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March 29, 2013

Deadline for Receipt of Questions:

April 11, 2013, 17:00 Senegal Time

Responses to Questions/RFA Amendment:

April 18, 2013, 17:00 Senegal Time

RFA Closing Date:

May 9, 2013

RFA Closing Time:

16:00 Senegal Time

Subject:

RFA-685-13-000003

Resilience and Economic Growth in the Sahel - Enhanced Resilience (REGIS-ER)

Dear Applicants:

The United States Government, represented by the Agency for International Development (USAID)/Senegal Regional Mission, is seeking applications from nongovernmental organizations (NGOs), or a consortium of local, international and/or U.S. firms. USAID desires to enter into a Cooperative Agreement with one organization to support the program entitled “Resilience and Economic Growth in the Sahel – Enhanced Resilience (REGIS-ER)” specifically described in Section I of this RFA. The authorities for this RFA are found in the Foreign Assistance Act of 1961, as amended, and the Grants and Cooperative Agreement Act of 1977. This RFA is also being issued in accordance with the established format outlined in ADS 303.3.5.2 and the Office of Federal Financial Management Policy Directive on Financial Assistance Program Announcements.

USAID is seeking applications from eligible institutions as described in Section III of the RFA. This is a full and open competition, under which any type of organization, large or small, commercial (for- and nonprofit), faith-based and partnerships may apply. In accordance with the Federal Grants and Cooperative Agreement Act USAID encourages competition in order to identify and fund the best possible responsible applicant to ensure achievement of the program objectives.

While for-profit organizations may participate in this action, pursuant to 22 CFR 226.81 it is the policy of USAID not to award profit under assistance instruments. However, all reasonable, allocable and allowable expenses, both direct and indirect, which are related to the agreement and are in accordance with applicable cost standards (for example OMB Circular A-122 for non-profit organization, OMB Circular A-21 for universities) may be paid under the agreement.

Subject to the availability of funds, and if the application is determined suitable for funding, USAID anticipates the award of a cooperative agreement with an estimated amount ranging between \$67,000,000 - \$72,000,000 over a five-year period. USAID reserves the right to fund any or none of the applications submitted. Applicants under consideration for an award that have never received funding from U.S. Government may be subject to a pre-award survey to determine fiscal responsibility, ensure adequacy of financial controls and establish an indirect cost rate. More specifically a pre-award survey team will examine the applicant’s systems to determine whether the prospective recipient has the necessary organization, experience, accounting and operational controls, and technical skills — or the ability to obtain them — in order to achieve the objectives of the program.

This RFA is being issued and consists of this cover letter and the following:

Section I	Funding Opportunity Description
Section II	Award Information
Section III	Eligibility Information
Section IV	Application and Submission Information
Section V	Application Review Information
Section VI	Award and Administration Information
Section VII	Agency Contacts
Section VIII	Other Information

For the purpose of this RFA the term "Grant" is synonymous with "Cooperative Agreement"; "Grantee" is synonymous with "Recipient"; and "Grant Officer" is synonymous with "Agreement Officer".

This RFA and any additional information will be provided through amendments posted on <http://www.grants.gov>. Please select "Find Grant Opportunities", click "Browse by Agency", select "Agency for International Development", and then search for the Request for Application number. If there is difficulty accessing this RFA please telephone the Grants.gov Helpdesk for technical assistance at 1-800-518-4726 or send an email via support@grants.gov. If after contacting the Grants.gov helpdesk an organization is still unable to retrieve this document please request an electronic copy of the RFA by contacting USAID/Senegal via email at rfajpcregiser@usaid.gov

Any questions and request for clarifications concerning this RFA should be submitted electronically by the due date indicated above to rfajpcregiser@usaid.gov. Questions sent to any other email address will not be answered. When submitting questions/clarifications, please make reference to the specific RFA as follows:

Subject: RFA-685-13-000003 REGIS-ER

Reference: Section _____, paragraph _____, page _____

Application Due Date

Applications are due on **May 09, 2013 by 16:00** (Dakar, Senegal local time). Late or incomplete applications will only be considered at the discretion of the Agreement Officer. **Only electronic submission will be accepted for receipt of this RFA.** Faxes are not acceptable.

Applications shall be submitted as follows (see Section IV – Application and Submission Information)

An electronic copy of the technical application in Microsoft Word and cost application in Microsoft Excel with workable calculations shown in the spreadsheet and an electronic version of the narrative discussing the costs for each budget line, must be submitted to the following:

Email address: rfajpcregiser@usaid.gov.

The subject line for every email must be formatted as follows:

Resilience and Economic Growth in the Sahel (REGIS-ER) Activity RFA-685-13-000003
Applicant's name TECHNICAL application EMAIL: 1 of XX

Resilience and Economic Growth in the Sahel (REGIS-ER) Activity RFA-685-13-000003
Applicant's name COST application EMAIL: 1 of XX

Applications must be directly responsive to the terms and conditions of this RFA, and must remain valid for a minimum of 180 calendar days from the closing date.

Issuance of this RFA does not constitute an award commitment on the part of the Government, nor does it commit the Government to pay for costs incurred in the preparation and submission of applications. In addition, award of the agreement contemplated by this RFA cannot be made until funds have been appropriated, allocated and committed through internal USAID procedures. While it is anticipated that these procedures will be successfully completed, potential applicants are hereby notified of these requirements and conditions for the award. Applications are submitted at the risk of the applicant, and should circumstances prevent award of this cooperative agreement, all preparation and submission costs are at the applicant's expense.

The Agreement Officer is the only individual who may legally commit the Government to the expenditure of public funds. No costs chargeable to the proposed Agreement may be incurred before receipt of either a fully executed Agreement or a specific, written authorization from the Agreement Officer.

Thank you for your consideration of this USAID initiative. We look forward to your organization's participation.

Sincerely, ,



Beatrice M. Condé
Regional Agreement Officer
USAID/Senegal

Attachment: REGIS-ER RFA-685-13-000003

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LIST OF ACRONYMS

3N - The Government of Niger's Nigeriens Nourish Nigerians
 AGIR - Alliance Globale pour l'Initiative Resilience (Global Alliance for Resilience Initiative)
 AO - Agreement Officer
 AOR - Agreement Officer Representative
 ATP/ EATP – Agribusiness and Trade Promotion/Expanded Agribusiness and Trade Promotion
 BCC - Behavior Change and Communication
 CHW/Vs - Community Health Workers/Volunteers
 CILSS - Permanent Interstate Committee for drought control in the Sahel
 CLA - Collaborate, Learn and Adapt
 AO – Agreement Officer
 AOR – Agreement Officer Representative
 CORAF - West and Central African Council for Agricultural Research and Development
 CRS - Catholic Relief Services
 DANIDA - Danish International Development Agency
 DCA - Development Credit Authority
 DFID - United Kingdom Department for International Development
 DRR - Disaster risk reduction
 EA - Environmental Assessment
 ECHO - European Community Humanitarian Aid Office
 ECOWAS - The Economic Community Of West African States
 EMMP - Environmental Mitigation and Monitoring Plan
 ENA - Essential Nutrition Actions
 EU - European Union
 FAO - Food and Agriculture Organization of the United Nations
 FFP - Food for Peace
 FMNR - Farmer Managed Natural Regeneration
 GAFSP - Global Agriculture and Food Security Program
 GAM - Global Acute Malnutrition
 GAM - Global acute malnutrition
 GPS - Global Position System
 GoN – Government of Niger
 ICT - Information and Communication Technologies
 IFAD – International Fund for Agricultural Development
 IFDC - International Fertilizer Development Center
 ISFM - Integrated Soil Fertility Management
 LOE – Level of Effort
 M&E - Monitoring and Evaluation
 MCC - The Millennium Challenge Corporation
 MFI - Microfinance Institutions
 NGO - Non-Governmental Organization
 NRM - Natural Resource Management

OFDA - The Office of U.S. Foreign Disaster Assistance
PD - Program Description
PDEV - Peace through Development Program
PIO - Public International Organization
PMP - Performance Monitoring and Evaluation
PNSR - The Government of Burkina Faso National Program for Rural Sector
PVO - Private Voluntary Organization
REGIS - Resilience and Economic Growth in the Sahel
REGIS-AG - Resilience and Economic Growth in the Sahel Accelerated Growth
REGIS-ER - Resilience and Economic Growth in the Sahel Enhanced Resilience
RFA - Request for Application
RFP - Request for Proposal
SACCO - Savings and Credit Cooperative Organizations
SAREL - Sahel Resilience Learning
SOM - Soil Organic Matter
SOW - Statement of Work
TSCTP - Trans-Sahara Counter-Terrorism Partnership
UEMOA- L'Union économique et monétaire ouest-africaine (West African Economic and Monetary Union)
UNFPA- United Nations Population Fund
UNICEF - United Nations Children's Fund
USDA - The US Department of Agriculture
USG – United States Government
VOIP - Voice over IP
WASH - Water, Sanitation and Hygiene
WAWASH - Water Supply, Sanitation and Hygiene Program
WEAI - Women's Empowerment in Agriculture Index
WFP - United Nations World Food Program

SECTION I – FUNDING OPPORTUNITY DESCRIPTION

Resilience and Economic Growth in the Sahel - Enhanced Resilience (REGIS-ER)

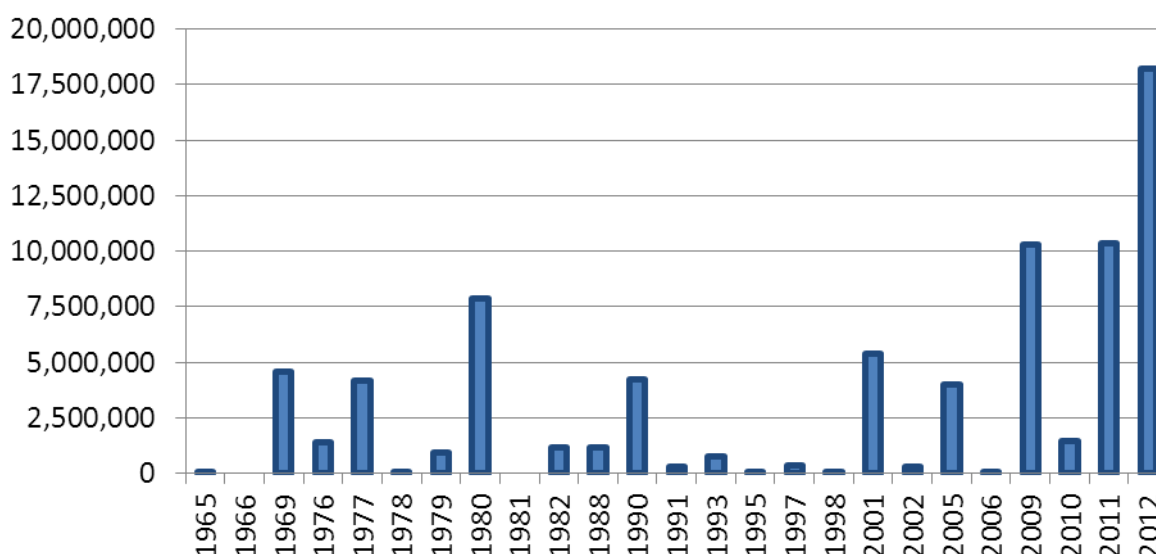
I. INTRODUCTION

This Request for Application (RFA) REGIS-Enhanced Resilience (REGIS-ER) is one of the new programs that are operating under a larger program entitled “Resilience and Economic Growth in the Sahel (REGIS)” that will target select livelihood zones in Niger and Burkina Faso. The first program is this RFA, as discussed in the “Program Description and Component” below and will be for a five year period. The second program, entitled REGIS-Accelerated Growth (REGIS-AG), is outlined in a separate Request for Proposal (RFP) found on the www.fbo.gov website and **contributes to Component 1- “Increased and Sustainable Economic Well-Being”** of this RFA. The third program is the Sahel Resilience Learning (SAREL) procurement which will serve as an instrument to promote effective collaborative performance management between all the aforementioned programs.

II. BACKGROUND

During 2011-12, an estimated 18 million people across the Sahel were in need of humanitarian assistance, including 8.4 million in Niger and Burkina Faso alone. Drought was clearly a contributing and proximate cause of this crisis. However, its scale and severity and the frequency of similar crises over the last several decades, are better understood as the product of a large and growing resilience deficit rooted in chronic vulnerability that manifests itself as an acute humanitarian emergency in response to drought conditions every few years¹.

Estimated Number of Persons in Need of Humanitarian Assistance in Mauritania, Senegal, Mali, Burkina Faso, Niger and Chad by Year
(source: EM-DAT <http://www.emdat.be/>)



¹ The term resilience deficit comes from Gubbles (2012) *Ending the Everyday Emergency: Resilience and Children in the Sahel* <http://reliefweb.int/sites/reliefweb.int/files/resources/Ending-the-Everyday-Emergency-report.pdf>

2.1. Rationale for Investing in the Sahel

In the wake of the 2011 drought crises in the Horn of Africa and the Sahel, there is now widespread recognition among national governments, regional institutions, the donor community, and humanitarian and development partners that more must be done to enhance the *resilience* of chronically vulnerable populations in these drought-prone regions. 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 growth². (See Box 1).

