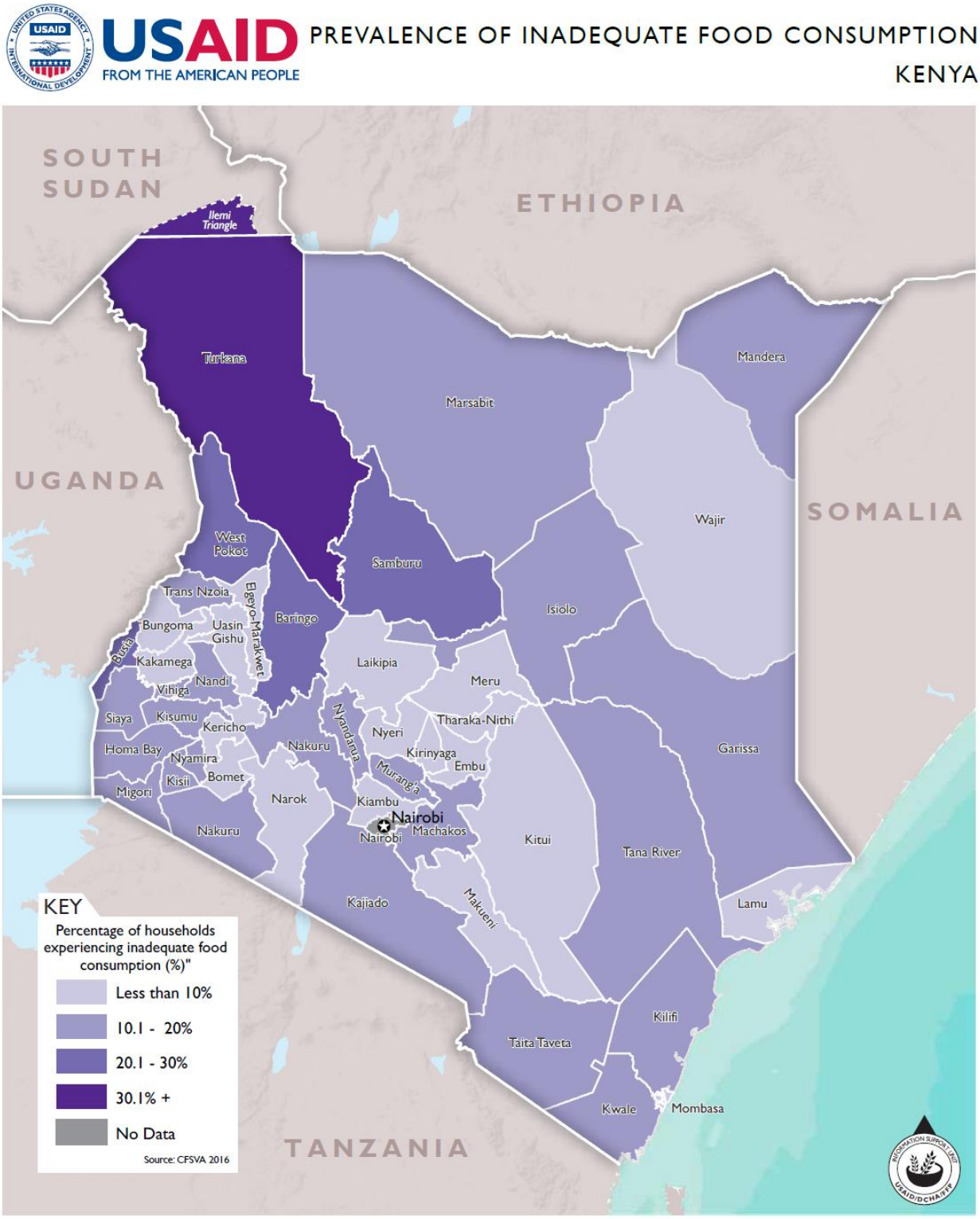
The boundaries and names used on this map do not imply official endorsement or acceptance by the U.S. Government.