The rationale for investing in resilience in the Sahel now is three-fold. First and foremost, continually responding to the symptoms of chronic vulnerability with humanitarian assistance every few years is ineffective and costly in human terms. Humanitarian assistance has saved lives in times of crisis. When timely, it has also protected livelihoods. However, humanitarian assistance is not intended to address chronic vulnerability and, in isolation, has done little to stem the large and growing resilience deficit underlying recurrent drought emergencies in the Sahel. (See Box 2).

In the absence of a sustained and coordinated effort to address the underlying causes of poverty and food insecurity, acute malnutrition rates (10% to 15%) and child mortality (645,000 per year) will remain persistently high even in non-crisis years. An increasing number of households are also being forced to sell productive assets or become indebted leaving them more vulnerable to shocks and cumulative stresses and less able to take advantage of opportunities to climb out of poverty and up the economic ladder. As a result, the number of people in need of external humanitarian assistance in times of disaster continues to grow.

Second, humanitarian assistance is costly in financial terms. Collectively, donors spent over \$1 billion in humanitarian assistance in the Sahel in 2012 with the USG alone having spent over \$400 million. Conversely, a study funded by the United Kingdom Department for International Development (DFID) found that in Kenya, over a 20 year period, every \$1 spent on resilience building activities resulted in \$2.9 saved in the form of reduced humanitarian

Box 1 – USAID Policy and Program Guidance: Building Resilience to Recurrent Crisis

In 2012, USAID released policy and program guidance that draws on decades of experience providing humanitarian relief and development assistance to identify:

- A conceptual framework to inform resilience programming;
- The operational changes we seek, including operational changes to better coordinate humanitarian and relief and development teams around resilience; and
- The impact we seek. Through these efforts, we aim to reduce chronic vulnerability and promote more inclusive growth in areas of recurrent crisis.

Ultimately, we seek to save and improve lives and decrease the need for repeated infusions of humanitarian assistance in targeted areas where this approach is applied.

See <http://www.usaid.gov/resilience>

Box 2 - Climate Change and Resilience

Climate change is already causing temperature and rainfall extremes that exceed historical patterns in the Sahel. Climate models predict increasing temperatures, more variable rainfall, and more frequent extreme events, such as floods and droughts, over the coming decades. More frequent droughts and floods will make recovery more difficult by reducing the time affected populations have to rebuild assets and savings before the next shock hits. Resilience efforts will be undermined if they do not invest in building the capacity of countries and communities to better manage current climate variability and long-term changes. See “Background Paper on Climate Vulnerabilities and Development in Burkina Faso and Niger.”

http://transition.usaid.gov/our_work/environment/climate/docs/climate_vulnerabilities_and_development_in_burkina_faso_and_niger.pdf

² See USAID’s Policy and Program Guidance: Building Resilience to Recurrent Crisis <http://transition.usaid.gov/resilience/ResiliencePolicyGuidanceBriefer.pdf>

spending³. This and the human cost noted above, demand a much more balanced portfolio of investments.

Third, chronic vulnerability constrains economic growth. This is most evident in terms of productive losses during drought episodes, but applies equally to unattained potential. In turn, constrained economic growth further limits the ability of individuals, households, communities, countries and systems to effectively mitigate, adapt to and recover from shocks and stresses. The result is a macro-level equivalent of the downward spiral describe above.

The sustained and coordinated effort needed to enhance resilience in the Sahel will require a sustained and coordinated commitment on the part of national governments, regional institutions, donors, and humanitarian and development partners. The recently released Alliance Globale pour l'Initiative Resilience (AGIR) Draft Roadmap provides a strong signal of this commitment, as well as the Economic Community of West African States (ECOWAS's) leadership role in this regard⁴. The Government of Niger's Nigeriens Nourish Nigeriens (3N) initiative and the Government of Burkina Faso National Program for Rural Sector (PNSR) provide similarly strong signals at national level⁵.

The USG is committed to leveraging both humanitarian and development resources to support these regional and national efforts. Accordingly, this RFA outlines a strategy for layering, sequencing and coordinating new and existing humanitarian and development investments, including REGIS-ER and REGIS-AG. The USG is also committed to broader coordination with governments, regional bodies, the international donor community and other development and humanitarian partners as outlined in the same section.

2.2. Geographic Focus

In order to achieve meaningful and sustainable impact, USAID will focus its new investments in two geographies chosen on the basis of the following criteria:

- *Chronic Vulnerability* – Levels of food insecurity, acute malnutrition and USG humanitarian spending between 2005 and the present as a proxy for persistent humanitarian needs.
- *Comparative Advantage* – The presence of USAID funded humanitarian and development programs upon which new investments via REGIS-ER and REGIS-AG can link to.
- *Enabling Environment* – Security conditions, a conducive government partner, demonstrable evidence of resilient and scalable adaptations and innovations, such as Farmer Managed Natural Regeneration (FMNR) and water harvesting already underway.

Box 3 – Cross-Border Learning

Cross-Border Learning stimulates a form of growth that is uniquely adapted to the region, making maximum use of national and regional resources in both Niger and Burkina Faso. In particular it builds upon the experiences of successful adaptations already underway in one country and exports that expertise to a neighboring country that has a similar development context. Cross-Border Learning activities will lead to new ways of collaboration, a more systematic diffusion of knowledge, and better resource management. And the added-value of such cooperation has a greater overall impact –socially, economically and environmentally – than if undertaken separately.

As a result of applying these criteria at national and sub-national levels, agro-pastoralist and marginal agriculture livelihood zones in Niger and Burkina Faso were prioritized (See Box 3 and Map 1 next page). Within these targeted zones, Tillabéry, Maradi, and Zinder regions were selected in Niger and Séno,

³ DFID (2012) Economics of Early Response and Resilience: Emerging Lessons from Kenya and Ethiopia

⁴ http://www.oecd.org/swac/topics/ENG-AGIR%20draft%20roadmap_191112.pdf.pdf

⁵ <http://www.hubrural.org/L-initiative-3-N-les-Nigeriens.html>

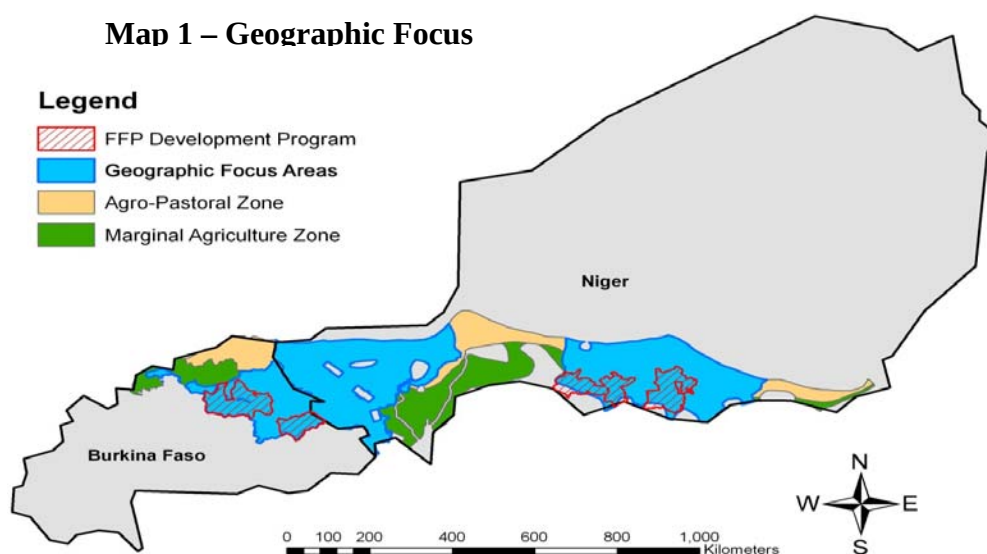
Yagha, Komondjari, Gnagna, Namentenga, Sanmatenga, Bam, and Loroum provinces in Burkina Faso⁶. The geographic continuity in northern Burkina Faso and southwestern Niger is intended to create and expand opportunities for cross-border learning and trade. According to National Census Data in both countries, the total population in the target regions and provinces is approximately 11 million people.

2.3. Development Hypothesis

2.3.1 Dynamics and Drivers of Vulnerability

The livelihood zones above suffer from high levels of poverty, historical (and current) marginalization, water scarcity, weak governance and gender inequality. Against this already target

Map 1 – Geographic Focus



challenging backdrop, a complex set of drivers and dynamics have resulted in a large and growing resilience deficit characterized by the *inability* 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.

Chief among these drivers are population pressure, (See Box 4) climate change and variability, and a growing reliance by households on markets to meet their food needs. The combination of these dynamics and the interaction between them has led to increased susceptibility to food price volatility, competition over resources, land degradation, uncertain production levels, declining land holdings, households exiting from farming and livestock keeping, declining and variable incomes, divestment of assets, and indebtedness. Population growth rates, upwardly volatile food prices and predicted increases in the frequency and intensity of climatic shocks suggest that, if left unaddressed, the depth and breadth of the already large resilience deficit in these zones will continue to grow at an accelerated pace.

Box 4 - Population Pressure

Niger has the highest birth rate in the world and the population is expected to double by 2035.

<https://www.cia.gov/library/publications/the-world-factbook/geos/ng.html>

⁶ In Burkina Faso, the provinces of Oudalan and Soum were not selected due to ongoing security concerns.

2.3.2 Theory of Change

The resilience of people, households, communities and systems in agro-pastoralist and marginal agriculture zones in Niger and Burkina Faso will be significantly enhanced by increasing sustainable economic well-being, strengthening institutions and governance, and improving health and nutrition. Those who are chronically vulnerable will adapt and become resilient. Those who have adapted and become resilient will have improved economic security (Figure 1 and Box 5).

Increased sustainable economic well-being - defined by household income, food access, livelihood assets, and adaptive capacity - will be achieved by scaling-up, deepening, and expanding upon resilient adaptations and innovations already underway. Facilitating the scale-up, deepening and expansion of these activities will also create an avenue for inclusive economic growth that will further increase sustainable economic well-being and further enhance the ability of people, households, communities, systems and countries to mitigate, adapt to and recover from shocks and stresses.

Box 5 - Adaptions Already Underway:

A small, but significant number of people, households and communities are adapting and innovating and, as a result, becoming more resilient to the shocks and stresses:

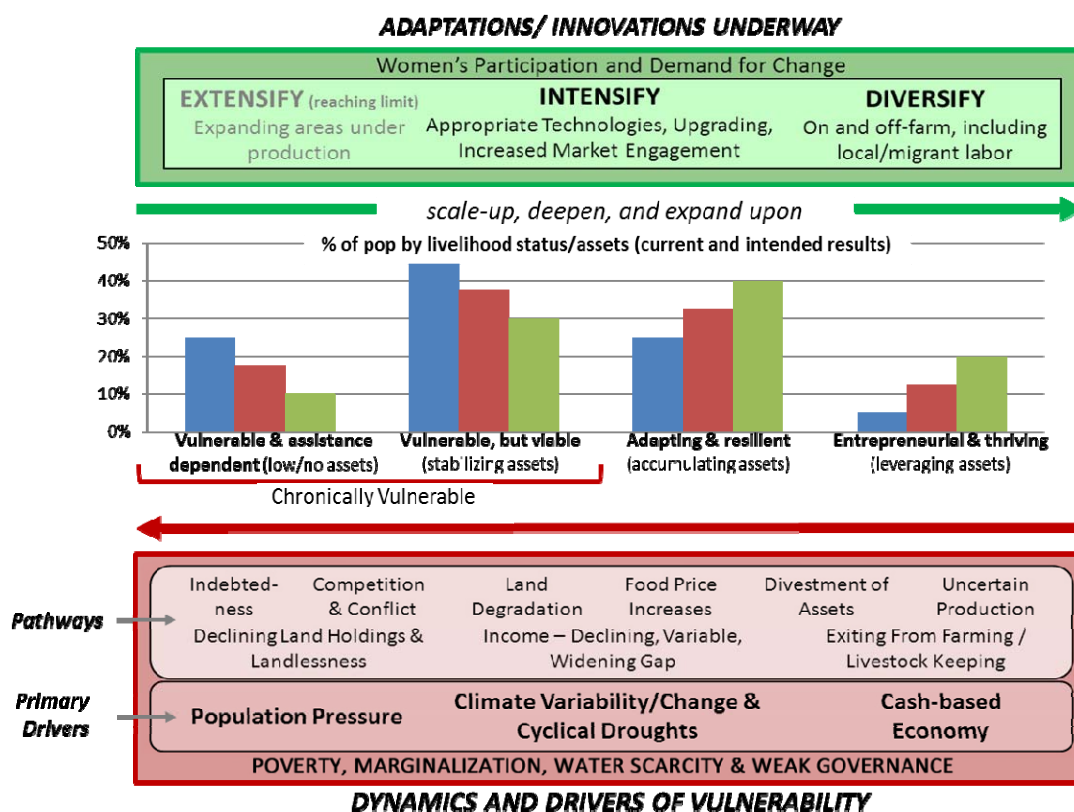
Extensify - Some have done so by expanding areas under production. However, this strategy is reaching its agro-ecological limits.

Intensify - Others have intensified crop and livestock production through the adoption of appropriate technologies and techniques such as Farmer Managed Natural Regeneration and water harvesting and increased engagement with - and orientation to - markets.

Diversify - Still others have reduced their risk and become more resilient by diversifying into alternative livelihoods, including those less susceptible to drought.

These adaptive strategies are mutually supportive of one another and often pursued simultaneously or sequentially.

Figure 1 – Dynamics of Change



Stronger institutions and governance will provide a critical source of stability that both constitutes and creates resilience - be it in relation to natural resources, disaster response, and conflict management or the interface between state and non-state actors. It will also provide the enabling environment needed to facilitate inclusive economic growth and increased, sustainable, economic well-being.

Improved health and nutrition are also a critical dimension of, and pathway to, resilience. First, the impact of poor health and nutrition on human development, individual and aggregate productivity and household resources will constrain and ultimately undermine efforts to facilitate inclusive economic growth. Second, the financial costs associated with unanticipated health and nutrition crises within households can initiate or exacerbate the downward spiral of divestment and indebtedness among chronically vulnerable households, leaving them even more vulnerable.

Initiating and sustaining this positive dynamic of change requires working with and investing in entire communities from the most vulnerable to those who are already thriving as the prospects of all are intimately connected. It also requires bolstering the resilience of the social, economic, and natural resource systems in which they reside. Finally, it requires an integrated and comprehensive approach to gender that recognizes women as innovative and dynamic change agents, addresses gender disparities in access to resources, opportunities, and decision making and leverages the economic, political, and socio-cultural attributes, constraints, and opportunities associated with being male and female.

III. COORDINATION WITH HOST COUNTRY COUNTERPARTS AND OTHER IMPLEMENTERS

3.1. Strategic Layering, Sequencing and Coordination

A defining feature of USAID's strategy to *increase the resilience of chronically vulnerable people, households, communities and systems in targeted agro-pastoral and marginal agriculture livelihood zones in Niger and Burkina Faso* is our commitment to strategically layer, sequence and coordinate USAID and other resilience-building investments. A strategically aligned, three tiered strategy is envisioned:

- USAID's core partnership programs for resilience
- Other USG programs
- Governments, Regional Institutions, and Other Donors and Partners programs

3.2. USAID's Core Partnership for Resilience

The first tier is USAID's core partnership for resilience. This partnership is comprised of existing Food for Peace (FFP) development programs in targeted agro-pastoral and marginal agriculture livelihood zones in Niger and Burkina Faso (See Map 1) and two new programs: REGIS-ER and REGIS AG. Two existing FFP development programs in Burkina Faso and three in Niger provide a foundation upon which the REGIS programs will build. Each is unique in their activities and approaches, but all share the common aim of addressing the underlying causes of chronic malnutrition through economic growth, health, nutrition and capacity building. These programs are:

- ACIDI/VOCA/ Burkina Faso: Projet Victoire sur la Malnutrition
- CRS/ Burkina Faso: Families Achieving Sustainable Outcomes
- CRS/ Niger
- Mercy Corps/ Niger: Sawki
- Save the Children/Niger: Livelihoods, Agriculture and Health Interventions in Action.

Both REGIS-ER and REGIS-AG will initiate their efforts in communities where FFP development programs are already present and *build on and out* from these programs. REGIS-ER and REGIS-AG will also strategically layer and integrate their programs with one another (see Program Description and Components). Given the overlap in programmatic focus between core partners and the intent to layer core partnership programs down to the community and household level, a high degree of coordination and integration will be required.

3.3. Other USG Programs

A second tier of USAID's strategy is the layering, sequencing and coordination of the core partnership for resilience with other USG programs that are in or have the potential to impact REGIS-ER's target geographies. These include humanitarian assistance programs funded by FFP and the Office of U.S. Foreign Disaster Assistance (OFDA), as well as development programs funded by USAID and the USG.

3.4. USAID Humanitarian Assistance Programs

USAID FFP and OFDA provide humanitarian assistance in the Sahel through UN, NGOs and other partners. USAID/OFDA also supports national and regional structures to strengthen early warning and response systems, as well as disaster risk reduction (DRR) programs that seek to reduce the risks and effects of acute malnutrition, displacement, and epidemics.

3.5. USAID Development Assistance Programs

USAID West Africa funds a number of development programs that either contribute to the resilience of populations in the livelihood zones that will be targeted by REGIS-ER or have the potential to do so. The most relevant among these are:

- The Water Supply, Sanitation and Hygiene Program (WAWASH) which aims to increase sustainable access to safe water and sanitation, and improve hygiene
- The USAID West Africa Agribusiness and Trade Promotion Program (ATP/ EATP) which aims to increase the value and volume of higher-quality staple foods and assisting value chain stakeholders to increase trade
- The Peace through Development (PDEV) program, USAID's component of the broader USG Trans-Sahara Counter-Terrorism Partnership (TSCTP) which focuses on good governance; youth empowerment and integration; and media and outreach support.
- The USAID West Africa AGIR pour la Planification Familiale Program, which will be awarded in April 2013. AGIR-PF aims to increase access to and use of quality FP services in select urban and peri-urban areas and will focus on four countries; Burkina Faso, Niger, Mauritania and Togo.

Other USG programs that afford opportunities for strategic coordination include those support by the Millennium Challenge Corporation (MCC), the US Department of Agriculture (USDA), the US Embassy in either/both countries and, in Burkina Faso, the G8 New Alliance for Food Security.

3.6. Governments, Regional Institutions, and Other Donors and Partners

The third tier of USAID's strategy is to align and coordinate our efforts with the efforts of national governments, regional institutions, and other donors and partners. Key regional institutions and initiatives include ECOWAS, the Permanent Interstate Committee for drought control in the Sahel (CILSS); the West African Economic and Monetary Union (UEOMA) West and Central African Council

for Agricultural Research and Development (CORAF), and the Ouagadougou Partnership (for family planning). Key donors and partners include the African Development Bank, DANIDA, DFID, ECHO/EU, FAO, IFAD, Netherland Cooperation, Swiss Development Agency, UNFPA, UNICEF, UNWFP and the World Bank. The recently established *l'Alliance Globale pour l'Initiative Resilience Sahel* (AGIR) provides a readymade platform for alignment and coordination of these efforts at the regional and international levels.

IV. CROSS CUTTING ISSUES AND GUIDING PRINCIPLES

To achieve its objectives and goal, REGIS-ER and REGIS-AG will have to be catalytic and systematic in how they intervene. To this end and in accordance with U.S. Government development commitments, including the Paris Declaration on Aid Effectiveness, the USAID Forward agenda, and USAID policies, REGIS-ER and REGIS-AG will integrate the following cross-cutting issues and adhere to the following guiding principles:

4.1 Cross Cutting Issues

Gender - Gender disparities, such as those associated with access to and control of assets, decision making responsibilities and time-use patterns, reduce the ability of individuals, households, communities and systems in targeted agro-pastoralist and marginal agriculture livelihood zones to mitigate, adapt to and recover from shocks and stresses. Targeted efforts that engage both men and women to reduce these disparities and shift socio-political and socio-cultural norms that disempower girls and women will be essential not only for gender equity, but for the achievement of the program's resilience aims.

Water - In agro-pastoral and marginal agriculture livelihood zones of Niger and Burkina Faso there is no hard line between "domestic" and "productive" water sources. People use whatever combination of surface and ground water that are available to meet all of their needs (See Box 6).

Climate Change - Chronically vulnerable populations in the livelihood zones targeted by REGIS-ER depend heavily on natural-resources for their livelihoods. Increasing temperatures and more erratic rainfall patterns associated with climate change are already exacerbating natural resource management challenges. These trends are expected to continue or worsen and maintaining a strong natural resource base and promoting sustainable NRM and agricultural practices in the face of climate variability and change is critical for building and maintaining the resilience of these populations. The use of climate smart agriculture will further provide a foundation upon which to enhance resilience.

Information and Communication Technologies (ICT) - ICT includes internet access, presence and web-based applications; voice, text and applications on mobile phone networks; radios, stand-alone videos and digital photos; global position system (GPS) location information and combinations of all of these. Cell phone access is typically much more pervasive in the region's countries than internet access and technological innovations enable data services and applications to be delivered with increasing ease over such phone networks. Further, evolving wireless approaches to extending internet access coupled

Box 6 – The Centrality of Water. Water scarcity features prominently as part of the backdrop against which the dynamics and drivers of vulnerability in the Sahel have played out. Improving access to water for productive and domestic use will be critical to achieve increased and sustainable economic well-being and improved health and nutrition status. Improved water governance is also a critical component of natural resource, conflict and disaster risk management. The effective and sustainable management of ground water resources will be a critical part of the solution. Rain water harvesting and management will be equally critical as up to 50% of the rain that falls is currently lost to run-off and deep drainage (Stoosnijderi & Hoogmoed, 1984). The impact of increasing temperatures and more variable rainfall on supply makes the need for both more pressing still. Stoosnijderi, L., & Hoogmoed, W. (1984). Crust formation on sandy soils in the Sahel, II Tillage and its effects on the water balance. *Soil & Tillage*, 4 321-337.

with the use of Voice over IP (VOIP) services and micro-telecommunications company business models are making Internet access itself commercially sustainable in increasingly rural areas within the region.

4.2 Guiding Principles

Facilitation – Facilitation aims to improve the functionality of a system (or systems) and to catalyze systemic change without taking a direct role in the system. Its objective is to ensure sustainability by putting local actors front and center as drivers of change processes with a focus on understanding both the opportunities and constraints that explain why the system functions the way it does. Finally, facilitation aims to achieve greater scale by targeting interventions at catalytic leverage points within systems⁷.

A Systems Approach - 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 promotes inclusive growth. In line with this, REGIS-ER will adopt a systems approach that recognizes and leverages the interdependence of actors and relationships within and between social, economic, natural resource and other livelihood systems (broadly conceived). This approach should be informed by lessons learned from value chain facilitation, but extended and applied across other systems and all program components.

Focus on the most vulnerable, but engage entire communities (and systems) – The theory of change presented earlier is predicated on the principle that broad-based, inclusive economic opportunities and growth are necessary to improve the resilience of all, while targeting the most vulnerable. This principle recognizes that the prospects of the most vulnerable are intimately tied to the prospects of the better off (and vice versa) - be it in relation to economic opportunities or the ability to rely on social networks in times of need.

Build on what's already working - As described earlier, there are a number of resilient adaptations and innovations already underway that informed the selection of agro-pastoralist and marginal agriculture livelihood zones as target geographies, including FMNR and water harvesting. The scaling up, deepening and expansion of these and other forms of adaptation and innovation also feature centrally in the theory of change.

Inclusion through community-driven programming and local capacity building – REGIS-ER and REGIS-AG will actively engage with communities and other stakeholders - including vulnerable and marginalize groups such as women and youth - to identify and prioritize their needs, contributions, and ideas. This inclusive and participatory process is critical to ensuring solutions are locally owned and fit the local context. In line with USAID Forward, REGIS-ER should also prioritize the involvement of local institutions – be they government, private sector or community based. Doing so also demands building the capacity of these institutions.

Functional Literacy – Given that a large proportion of the target population is illiterate and that women are both overrepresented in this group and critical change agents, it is imperative that REGIS-ER utilize a functional literacy approach to skills-oriented learning when imparting new skills, technologies, and/or seeking to change behavior. In some cases, this will include basic literacy or numeracy. For example, if REGIS-ER is increasing the financial skills of extremely vulnerable households or producer groups, it will be necessary to include basic numeracy in the approach to building new financial capabilities.

⁷ For a briefing paper on “understanding facilitation:

http://microlinks.kdid.org/sites/microlinks/files/resource/files/Facilitation_Brief.pdf

Flexibility learning – REGIS-ER will operate in an inherently dynamic environment and the program should maintain flexibility to be able to respond to new opportunities and changing conditions. This flexibility should be built on the concept of continuous learning and based on the Collaborate, Learn, and Adapt (CLA) approach developed by USAID’s Bureau for Program Planning and Learning (USAID/PPL). This approach facilitates a process for strategic collaboration among partners, systematically generates and captures learning, facilitates the exchange of knowledge, and promotes a learning culture.

Evidence-based implementation – REGIS-ER and REGIS-AG programs will be informed by analytics, including value chain analyses, a gender analysis, and a climate change vulnerability and adaptation assessment. The large body of existing evidence in the academic and grey literature on FMNR, water harvesting, diversification strategies, nutrition, health and other relevant subjects must also inform programming. The references cited in this document and the accompanying annexes provide a starting point in this regard.

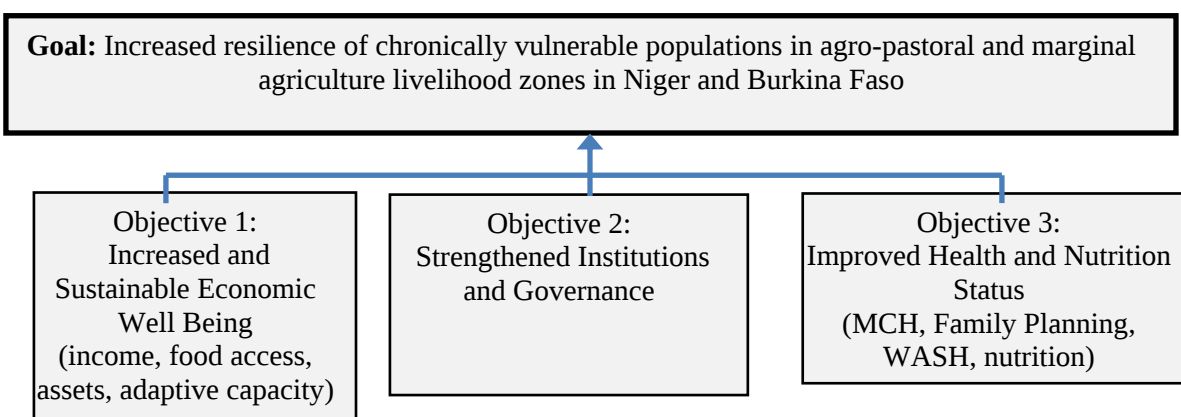
Conflict Sensitivity and Do No Harm - The Sahel region faces not only environmental challenges, but also a range of political, social and economic threats including, but not limited to, localized disputes over resources, a history of non-democratic transitions, trafficking in illicit products and extremist organizations. Additionally, the broader West Africa region is one of the most fragile in the world. REGIS-ER and REGIS-AS must be cognizant of these threats and remain diligent in understanding the impact of their activities on local economies, social networks and livelihoods in order to avoid exacerbating existing or potential future tensions. This will require contextual analysis and focused monitoring efforts and should be in line with both humanitarian commitments, such as the Sphere Standards, and US policies and regulations regarding commitments towards engaging fragile states.