USAID FROM THE AMERICAN PEOPLE

PREVALENCE OF WASTING IN CHILDREN UNDER 5
KENYA



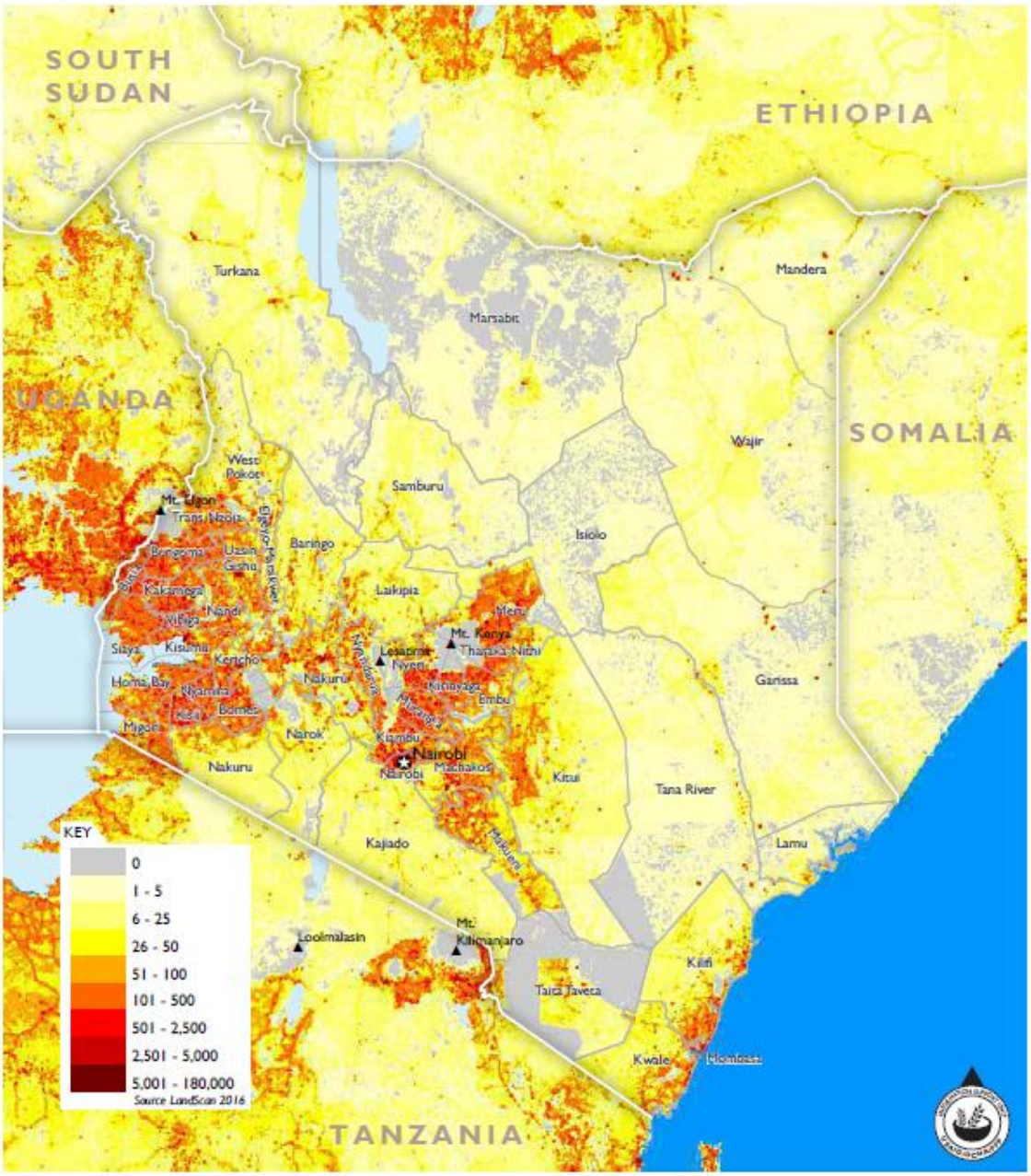
The boundaries and names used on this map do not imply official endorsement or acceptance by the U.S. Government.



The boundaries and names used on this map do not imply official endorsement or acceptance by the U.S. Government.

USAID
FROM THE AMERICAN PEOPLE

POPULATION DENSITY
KENYA



The boundaries and names used on this map do not imply official endorsement or acceptance by the U.S. Government.