V. PROGRAM DESCRIPTION AND COMPONENTS

5.1. Goal and Objectives

The overarching goal of REGIS is *to increase the resilience of chronically vulnerable people, households, communities and systems in targeted agro-pastoral and marginal agriculture livelihood zones in Niger and Burkina Faso*. As highlighted below (in Figure 2), this will be achieved through three interwoven objectives: increased and sustainable well-being, strengthened institutions and governance, and improved nutrition and health. Each of these objectives constitutes a core component of the REGIS-ER program.

Figure 2– REGIS Goal and Objectives



The expected, topline results in targeted geographies are:

- Global Acute Malnutrition (GAM) rates reduced from near 15% to < 10% prevalence
- The depth of poverty amongst poor households reduced by 20%
- The prevalence of severely and moderately hungry households reduced by 20%
- Reduce by 375,000 the number of people in need of humanitarian assistance during a drought of 2011 magnitude.⁸

The fourth expected result provides a powerful (if imperfect) means of validating the economic rationale for investing in resilience. However, inconsistency in the methods used to determine humanitarian assistance figures makes rigorous measurement of this result challenging⁹.

5.2 **Program Components**

The REGIS-ER program is designed around three interwoven objectives: (a) increased and sustainable economic well-being, (b) strengthened institutions and governance, and (c) improved health and nutrition status. Each of these objectives is a program component and each of these components has a number of sub-components that correspond to intermediate results (IRs) described in sections that follow.

Subject to the availability of funds, the anticipated available funding for the 3 Components is reflected in the following illustrative table.

Components	Funding Range
1	\$29,000, 000 - \$31,000,000
2	\$21,000, 000 - \$23,000,000
3	\$17,000, 000 - \$18,000,000

***NOTE:** The REGIS-AG, outlined in a separate RFP, also contributes to Component 1 - “Increased and Sustainable Economic Well-Being” of this RFA.

In addition, there will be a fourth component that embeds emergency response options within the REGIS-ER program that is intended to protect resilience and development gains achieved by the three aforementioned core components of the program.

See overarching Sahel JPC Strategy Results Framework in Annex 2

The Sahel JPC strategy results frameworks presented here and in each sub-section identify areas of programmatic focus and provide the framework for the narratives that follow. REGIS-ER will focus its efforts on Intermediate Results (IRs) and sub-IRs where USAID has an identified comparative advantage. These are shaded in dark blue. IRs and sub IR’s that these efforts influence or are a sub-set of are shaded in light blue. IRs and sub-IRs that are not shaded will not be a focus for this program. Accordingly, REGIS-ER must work in close collaboration with governments and other partners who are working in these areas to ensure all efforts to increase sustainable economic well-being, strengthen institutions and governance and improve health and nutrition are coordinated and aligned. USAID is committed to advocating and working with national governments and other donors and partners to ensure these are addressed.

⁸ 375,000 is the equivalent of 20% of 2011 humanitarian assistance needs in targeted areas

⁹ The Normalized Difference in Vegetation Index (NDVI) will be used to normalize humanitarian assistance needs by severity of drought. Population growth will also be controlled for.

Each Sahel JPC strategy results framework also shows areas of programmatic overlap with FFP development programs and other USAID funded development and humanitarian partners (as described in the Section III entitled Coordination with Host Country) on Strategic Layering, Sequencing and Collaboration. IRs and sub-IRs that have particularly strong gender and governance dimensions are also highlighted. Illustrative indicators are compiled for each component and sub-component in Annex 1.

Program Component 1- Increased and Sustainable Economic Well-Being

Problem Statement: The poor state of economic well-being among households and communities in agro-pastoral and marginal agriculture livelihood zones in Niger and Burkina Faso is characterized by low and unstable incomes, food insecurity, the failure to protect, accumulate and leverage livelihood assets and a compromised ability to adapt to (and recover from) shocks and longer-term stresses. Driven and exacerbated by population pressure and increasing climate variability and change, a number of factors contribute to this situation; an overreliance on expanding areas under production as an adaptive strategy in a context of declining availability of arable land, a lack of secure access to land, limited access to financial services, limited intensification of crop and livestock production, a lack of access to remunerative markets, a dearth of off and on farm livelihood alternatives, and poor physical market infrastructure.

Goal: Increased and sustainable economic well-being - defined by increased incomes, food security, the accumulation and leveraging of assets and the capacity to adapt to (and recover from) shocks and stresses in the face of population pressure and climate variability and change.

See Objective 1 of Sahel JPC Strategy Results Framework in Annex 2

Theory of Change: REGIS-ER will achieve this goal by facilitating the diversification of economic opportunities, intensification through increased crop and livestock productivity and the development of high potential crop and livestock value chains, and improved access to financial services. The expansion of the economy resulting from the intensification and diversification of economic opportunities will increase the demand for a variety of goods and services and, in turn, further expand economic opportunity.

Diversifying livelihood opportunities will provide a critical source of income and livelihood for those with limited access to assets such as productive land or livestock. For those with access to productive land and livestock, it will provide an additional livelihood source and income to complement the seasonal sources, as well as a source of capital to reinvest in existing livelihoods sources or further diversify into others. It will also reduce the covariate risks associated with households and communities being engaged in the same, limited set of climate-sensitive economic activities, particularly if it includes livelihood opportunities that are less susceptible to climate variability and drought, such as migration for employment opportunities elsewhere and natural product value chains.

Facilitating intensification through the development of high potential livestock and crop value chains, climate smart agriculture and water harvesting will provide the foundation upon which diversification and intensification strategies to enhance the resilience of people, households, communities, countries and systems in targeted zones will build. It will enable those with access to productive land and livestock to better leverage these assets through intensified production and improved access to and linkages with remunerative markets. The income derived will provide them with a source of capital to reinvest in existing livelihoods and related enterprises or further diversify into others. For those with limited access to these productive assets, it will afford new labor, service sector and enterprise opportunities and, on a more limited basis, enable marginal land to be converted into more productive land. Secure access to

productive land is pre-requisite for creating these opportunities and motivating these investments and will be addressed in component 2.

Facilitating improved access to financial services, including savings, credit, money transfer services and insurance, will provide the capital needed for populations in the targeted livelihood zones - targeting the most vulnerable - to become full and active stakeholders in viable value chains linked to intensification and diversification. It will also provide households with a buffer against idiosyncratic shocks such as illness and reduce the risk associated with those migrating for labor opportunities elsewhere sending money home. Improved access to insurance products will provide a means of protecting assets and investments and further reducing risk.

Improved physical market infrastructure such as roads and telecommunications is a critical aspect of the enabling environment required to improve and sustain economic well-being. However, it will not be a focus for this program. Accordingly, REGIS-ER must work in close collaboration with governments and other partners who are working in these areas to ensure all efforts to improve and sustain economic well-being are coordinated and aligned.

Expected Results:

- Increased income among all income quartiles
- Depth of poverty amongst poor households reduced by 20%
- Prevalence of severely and moderately hungry households reduced by 20%
- Stability of income improved (seasonal and trend)
- Increased household asset ownership (productive and non-productive)
- Increased capacity to adapt to climate variability and change
- Women's Empowerment in Agriculture improved

Component 1.1 Diversified Economic Opportunities

Problem Statement: In the absence of other economic opportunities, many vulnerable households rely heavily on local labor opportunities for income. Compensation is often inadequate, particularly for households who rely on it as their sole source of income. Local labor demand, and therefore labor opportunities, is also highest at critical times during the agricultural cycle such as land preparation and planting and can compete with the need for vulnerable households to tend to their own fields.

Migration for labor opportunities elsewhere can be more lucrative than local, on-farm labor, but it requires capital, networks, and marketable skills, including - ideally - functional literacy. Migration for labor opportunities elsewhere also carries with it substantial risk, including the risk of exploitation and extortion, as well as sexually-transmitted diseases (including HIV/AIDS). Migration for labor can also create friction within households leading to family breakdown. In addition, money earned is not always sent home, further burdening those left at home, most often women and children. The ability to engage in migrant labor is greater for men, as women's mobility is often constrained by social norms. Gender based violence is also an ever present risk.

A significant proportion of vulnerable households also depend heavily on natural resources for income. In the absence of effective natural resource management, practices such as unsustainable charcoal production have resulted in significant environmental degradation, posing a threat to the natural resource base and all livelihoods tied to it. This threat is further exacerbated by acute climate variability and longer-term climate trends.

The innovation necessary to diversify beyond the livelihood activities chronically vulnerable households are already engaged in is constrained by social norms, risk aversion, and a lack of exposure to new ideas and new ways of thinking. High levels of indebtedness further limit the ability (and desire) of vulnerable households to take on additional risk (and credit). The most vulnerable often do not participate in producer cooperatives or local governance communities without an incentive provided by an outside influence, further limiting their access to the information and opportunities that give rise to innovation and new ways of thinking.

Goal: An expanded range of diversified, innovative and sustainable economic opportunities for men, women and youth, including opportunities that are less susceptible to climate shocks and stresses and suited to the asset-base and risk tolerance of vulnerable households.

Theory of Change: REGIS-ER will achieve this goal by reducing the risks associated with labor migration, facilitating the development of natural resource product value chains, and encouraging innovation in productive and service oriented enterprises through exposure to new ideas and ways of thinking. The support of high potential crop, small ruminant and poultry value chains in response to market demand, as well as the development of natural product value chains, will further incentivize innovation by creating new opportunities in the labor, commodity processing and sales, and service sectors (see Component 1.2.). Similarly, the health and nutrition component (see Component 3) will similarly create enterprise opportunities associated with increased demand for health and nutrition services and products, including water, sanitation and hygiene.

Reducing the risks associated with (seasonal) migration for labor opportunities will enable chronically vulnerable households to take advantage of these potentially lucrative economic opportunities, particularly in periods of low local labor demand. This will be achieved by facilitating access to national identification documents, developing the skills of laborers to match skills in higher demand, and improving access to information about labor opportunities. In the case of women, it will also entail putting in place the support mechanisms needed to reduce the threat of gender-based violence. Improving access to secure money transfer services will complement these efforts by reducing the risk associated with sending money home (see component 1.3). The risk of negative social impacts on families, and on women and children left behind in particular, must also be taken into account, mitigated and addressed as part of reducing the risks associated with migration for labor opportunities.

Component 2.1 of the REGIS-ER program will improve natural resource management, providing the basis for the sustainable utilization of natural foods, fodder, fuel-wood and other products, including by the most vulnerable. Facilitating opportunities for men and women to profit from these and other natural product value chains through segmentation, aggregation and processing will also increase the demand for effective natural resource management. To do so, the differences in men's and women's roles in natural product value chains must be well understood. The combination of these efforts and the incentives derived from them will transform natural products from a default and marginal source of livelihood for those forced to exit farming and livestock keeping to a viable and adaptive livelihood strategy.

Facilitating exposure to new ideas and new ways of thinking will encourage innovation in productive and service oriented enterprises, including those linked to intensification (Component 1.2) and the demand for health and nutrition services (Component 3). This will be achieved through increased participation in producer and marketing groups and community and local governance structures, as well as exchanges with individuals and communities where enterprise innovation is already taking place. As appropriate, new ideas from outside the programming area will also be introduced. Positive deviance in regard to innovation will serve as a model for others to follow, particularly when it is supported and promoted by local leadership.

Expected results:

- Sustainable natural products value chains developed
- Improved access to identification cards for migrant laborers
- Improved skills for local and migrant labor based on end market demand
- Increased and sustainable income from local and migrant labor
- Increased and sustainable income from natural products
- Increased participation in producer and marketing groups and local and community governance
- Expanded range of alternative, off-farm income generating opportunities
- Increased income from alternative, off-farm income generating opportunities

Component 1.2. Intensified Production and Marketing (Inclusive Value Chain Development)

Problem Statement: Crop and livestock production are constrained by nutrient-poor soils, low and erratic rainfall, intensified rainfall events that produce high run-off, extended intervals between rainfall events that produce early crop and fodder die-back, greater unpredictability of the timing and duration of the rainy season and increasing temperatures. These biophysical conditions are predicted to worsen over time.

Insecure access to productive land, lack of access to water for productive use, perverse natural resources policies, and ineffective natural resource management - including the lack of governance structures for convening various natural resource users and stakeholders - further compound the biophysical challenges noted above. These factors impact all users and stakeholders, but are particularly problematic for marginalized users and stakeholders such as women, youth and agro-pastoralists. The encroachment of farmers into the seasonal rangelands that agro-pastoralists rely on for fodder and water has undermined the viability of mobile livestock keeping (the most productive use of marginal, low-rainfall zones). It has also resulted in competition and conflict over resources. (See Box 7).

Knowledge and the diffusion of technologies for addressing biophysical constraints to production are limited. Adoption of solutions that do exist, such as climate smart agriculture and the reclamation of biodegraded lands can also be labor intensive. The lack of reliable, appropriate, and timely climate information to inform decision making further increases farmer vulnerability - particularly at planting time - leaving less room for error. Similarly, information on pasture conditions and water availability is lacking or underutilized by agro-pastoralists who also face production constraints associated with livestock disease and the high and variable costs of feed and fodder. The tendency to focus on single prescriptions, such as the use of fertilizers in isolation, rather than promoting more resilient farming and agro-pastoral system solutions to these production constraints has also increased farmer vulnerability.

Lack of access to remunerative markets, more frequent shocks and increasing pressure on natural resources (by both population growth and climate change) has resulted in a downward spiral of

Box 7 - Improving Fertilizer-Use Efficiency by Increasing Soil Organic Matter

Studies in West Africa by the International Fertilizer Development Center (IFDC)* showed that nitrogen fertilizer uptake is substantially higher on soils higher in soil organic matter (SOM). Marenja and Barrett** showed a direct correlation between SOM and the economic use of fertilizer. Working with 260 Kenyan households, they showed that below a certain SOM level, farmers lost money on fertilizer investments. For many farmers, improved fertilizer market conditions alone may be insufficient to stimulate increased fertilizer use without complementary improvements in the biophysical conditions that affect input efficacy.

* Wopereis, M.C.S. et.al, (2006); *Mineral fertilizer management of maize on farmer fields differing in organic inputs in the West African savanna*; Field Crops Research 96 (2006) 355–362

** Marenja, P. P. and C. B. Barrett (2009) *Soil quality and fertilizer use rates among smallholder farmers in western Kenya*; Agricultural Economics 40 (2009) 561–572

indebtedness and divestment, ultimately leading to destitution. Farmers sell at harvest time when prices are at their lowest to meet immediate needs only to buy back (as food) months later when prices are high. Similarly, the socio-culturally informed tendency of agro-pastoralists to hold livestock as wealth, rather than engaging in more commercially-oriented routine sales, results in panic sales under drought conditions when animal prices (and the animal-grain terms of trade) are at their lowest. Lack of access to remunerative markets also undermines the incentives and ability of farmers and agro-pastoralists to invest in intensified production, as do high transaction costs associated with the distribution of inputs to and collection of produce from large numbers of geographically dispersed producers and losses at critical parts of the value chain due to poor post-harvest handling and disease. Women's access to markets is further constrained and mediated by men, limiting their ability to engage in and benefit from lucrative activities such as processing, aggregation and animal finishing.

Horizontal and vertical linkages among value chain participants are weak and underdeveloped. Unbalanced power relations between buyers and sellers have reduced value chain competitiveness to the detriment of producers. With few exceptions, farmers and agro-pastoralists are passive producers of raw materials with few opportunities to add value or get premium prices. Producers and producer organizations, as firms in value chains, are particularly weak in providing storage, aggregating and bulking functions, serving as a channel for financial services and agricultural inputs, negotiating prices and otherwise forming mutually-beneficial partnerships with other firms in the value chain. A lack of established quality standards and poor communication regarding standards that do exist limit opportunities for segmentation. Commercial processing of most crop and livestock products is minimal and artisanal processing is inefficient, similarly limiting opportunities for upgrading. REGIS- AG will focus on three high potential value chain; cowpeas, small ruminants, and poultry. Its primary role will be improving these value chains for delivery of agricultural inputs and related services for crops and livestock more generally.

Goal: Expanded economic opportunities and increased income for men and women, targeting the most vulnerable, from sustainable and resilient crop and livestock enterprises within inclusive and competitive value chains.

Theory of Change: In collaboration with REGIS-AG, REGIS-ER will achieve this goal by promoting climate-smart agriculture, water harvesting and improved management practices by facilitating the development of inclusive livestock and crop value chains – including the ability of value chain actors to understand and response to changing market demand. These efforts will be informed by research on and analysis of climate change trends to ensure long-term sustainability.

Farmers and agro-pastoralists will be motivated and able to intensify production by improved access to remunerative markets, including access to warrantage (or similar mechanisms) that enable producers to avoid the downward spiral of divestment and indebtedness noted above. (See Box 8). They will be further motivated by the dissemination of climate-smart agriculture information, techniques, technologies - including Farmer Managed Natural Regeneration (FMNR), water harvesting (See Box 9), and integrated soil fertility management (ISFM) - to address and temper biophysical and other production

Box 8 - Warrantage

Warrantage is an inventory credit system that helps farmers avoid the debt trap of selling at harvest when prices are low and buying back during the lean season when prices are at their highest. Farmers receive post-harvest credit in exchange for storing their grain which is treated as collateral for the loan.

Box 9 – Water Harvesting

Research in Mali, Senegal and The Gambia showed that ridge tillage reduced run-off and increased rainfall infiltration by over 60% thereby increasing yields (50-100%), fertilizer-use efficiency (35%), and adding to the ground water (22%) allowing farmers to irrigate in the dry season.

Kablan, R. et.al, (2008). *Amenagement en courbes de niveau: Increasing Rainfall Capture, Storage, and Drainage in Soils in Mali*. Arid Land Research and Management, 22:62-80.

Doumbia, M. et al.(2008). *Sequestration of organic carbon in West African soils by Aménagement en Courbes de Niveau*. Agron. Sustain. Dev.

constraints that are likely to worsen as a result of climate change and variability. The improved *efficiency* of inputs such as fertilizers enabled by these techniques and technologies will motivate and sustain investment in these inputs. Secure access to productive land and effective natural resource and conflict management achieved through component 2 will provide both an enabling environment for intensification and additional incentives to do so.

Efforts to improve access to and management of water for productive uses must be linked to efforts aimed at improve access to and management of water for domestic uses, including consumption via a multi-use water systems approach (see component 3.2). Given the amount of time women spend in collecting water, improving access to water for all uses will empower them to live more productive, healthy and dignified lives.

Improved post-harvest handling and disease management knowledge, techniques and technologies and the integration of annual crops, livestock, tree crops and on-farm forestry as part of an intensified and resilient farming system will further improve productivity and further reduce risks associated with climate variability, including drought. Initial gains in productivity, efficiency, risk reduction and income will motivate and rationalize further investment in inputs such as fertilizer, vaccinations and improved feed and seeds. It will also encourage and enable diversification into other on-farm economic activities that will increase the productivity, income and resilience of households, communities and farming systems. Examples include off-season gardening and livestock keeping among farmers who do not currently own livestock.

Inclusive value chain development will provide the approach and catalyst for this positive dynamic of change. In collaboration with REGIS-AG, REGIS-ER will focus its efforts on facilitating the organization and strengthening of formal and informal producer groups that will augment and aggregate the capacity of individual producers and provide a forum for the business and organizational skills development needed for small-holders to be active stakeholders in viable value chains. (See Box 10). The aggregation and organization of individual producers will also strengthen their position when negotiating prices with buyers and input suppliers and reduce transactions costs associated with input supply. Finally, it will provide a platform for improving bulking and storage capacity, disseminating information on market prices, demand, and quality standards for aggregation and segmentation, and improving access to financial services (see component 2.3).

As noted in component 1.1, facilitating the development of value chains that have lower barriers to entry and opportunities for low-cost value addition such as processing and aggregation will create new productive enterprise opportunities for those with limited access to productive land and livestock, including women and youth. It will also create new labor and service sector opportunities. Facilitating the expansion of these opportunities

Box 10 - Layering the Inclusive Value Chain Development Efforts of Core Partners

REGIS-ER and FFP development programs will play the primary role in facilitating production activities that relate to the intensification of livestock and high potential crops, including REGIS-AG focus value chains - cowpeas, small ruminants and poultry. They will also have primary responsibility for facilitating improved horizontal linkages and building the capacity of local producer organization and associations to participate as active stakeholders in viable value chains and improving access to water and enhancing and expanding climate-smart agricultural practices. Finally, REGIS-ER will have primary responsibility for facilitating improved market access and vertical linkages for value chains not addressed by REGIS-AG and will use REGIS-AG focus value chains as a model.

REGIS- AG will focus on three high potential value chain; cowpeas, small ruminants, and poultry. Its primary role will be improving these value chains for delivery of agricultural inputs and related services for crops and livestock more generally. REGIS-AG will also provide value chain analyses and develop a process to bring together and cultivate linkages between representatives of all levels of the focus value chains. REGIS-AG will do a ‘deep dive’ with regard to facilitating linkages within and development of these value chains and serve as a model (and partner) for REGIS-ER to do so for non-targeted value chains. See appendix B for a complete description of how these programs will complement one another. See <http://senegal.usaid.gov/en/node/17> for information on FFP development programs.

and the innovation and skills development necessary for vulnerable men and women to take advantage of them will ensure that the benefits of economic growth are *inclusive* - a necessary condition in both component 1 and overarching theories of change.

Expected Results:

- Increased income from crop and livestock enterprises by men and women
- Proven climate-smart agriculture practices and technologies scaled up, including FMNR
- Effective use of climate and market information to maintain and increase productivity
- Low-cost technologies and techniques for water harvesting and management scaled up
- Increased use and efficiency of capital inputs (fertilizer, improved seed, vaccinations)
- Increased participation by men and women in formal and informal producer groups
- Producer groups strengthened and linked to inputs, services and markets
- Increased and sustainable access to water for productive use
- Improved demand for and access to agricultural inputs (fertilizer, vaccines, improved seeds)
- Increased capacity to adapt to climate variability and change
- Improved value chain efficiency and competitiveness
- Increased number farming households with livestock (small ruminants and poultry)
- Expanded range of income generating opportunities linked to target value chains (labor, processing, aggregation and trade, service sector)

Component 1.3. Improved Access to Financial Services

Problem Statement: Lack of access to affordable and appropriate financial services - including savings, credit, remittance services and insurance - constrains the ability of households to invest in and take advantage of economic opportunities, including the expanded economic opportunities that will be facilitated by other components of this program. It also reduces their ability to effectively respond to and recover from covariate shocks such as drought and unexpected, idiosyncratic shocks such as a health crises within a household.

Many banks operating in the target livelihood zones charge excessive interest on loans and require collateral in excess of the amount borrowed. Micro-finance institutions that exist often charge even higher interest rates. These loan conditions and high interest rates greatly limit the affordability and access, particularly for chronically vulnerable households.

The ability to borrow from friends, family or other socially-embedded insurance schemes for investment or in times of need can provide functional substitutes for some formal services. However, vulnerable households with financial capital deficits are also likely to have social capital deficits, particular in areas where recurrent crises have forced them to lean on others and reduced the ability of others to be leaned on. Moreover, the informal, socially-embedded social safety nets upon which vulnerable households relied on in the past have been eroded to the point where they can no longer be relied upon in times of need (see component 2.2). The result is an overreliance on informal lenders who charge exorbitant rates and, for many, an acceleration of the already downward spiral of divestment and indebtedness.

Goal: Improved access to affordable and appropriate financial services, including savings, credit, remittance services, and insurance, including products, services and delivery channels that reach and meet the needs of women, youth and the vulnerable.

Theory of Change: In collaboration with REGIS-AG, REGIS-ER will achieve this goal by facilitating the design of financial products, services and delivery channels to reach customers, targeting the most vulnerable, based on an evolving understanding of the demand for financial services. (See Box 11).

Box 11 - Layering Efforts to Improve Access to Financial Services

As with component 1.3, REGIS-ER and REGIS-AG will share responsibility for improving access to financial services. REGIS-AG's primary roles will be to improve understanding of the demand for formal financial services, increase access to and effectiveness of delivery channels for these services (including mobile solutions) and the improved design and availability of formal financial products and services.

REGIS-ER will complement these efforts by improving understanding of the demand for community-based savings and loan mechanisms and other financial service delivery channels that reach vulnerable populations currently outside the reach of the formal financial sector, including women and youth. REGIS-ER will also facilitate improved financial knowledge, skills, practices and behaviors, including the informed use of both community-based and formal financial services by productive enterprises and households, targeting the most vulnerable.

An improved understanding of the demand for various financial services in the targeted geographic zones will provide the basis for improving the design of products, services and delivery channels to reach customers, targeting the most vulnerable, women and youth. This demand will change and grow as farmers, agro-pastoralists and households engaged in other productive enterprises become full and active stakeholders in viable value chains as a result of efforts to facilitate intensification and diversification and the increasing availability of affordable and appropriate financial services will further enable them to do so.

Facilitating increased access to appropriate credit products will be fundamental in this regard, as will facilitating the ability of households to accumulate investment capital through savings. Improved access to affordable and appropriate savings products will also reduce risks associated with climate variability and unexpected shocks such as health crises within individual households by providing households with a means of smoothing consumption. In turn, this will slow and eventually reverse the downward spiral of divestment and indebtedness noted above, replacing it with an upward spiral of investment and asset accumulation leading to improved economic well-being and resilience. Facilitating improved access to affordable and appropriate insurance products will further reduce these risks for households and enterprises for whom investing in asset and investment protection is rational in relation to the costs associated with doing so¹⁰ (See Box 12). In this sense, improved household access to this range of financial services

Box 12 – Development Credit Authority

Despite overwhelming demand for working capital and expansion finance, credit to the agriculture sector in both Niger and Burkina Faso is extremely limited. While some microfinance institutions (MFIs) make small, short-term loans for agricultural production, the agriculture sector in these two countries is still considered risky due to its non-uniform/seasonal cash flows, rural bias, generally poorly-capitalized and widely-dispersed producers, and price/market/weather risks. Though banks may see profit opportunities, they would likely enter the sector more aggressively with the benefit of a credit guarantee.

USAID intends to increase access to credit among value chain actors in Niger and Burkina Faso through its Development Credit Authority (DCA) loan guarantee mechanism. The REGIS-AG and ER programs will work in tandem with an existing DCA loan portfolio guarantee with Ecobank Niger and Ecobank Burkina Faso to help facilitate the commercialization of the agriculture sector and create market opportunities that increase access to finance on positive terms to creditworthy but underserved potential clients which are largely small and medium-sized enterprises (SME).

Several new and innovative DCA interventions are being investigated by the USAID/DCA Office to provide support to REGIS-AG in getting services down to the most vulnerable populations, including increasing capitalization to local microfinance institutions to support lending to vulnerable populations, working directly with microfinance institutions to reach the targeted most vulnerable borrower group, and agriculture insurance programs and crisis-triggered guarantee products.

¹⁰ USAID is exploring the potential use of a Development Credit Authority loan guarantees to support these efforts. http://transition.usaid.gov/our_work/economic_growth_and_trade/development_credit/faq.htm

will both promote and protect chronically vulnerable households.

Improving access to efficient and affordable remittance services alone will not fully remove the risks associated with migration for labor opportunities at the coast or elsewhere. However, reducing the cost, time and security risks associated with money transfer will enable and encourage those migrating for labor opportunities to send money home and, in concert with efforts to facilitate access to identification and development of marketable skills, improve the impact of labor migration on household economic well-being and resilience.

Improved financial capabilities and outcomes associated with facilitated increases in access to and the informed use of the financial products and services outlined above will increase both the depth and breadth of demand for these and other financial products and services. It will also provide an avenue and source of confidence for vulnerable and marginalized groups, including women and youth, to proactively engage in new and innovative economic opportunities.

Expected Results

- Improved financial knowledge, skills, practices, and behaviors
- Financial service delivery channels that reach populations currently outside the reach of formal financial services
- Increased capacity of producer groups to form viable, remunerative partnerships with financial institutions
- Increased use of financial services for intensification and diversification of economic activities by type of service, including by women and youth
- Improved money management practices and informed use of financial services by enterprises and households, targeting the most vulnerable

Component 2 - Strengthened Governance and Institutions

See Objective 2 of Sahel JPC Strategy Results Framework in Annex 2

Problem Statement: A lack of effective governance mechanisms and institutions for managing natural resources, conflict and disaster risk contributes to and exacerbates the large and growing resilience deficit in agro-pastoralist and marginal agriculture livelihood zones in Niger and Burkina Faso. (See Box 13). If not addressed, it will also undermine efforts to facilitate economic growth and improved economic well-being.

Traditional, socially-embedded governance mechanisms and institutions for managing natural resources, conflict and disaster risk have been

eroded to varying degrees and have not been effectively replaced by mechanisms and institutions capable of filling the void. At the same time, population pressure, climate variability and change, and shifting migration and land-use patterns are creating a greater need for effective and flexible natural resource, conflict and disaster risk management and governance within and between communities. In turn, this suggests that - even if they were revived - the governance mechanisms, institutions and strategies in the past will be insufficient in the face of longer term changes. Governance structures and institutions that do exist are largely undemocratic and give little (or no) voice to women, youth and other marginalized groups. Weak linkages between national and sub-national government institutions and the lack of coordination and confusion over the roles and responsibilities of state and non-state actors at all levels further undermines governance capacity, effectiveness and legitimacy.

Box 13 – Fragile States

Niger ranks 18th and Burkina Faso 41st in the Fund For Peace's Failed States Index of the world's most fragile states.

(<http://www.fundforpeace.org/global/?q=fsi>)

Goal: Effective and inclusive governance mechanisms and institutions for managing natural resources, conflict and disaster risk under changing conditions. Improved government capacity for coordination of resilience-building efforts at and between local and national levels.

Theory of change: REGIS-ER will achieve this goal by strengthening and building the capacity of state and non-state governance mechanisms and institutions manage natural resources, conflict, and disaster risk through a complementary balance in the roles and responsibilities of state and non-state actors. As part of building of building their capacity and achieving this balance, REGIS-ER will facilitate the development and implementation of integrated natural resource, conflict and disaster risk managements plans. REGIS-ER will also build the capacity of the government, at all levels, to coordinate these and other resilience efforts.

For this to occur, the state (at national and local levels) must recognize the legitimacy and need for community-based governance structures and civil society organizations to play a partnering role in the management of natural resources, conflict and disaster risk at the local level, including developing community-level plans and implementation mechanisms for each. (See Box 14). Similarly, community-based governance structures and civil society organizations must recognize the legitimacy and import of the state's role in insuring that community level management plans and implementation mechanisms are consistent with and supported by national policies and help to inform them. All must also have the capacity to manage changing conditions, including those being driven by population growth and climate variability and change.

Box 14 - Building on Existing Institutions

The program should engage, strengthen and democratize existing institutions for managing natural resources, conflict, and disaster risk, including village community development (CVD) organizations, forest management committees, land use committees, and agro-pastoral associations among others.

In partnership with community-based governance structures and civil society organizations, local and national government will play a lead role in ensuring that local level natural resource, conflict and disaster risk management plans and implementation mechanisms aggregate up into systems level plans and implementation mechanisms that transcend individual communities and address systematic gender biases. The result will be a growing and interlocking mosaic of community-based plans and enforcement mechanisms supported and owned by both state and non-state actors (including community members themselves) that will enable effective and systems-level management of natural resources, conflict and disaster risk within and across communities, eco-systems and watersheds.

These plans will complement, re-enforce and give organization to corresponding efforts by REGIS-ER to enhance the institutional capacity of community-based governance structures, civil society organizations and government at all levels. They will also be inclusive, pro-actively engaging all relevant stakeholders and livelihood groups, including farmers and agro-pastoralists. Women, youth and other marginalized groups must also be pro-actively engaged. Finally, they will provide a basis for local and national government to better coordinate humanitarian and development efforts to enhance 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.

Expected Results:

- The role of community-based governance structures and civil society organizations in managing natural resources, conflict and disaster risk is recognized and supported by the state
- Improved capacity of community-based governance institutions, civil society organization and government (at all levels) to manage natural resources, conflict and disaster risk
- Integrated community-level plans for managing natural resource, conflict and disaster risk are developed and implemented

- Plans and implementation mechanism at all levels that are flexible enough to incorporate changing conditions associated with population growth and climate change
- Women, youth and other marginalized groups such as agro-pastoralists actively involved in the development and implementation of community and aggregate plans
- Improved coordination of efforts by humanitarian and development partners to build the resilience of chronically vulnerable households and communities
- Increased capacity to adapt to the impacts of climate variability and change

Component 2.1. Natural Resource Management (NRM)

Problem Statement: Chronically vulnerable populations in the targeted agro-pastoral and marginal agriculture zones depend heavily on natural resources for their livelihoods. However, these resources are under increasing stress due to unsustainable use practices, pressure from population growth, changing migration patterns, and climate change. This stress has led to (and is exacerbated by) growing competition and conflict over these natural resources. While recognition of their current and future dependence on natural resources can provide the motivation needed for rural communities to develop and implement effective natural resource management plans and mechanisms, these incentives have been undermined by insecure access rights, uneven and selective application of national policies, and the inequitable capture of benefits, particularly regarding secure access to land and particularly among women. (See Box 15).

Goal: Effective, flexible and inclusive natural resource management capable of adapting to changing conditions associated with population pressure and climate change. Secure access to land, including by the marginalized groups such as agro-pastoralists, women and the most vulnerable.

Box 15 - Increasing Women's Access to Land via Birth Certificate Process

Gender is often a critical determinant of land access. In many cases women are denied either de facto or de jure access to land. Ensuring that women possess birth certificates and are therefore legally eligible to vote and own land is a necessary pre-requisite to addressing the socio-cultural mores that limit their access to and ownership of land.

Theory of change: REGIS-ER will achieve this by strengthening the capacity of community based governance structures, civil society organizations and government institutions engaged in NRM. As part of this REGIS-ER will facilitate the development and implementation of NRM plans within and across communities, eco-systems and watersheds that effectively address changing conditions resulting from population pressure and climate variability and change.

Facilitating secure and equitable access to natural resources by all users will incentivize communities to develop and implement effective natural resource management plans. Facilitating the development and implementation of these plans through a transparent and inclusive process that involves community-based governance structures, civil society organizations, local government and women, youth, and other marginalized groups will help to insure that benefits accrue more equitably and that the plans and implementation mechanisms are both community and government owned. Gains in economic well-being made through component 1 will further motivate all stakeholders, including women, youth and marginalized groups, to invest in and support the effective management of the natural resources (water, land and other) upon which their livelihoods depend.

Natural resources stretch across a variety of spatial (and temporal) scales. Accordingly, REGIS-ER will leverage the mutually re-enforcing incentives outlined above as a basis for aggregating up community-level plans and implementation mechanisms into plans and implementation mechanisms that transcend individual communities. For many resources such as water and land, these plans must reflect the

concerns and considerations of multiple uses and user groups, including farmers and agro-pastoralists. They and the governance institutions responsible for their development and implementation must also address short and long-term environmental changes resulting from population pressure and climate variability and change. Flexibility will be critical in this regard. Communities that have already developed and implemented effective natural resource management provide a starting point for consolidating lessons learned and building out this mosaic of community and systems level plans.

Sustained local and national government leadership and support to inclusive, community-based governance structures and civil society organizations in developing and implementing these community and aggregate plans will bolster and sustain their legitimacy. As part of this, lessons learned from natural resource management successes - including those that have effectively addressed the gender dimensions of NRM - will inform and help to (re)shape relevant policies. (See Box 16). Given its importance to incentivizing intensification, facilitating diversification and mitigating conflict, REGIS-ER will actively facilitate land tenure policy reform, as well as effective land tenure policy implementation. Finally, REGIS-ER will strengthen the public and private extension capacity to ensure national policies are well understood and community and systems level plans are effective and sustained.

Box 16 – Allow Effective Practices to Shape Policy

In Niger, Community Forestry Organizations were established to co-manage national forests and manage on-farm forests at the community level. In both cases, the State conveyed and/or shared authorities with legally representative, democratic and transparent User Associations. The forest code does not explicitly allow farmers to harvest forest resources. However, under the advisement of Nigerien champions, the GoN has supported Forest Management Committees in the practice of sustained-yield harvesting of forest resources. This has contributed to the extension of FMNR to 5+ million hectares, as well as sustainable fuel-wood production.

Expected Results

- Mapping of existing state and non-state organizations and structures involved in natural resource management at local and national levels
- Enhanced recognition by rural households and communities of the importance of natural resource management for their current and future prospects and resilience
- Improved capacity of community based governance structures, civil society organizations and government institutions to manage natural resources
- Effective and community and government co-owned natural resource management plans developed and implemented at the community and landscape and watershed levels that incorporate climate change
- Increased capacity of state and non-state governance institutions to manage climate variability and change
- Consolidation of lessons learned from locally developed and implemented NRM plans and use of these lessons inform and (re)shape national-level policy
- Policy reform and implementation that enables secure access to land, including by the marginalized groups such as agro-pastoralists, women and the most vulnerable

Component 2.2. Disaster Risk Management

Problem statement: Chronically vulnerable populations and local community and government structures lack the capacity to manage disaster risk and response. This is a reflection of the increasing risks associated with population pressure, climate variability and change as well as a lack of organizational capacity, timely information and resources.

Currently, neither early warning nor longer-term climate change information are effectively used to inform household and community level disaster risk management planning. As a result, households and

communities are unprepared and react to climate variability rather than proactively managing these recurrent hazards, threats and stresses. Early warning and longer-term climate change information is collected at national and regional levels, but this has seldom resulted in planning that could mitigate the impact of shocks and longer-term stresses.

The growing depth and breadth of chronic vulnerability in the region has also resulted in a steady decline in the number and capacity of 'better off' households. In turn, communities as a whole - whether organized, informed and proactive or not - are less able to provide support to the most vulnerable in times of need. Already weakened informal safety-nets and risk management strategies have sometimes been further weakened by external relief efforts that provide unconditional handouts. While these efforts have often been life-saving, they have effectively usurped the need for communities and systems to build internal capacity to cope with disaster and response on their own.

Formal safety nets supported by the national governments and other institutions offer promise, but have not been effectively coordinated and scaled up. They have also been constrained by a lack of transparency in decision-making processes and the lack of formal identification in chronically vulnerable rural communities. Recent drought episodes also illustrate the inefficiency of commodity markets during emergencies, further exacerbating price spikes on top of already high food prices.

Goal: Effective and inclusive governance mechanisms and institutions for managing disaster risk and response at local levels that complement, support and are supported by effective and inclusive mechanisms and institutions at national and regional levels.

Theory of change: REGIS-ER will achieve this goal by facilitating the development and implementation of disaster risk management plans at community and local levels and strengthening the early warning and response capacity of local community and government institutions. These efforts will be complemented by embedding humanitarian response capabilities within the REGIS-ER program and using indigenous response mechanisms as a model for external assistance if it is needed.

In addition to being objectives in their own right, improved economic well-being and strengthened governance and institutions for natural resource and conflict management will significantly reduce vulnerability to and mitigate the impact of shocks such as drought. Nevertheless, community level early warning systems and response capacity must be strengthened to manage the still significant risk that remains, particularly given the probability that the frequency and intensity of drought and/or flooding will increase in the future. To make effective use of early warning systems, institutions must have the capacity to proactively obtain, understand, disseminate and use relevant climate information, including information about longer-term changes associated with climate variability and change.

REGIS-ER will focus its efforts on building early warning and response capacities at the community level, integrating these within the community and systems level natural resource and conflict management architecture and plans described under components 2.1 and 2.3. Through collaboration with government and other partners, REGIS-ER will also ensure these community level systems and capacities support and inform (and are supported and informed by) national early warning systems and response structures. Engaging both men and women in these systems and structures will be critical.

Formal safety nets and efficient commodity markets are also required to effectively manage disaster risk. However, they will **not** be a focus for this program. Accordingly, REGIS-ER must work in close collaboration with governments and other partners who are working in these areas to ensure all efforts to strengthen disaster risk management are coordinated and aligned.

Expected Results

- Community-based early warning systems are established and/or improved and linked to national early warning systems
- Disaster risk and response management plans integrated into natural resource and conflict management plans developed and implemented at the community and systems levels
- Enhanced capacity of local government and communities to prepare for and respond to slow and fast-onset disasters
- Climate information integrated into early warning and response
- Improved use of climate information for informed decision making at local level

Component 2.3. Strengthened Conflict Management

Problem Statement: Increasing competition over natural resources (primarily water and land) stemming from climate change and variability, population growth and modified transhumance patterns have resulted in an increase in conflict between user groups. In some cases, this has escalated into widespread violence between communities. This is exemplified by the shift in the relationship between farmers and agro-pastoralists from economic interdependence to economic competition and conflict as a result of the encroachment of farmers into pastoral rangeland and encroachment of agro-pastoralists into areas now under crop production.

Traditional mechanisms for mitigating and resolving conflict within and between communities and user groups - including farmers and agro-pastoralists - have eroded over time and have not been effectively replaced by state or other mechanisms and institutions capable of filling the growing conflict governance void. Ineffective management of natural resource access and use, including unevenly enforced, insufficiently harmonized and outdated legal and policy provisions, further exacerbate this conflict dynamic (see component 2.3).

In addition to resource-based conflict, lack of economic opportunities and the governance vacuum described above have created the conditions under which violent extremism and illicit economic activities thrive, impose their own order, and attract those seeking to align themselves with the perceived strongest actor. The current situation in neighboring Mali not only provides an example, but it has resulted in refugee flows into neighboring countries, including targeted livelihood zones in Niger, that will further exacerbate the resource-based competition and conflict described above.

Goal: Effective and inclusive governance mechanisms and institutions for preventing, mitigating, and resolving conflict and addressing grievances and corresponding reductions in resource-based conflicts and the threat of violent extremism.

Theory of change: REGIS-ER will achieve this goal by strengthening the capacity of community based governance structures, civil society organizations and government institutions engaged in conflict management by facilitating the development and implementation of conflict management plans within and between communities. Special attention should be paid to important issues that cut across individual communities, such as land use and population flows, including refugee populations from Mali.

Given the intimate connection between natural resource and conflict management, conflict management mechanisms and institutions will build on and be integrated with the natural resource management mechanisms and architecture described under component 2.1 where resource-based conflict within and between communities exists. Like natural resource management, this will only be successful if it is inclusive and involves women, youth and other marginalized natural resource user groups such as agro-pastoralists. It also requires establishing a complementary balance in roles and responsibilities between

formal and informal governance structures and authorities (including traditional), as well as enhancing their conflict prevention, mitigation and resolution capacity. Conflict management mechanisms must be flexible and forward looking to ensure changing conditions, including changes associated with the ongoing dynamics of population growth and climate change, can be effectively managed.

Gains in economic well-being facilitated by component 1 will further incentivize support for and investment in effective conflict management by all stakeholders, including women, youth and marginalized groups, in ways that mirror the incentives created for improved natural resource management. Similarly, effective conflict management will create the peace and stability necessary to achieve improved and sustainable economic well-being. The combination of these incentives and feedback loops will also moderate the conditions under which violent extremism and illicit economic activities thrive.

Expected Results

- Improved coordination and harmonization of formal and informal institutions engaged in conflict prevention, mitigation and resolution
- Improved capacity of local level institutions (formal and informal) to prevent, mitigate and resolve conflicts related to competition over natural resources, including those associated with population pressure and climate variability and change
- Increase inclusion of women, youth and marginalized group in conflict mitigation and mediation processes
- Conflict management mechanisms integrated into natural resource management mechanisms where resource-based conflict within and between communities exists
- Chronically vulnerable populations less inclined to positively respond to extremist messaging

Component 2.4. Strengthened Government and Regional Capacity and Coordination

Problem Statement: Weak capacity, insufficient funding and poor communication between local, national and regional entities limits the ability of national governments to effectively coordinate and co-manage natural resources, conflict and disaster risk. They also limit the government's ability to effectively manage and coordinate the efforts of state and non-state actors to enhance resilience in the livelihood zones targeted by REGIS-ER. Chronically vulnerable populations in these zones have limited opportunities to provide input into government coordination and decision-making. As a result, structures at all levels do not effectively represent them or provide essential services that meet their needs. Women and their concerns are also systematically under-represented.

Goal: Increased capacity of local and national government institutions to coordinate resilience efforts by state and non-state actors and manage natural resources, conflict and disaster risk. The concerns and needs of both men and women, targeting the most vulnerable among them, are represented in and by local institutions and government.

Theory of change: REGIS-ER will use the development and implementation of natural resource, conflict and disaster risk plans (and the government's role in them) as basis and avenue for achieving this goal. This will be complemented by simultaneous efforts to build the capacity of local government officials to coordinate and facilitate.

Strengthening the capacity of local government to manage and coordinate resilience efforts among state and non-state actors will increase the impact and sustainability of these efforts. It will also ensure these efforts and the management and governance of natural resources, conflict and disaster risk management are inclusive, locally owned, and take longer terms trends associated with population pressure and climate

change into account. Facilitating the participation of women, youth and marginalized groups in local governance will ensure they are represented in and by local government institutions and benefit from resilience efforts.

Certain aspects of the economic and policy enabling environment will be addressed through component 1 and the other sub-components under component 2, including – prominently – land tenure policy. However, a concerted and coordinated effort to improve the economic and policy enabling environment and help facilitate decentralization in Niger will not be a focus of this program. Accordingly, REGIS-ER must work in close collaboration with government and other partners who are working in these areas to ensure all efforts to strengthen institutions and governance are coordinated and aligned.

Expected Results

- Increased capacity of local government institutions for the management and coordination of resilience and inclusive growth efforts
- Increased capacity of government institutions to coordinate and manage for long term trends including population growth and climate change
- Increased participation of women and vulnerable groups in local governance
- State and non-state institutions for managing natural resources, conflict, and disaster risk are vertically and horizontally coordinated and integrated.

Component 3 - Improved Health and Nutrition

See Objective 3 of Sahel JPC Strategy Results Framework in Annex 2

*Note that increased knowledge and valuing of services (3.1.1.1 in the Sahel JPC Strategy results framework) is integrated into the behavior change component 3.2 of the program.

Problem Statement: As elsewhere, under-nutrition in the agro-pastoralist and marginal agriculture zones of Niger and Burkina Faso is the result of insufficient intake of nutritious food, disease, and the interaction between the two. This vicious and self-perpetuating cycle of disease and under-nutrition is the result of multiple underlying and interrelated factors including inadequate access to nutritious food, inadequate access to and use of health services, inadequate caring and feeding practices, and an unhealthy environment. A prominent feature of the latter in livelihood zones targeted by REGIS-ER is poor hygiene behaviors and the lack of access to safe drinking water and basic sanitation. (See Box 17).

The vicious cycle of disease and under-nutrition impacts all chronically vulnerable people, households and communities, both in terms of high mortality and morbidity and in terms of the economic burden of health care expenditure or lost productivity associated with being (or caring for) the sick. Children under 5 and pregnant and lactating women are at particularly high risk. In part, this is a reflection of their increased nutritional needs. However, it is largely a reflection of gender inequity that pervades all aspects of rural life.

Box 17 – Health Care in Niger and Burkina Faso

Niger and Burkina Faso have made progress in reducing under-5 mortality since 1998, achieving 43% and 27% reductions respectively. Progressive government policies have been introduced in Niger to expand health services through the construction of 2000 community health post and 700 nutrition rehabilitation centers. However, the quality of services remains inadequate due to the low number of qualified staff, frequent stock-outs of medicines and materials, and limited outreach. In the target regions of Maradi and Zinder, public health centers provide services to only one-third of their target population. The main reasons cited for not seeking health care are lack of money, distance, lack of transport, not knowing where to go; and - for women - fear of not finding a female care provider.

When food is scarce within a household, priority is often given to males, resulting in both reduced quantity and quality of food for mothers who have high nutritional needs. This is compounded by women's poor access to health care, work burden, lack of access to and control over resources (including food and money to buy food), lack of employment opportunities, lower wages, and trade-offs between working and child care. Both men's and women's lack of knowledge about women's and infant and young children's nutritional and health needs is a significant barrier to change in this regard.

Goal: Improved health and nutrition, with a focus on children under 5 years of age, pregnant and lactating females and women more generally.

Theory of Change: Increased and sustainable economic well-being (component 1) will improve household access to food, as well as the financial ability of chronically vulnerable people, households, and communities to access health services, meet their water and sanitation needs and engage in improved health and nutritional practices, including the consumption of nutritious foods and improved sanitation behaviors. REGIS-ER will also facilitate improved access to potable water and improved health and nutrition practices, including the consumption of nutritious foods and the demand for and use of health services, to ensure that increased and sustainable economic well-being translates into improved health and nutrition outcomes.

Improving the availability and quality of health services beyond water is also required to achieve and sustain improved health and nutrition. REGIS-ER will work through community health workers and volunteers (CHW/Vs) and the formal health system in implementing both health and nutrition components of the program and will build their capacity in areas relevant to these components. Accordingly, REGIS-ER must work in close collaboration with government and other partners who are working in this area to ensure all efforts to improve health and nutrition are coordinated and aligned.

The health and nutrition components of REGIS-ER must also align with government nutrition and health plans and coordinate with and be coordinated by relevant ministries. Efforts to build government capacity in this regard will be supported through component 2.4.

Expected Results:

- Global acute malnutrition (GAM) rates reduced to below 10%
- Reduced Under age 5 mortality
- Reduced diarrhea incidence
- Increase in dietary diversity at household and individual levels
- Effective coordination of health system and development partners that ensures an integrated and comprehensive approach to health and nutrition
- Increased use of health and nutrition services

Component 3.1. Improved Access to Potable Water

Problem Statement: The scarcity of water for productive and domestic use features prominently as part of the backdrop against which the dynamics and drivers of chronic vulnerability in agro-pastoralist and marginal agriculture livelihood zones have played out. In rural Niger, for example, only 39% of households have access to an improved drinking water source. A far higher percentage of households in rural Burkina Faso have access, though anecdotal evidence suggests that the percentage is far lower in the chronically vulnerable areas targeted by REGIS-ER.

Even where access to improved water sources is comparatively high, access to microbiologically safe drinking water is not assured due to poor sanitation and hygiene practices that introduce contamination during transport to and storage in the household. Poor access to sanitation infrastructure also contributes significantly to this with 76% and 91% of the rural populations in Burkina Faso and Niger respectively having no access to sanitation of any kind. As a result, the incidence of diarrhea and other diseases that fuel the vicious cycle of under-nutrition and disease in livelihood zones targeted by REGIS-ER remain persistently high.

Goal: Increased access to clean, potable water.

Theory of change: Increased and sustainable economic well-being (component 1) will contribute to improved access to potable water by increasing the financial ability of households to pay for water services where they exist. REGIS-ER will further facilitate improved access by increasing both the demand for potable water and the capacity of the private sector and communities themselves to meet this demand through sustainable water service delivery. Efforts to engage and attract the private sector may also extend to sanitation and hygiene products.

These efforts will be integrated with efforts to improve natural resource management and strengthen institutions and governance more generally (see component 2). They must also be integrated with efforts to improve access to water for productive use employing a multi-use water systems approach to ensure sustainable access to water for all uses in the face of increasing climate variability and change (see component 1.2). REGIS-ER will also work with and through community health workers and volunteers (CHW/CHV) and the formal health system to ensure efforts to improve access to potable water are well integrated with its own efforts to facilitate improved health and nutritional practices, as well as efforts by national governments and others to improve health systems more generally.

Improved sanitation is also required to achieve and sustain the improved health and nutrition outcomes associated with improved access to potable water. This will be partially addressed via the integrated behavior change component of the program (see component 3.2) through creating demand for latrines and toilets. However, construction of sanitation infrastructure will not be a focus for this program. Accordingly, REGIS-ER must work in close collaboration with governments, the private sector and other partners who are working in this area to ensure all efforts to improve water, sanitation and hygiene (WASH) are coordinated and aligned.

Expected Results

- Improved access to clean, potable water
- Sustainable water service delivery systems
- Effective management and governance of water resources

Component 3.2. Improved Health and Nutrition Practices

Problem Statement: The ability of households in zones targeted by REGIS-ER to engage in best practices for health and nutrition is constrained by poor economic well-being and insufficient access to nutritious food, insufficient access to clean water, sanitation, family planning and preventative products such as insecticide-treated nets (ITNs), socio-cultural norms and practices, gender inequities, and weak health services. All of these constraints are compounded by a widespread lack of knowledge concerning best practices and a corresponding lack of preventative, health-seeking behavior, including consumption of nutritious foods and

Box 18 - Child Care and Feeding Practices

A study in the planned intervention area in Burkina Faso showed that mothers believe that colostrum is dirty and that babies need water, ash or plants due to the extreme heat and to cleanse newborns from spirits or impurities and protect against disease. (http://www.unicef.org/bfa/english/bf_analyse-de-la-pauvrete-de-l-enfant-2010_UNICEF_final.pdf)

utilization of health and nutrition services¹¹. As a result, dietary diversity, infant and young child caring and feeding practices, (See Box 18) and sanitation and hygiene practices are sub-optimal, diseases like malaria and diarrhea are endemic, acute and chronic malnutrition rates are persistently high even in non-drought years, and population growth rates are among the highest in the world.

Goal: Improved health and nutrition practices, including consumption of nutritious foods and utilization of health and nutrition services.

Theory of Change – Increased and sustainable economic well-being (component 1) will improve household access to food, as well as the financial ability of chronically vulnerable people, households, and communities to engage in improved health and nutritional practices, including consumption of nutritious foods and utilization of health and nutrition services. REGIS-ER will also implement a comprehensive and integrated health and nutrition behavior change and communication (BCC) strategy promoting best practices related to the care of pregnant and lactating women, infant and young child feeding and care during illness, food storage and preparation, and water, sanitation and hygiene. The strategy will also promote key health (and nutrition) seeking behaviors, including the consumption of nutritious foods and use of maternal and child health services, family planning services and ITNs.

This strategy will be developed with and implemented through existing community health worker/volunteer (CHW/V) networks and the formal health system with the content and approach informed by established best practices, including those outlined in Essential Nutrition Actions (ENA) and Community Led Total Sanitation¹². Accordingly, applications must outline how the capacity of CHW/V's to impart key BCC messaging will be developed and sustained, including the role of the formal health system and health facilities in this regard. Other change agents, such as agricultural extension agents and community and religious leaders, must also be actively engaged and opportunities to embed BCC messaging into other components of the program should be fully exploited.

In line with BCC best practices, messages should be crafted as 'small do-able' actions with special emphasis given to interpersonal communications (e.g. counseling of individual mothers) that are reinforced by community leaders, mass media, community festivals and other mobilizing events. In the same vein, households must be empowered to make informed decisions about trade-offs, including, for example, whether selling or consuming crop and livestock products promoted by component 1 makes the most sense economically and nutritionally. To this end, the incentives being promoted by the three core components of the program, as well as the fourth embedded humanitarian response component, must align. Given gender inequity is a significant constraint, changing the knowledge and attitudes of men toward health and nutrition practices will be as critical as changing the knowledge and attitudes of women.

As noted in the overview to this section, improving the availability and quality of health services is also required to achieve and sustain improved health and nutrition. Increasing the availability of ITNs and family planning are similarly required to reduce the incidence of malaria and slow population growth given the impact of both on health, nutrition and resilience more generally. While funding for these aspects are somewhat limited, Recipients will be expected to develop an appropriate mix of community

¹¹ Note that increased utilization of health and nutrition services and increased consumption of nutritious foods appear as separate IR's in the Sahel JPC Strategy results framework, but are consolidated within component 3.2 of the program

¹² For more information on ENA see http://www.coregroup.org/storage/Nutrition/ENA/Booklet_of_Key_ENA_Messages_complete_for_web.pdf For more information on CATS see <http://www.communityledtotalsanitation.org/resource/unicef-community-approaches-sanitation-cats>

based health activities (such as Integrated Community Case Management of diarrhea, malaria, and pneumonia as well as nutrition and family planning services) designed to decrease morbidity and mortality in REGIS-ER focus areas. Accordingly, REGIS-ER must work in close collaboration with government and other partners who are working in these areas to ensure all efforts to improve health and nutrition and build resilience are coordinated and aligned, including USAID West Africa AGIR pour la Planification Familiale Program which aims to increase access to and use of quality FP services in select urban and peri-urban areas in 2013.

A USAID partner will be carrying out an assessment of nutrition, water and sanitation behavior change programming, materials and methods in proposed zones across all humanitarian and development partners. Once available, REGIS-ER will be expected to incorporate relevant findings and recommendations from this assessment into its programming and work plans.

Expected Results:

- Increased capacity of community health workers and community health volunteers (CHW/V) to impart health and nutrition BCC core messaging
- Improvements in infant and young child nutrition feeding practices
- Increase in household and individual dietary diversity, including for women and children
- Increased demand for health and nutrition services and products
- Improved sanitation and hygiene practices
- Improved knowledge and attitudes of men toward health and nutrition practices

Component 4 - Embedded Humanitarian Response: Crisis Modifiers

The likelihood of severe drought or other natural disaster occurring in the targeted areas during the life of the program is very high. To protect resilience and development gains made in non-shock years and ensure humanitarian needs are addressed in a manner that supports on-going resilience and development investments, REGIS-ER will embed a flexible strategy for humanitarian response to the proposed target areas within the proposed program's overall strategy.

In line with component 2.2, this component should refer to activities that contribute to building local and national level early warning and response capacity. It should support the overall goals and preserve gains facilitated by other components of the program in non-shock years. General food distributions, for example, could undermine the resilience of beneficiaries and non-beneficiaries by further weakening informal safety-nets and risk management strategies or distorting markets and introducing disincentives to production. Applications should provide illustrative activities that take into account likely scenarios and proposed responses.

If a disaster occurs during the life-of-activity, USAID may choose to fund an embedded humanitarian response (at levels to be determined) through a Crisis Modifier mechanism within OFDA and/or FFP¹³. In order to access OFDA resources, a US Embassy Disaster Declaration must be issued for the crisis in question. FFP does not require a Disaster Declaration, however, FFP does require the use of trigger indicators to indicate that a situation has changed or is changing significantly and emergency resources are appropriate. Accordingly, applications should also identify and define a limited set of trigger indicators.

¹³ This mechanism does not preclude any humanitarian response that may take place independent of REGIS-ER.

VI. PROGRAM KEY PERSONNEL

The Recipient shall provide the following key personnel at 100% Level of Effort (LOE) for the performance of the REGIS-ER agreement:

- Chief of Party
- Deputy Chief of Party
- Chief Administrative and Financial Officer
- Burkina Faso Program Representative
- Monitoring and Evaluation Expert

The Chief of Party shall be an employee of the prime Recipient, rather than the sub-awardee. Applicants are encouraged to consider a local-hire or Sahelian as Deputy Chief of Party.

Unless specified in writing by the Agreement Officer, no replacement of Key Personnel shall be made by the Recipient. The Recipient shall immediately notify both the AO and the designated AOR reasonably in advance and shall submit written justification (including proposed substitutions) in sufficient detail to permit evaluation of the impact on the program.

1) *Chief of Party:*

The Chief of Party shall be an employee of the prime Recipient rather than the sub-awardee. S/he will be located in Niger and must have significant, broad and proven expertise in livelihoods development in a developing country context, preferably the Sahel. Experience in: facilitation and systems approaches, comprehensive and integrated food security, nutrition, disaster reduction and/or governance programs, and able to bring lessons learned from success and failed interventions in the diverse environments. Key responsibilities include: 1) overall program responsibility; 2) ability to manage toward maximum effectiveness, efficiency and output; 3) apply a facilitation approach to implementation; 4) represent the program to donors, key stakeholders and host country government counterparts by assuming primary responsibility in negotiating terms and conditions of the program.

2) *Deputy Chief of Party:*

In keeping with USAID Forward agenda, consideration to hire a local or Sahelian Deputy Chief of Party is encouraged. S/he will be located in Niger and must have significant broad and proven expertise in livelihoods development in a developing country context, preferably in the Sahel. S/he will have the capacity to represent the Chief of Party and will have a profile similar to that of the Chief of Party. Experience in: facilitation and systems approaches, comprehensive and integrated food security, nutrition, disaster reduction and/or governance programs, and able to bring lessons learned from success and failed interventions in the diverse environments. Key responsibilities include: 1) overall program responsibility; 2) ability to manage toward maximum effectiveness, efficiency and output; 3) apply a facilitation approach to implementation; 4) represent the program to donors, key stakeholders and host country government counterparts by assuming primary responsibility in negotiating terms and conditions of the program.

3) *Chief Administrative and Financial Officer*

S/he will be located in Niger and must have significant experience in program management, particularly managing the financial and operations aspects of comprehensive and integrated food security, nutrition,

disaster reduction and/or governance programs. S/he should have sufficient grants/finance experience to be able to oversee what are expected to be substantial grant and loan guarantee programs. The Chief Administrative and Financial Officer would ideally possess skills that complement, not duplicate the COP. Key responsibilities are to support the COP, assume direct involvement in financial oversight, personnel management, and responsibilities in program operations.

4) Burkina Faso Representative

In keeping with USAID Forward agenda, consideration to hire a local or Sahelian Burkina Faso Representative is encouraged. S/he will be located in Burkina Faso and will have a similar profile to that of the Chief of Party.

5) Monitoring and Evaluation Expert

S/he will be located in Niger and must have significant experience in monitoring and evaluating large donor funded programs. The key responsibilities of the Monitoring and Evaluation Expert are to conduct baseline, impact, and other evaluations, undertake gender analyses, track program implementation against the Monitoring and Evaluation Plan (M&E) and effectively communicate program results to a wide variety of stakeholders.

VII. SUB-GRANTS MECHANISM

This activity also includes the establishment of a Recipient-managed Special Support Fund to be implemented through a **sub-grants mechanism** which will be geared towards: 1) supporting one or more of the expected results as part of this activity and 2) managing smaller USAID awards that may be exercised through this activity. For sub-grants selected through USAID, the Recipient will be required to track and monitor the implementation, results, and close-out of the awards. These sub-grants should be in line with USAID Forward, with an emphasis on supporting local organizations. The Applicant will propose how much they will set aside for sub-grants in support of their activities. The total value of any individual grant to any U.S. organization must not exceed \$100,000; for non-U.S. recipients grants are not to exceed \$250,000.

The AOR shall approve the selection criteria for all proposed sub-grants. Sub-grants ranging from \$50,000 to \$99,999 shall require AOR approval. For proposed sub-grants of \$100,000 or more, AO approval is required.

VIII. OTHER CONSIDERATIONS

A. Gender

Gender equality and female empowerment are essential for achieving USAID's development goals. The new USAID Gender Policy advances equality between females and males, and empowers women and girls to participate fully in and benefit from the development, through the integration of gender in the entire Project cycle - from project design and implementation to monitoring and evaluation. This integrated approach focuses on achieving three overarching outcomes: 1) Reducing gender disparities in access to, control over and benefit from resources, wealth, opportunities, and services – economic, social, political, and cultural; 2) Reducing gender-based violence and mitigate its harmful effects on individuals and communities, so that all people can live healthy and productive lives; and 3) Increasing the capability of women and girls to realize their rights, determine their life outcomes, and influence decision making in households, communities, and societies.

To operationalize these overarching outcomes, the Program is expected to adopt any one of the seven output and outcome indicators, as appropriate, on gender equality, female empowerment, and gender-based violence in the USAID's Gender Policy. The Program shall also develop a strategy for ensuring the integration of gender considerations into the work plan and the M&E Plan. Progress of all related activities will be measured and verified using gender-sensitive performance indicators that will be part of the M&E Plan. All people-level indicators must be disaggregated by sex, and included in program reports.

Program activities will be implemented in a manner that promotes fair, equitable, and meaningful inclusion of both men and women in all activities. As part of the application process, the applicant should include women among target groups in a representative manner as possible, and ensure increased participation of women (from the participating institutions) in program implementation.

To provide greater focus on gender equality and female empowerment in this program, the Gender Action Plan will include the following considerations:

- 1) Include gender analysis and attention to gender-based violence in all disaster training activities for local responders;
- 2) Collect sex-disaggregated data for baselines and monitoring of all people-level indicators and do gender analysis to identify potential gender gaps and constraints, and identify how women and men benefit from the program; and,
- 3) Conduct gender-responsive consultations to encourage the active participation of all to ensure that the voices of both men and women are heard and reflected in disaster planning and implementation.

The preparation of the Gender Plan of Action should be guided by the USAID Gender Policy (in <http://inside.usaid.gov/PPL/offices/p/upload/GenderEqualityPolicy.pdf>)

B. Environmental Monitoring and Mitigation

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

(b) In addition, the recipient must comply with host country environmental regulations unless otherwise directed in writing by USAID. In case of conflict between host country and USAID regulations, the latter shall govern.

(c) No activity funded under this Agreement will be implemented unless an environmental threshold determination, as defined by 22 CFR 216, has been reached for that activity, as documented in a Request for Categorical Exclusion (RCE), Initial Environmental Examination (IEE), or Environmental Assessment (EA) duly signed by the Bureau Environmental Officer (BEO). (Hereinafter, such documents are described as "approved Regulation 216 environmental documentation.")

(d) As part of its Work Plan, and all subsequent Annual Work Plans thereafter, the Recipient, in collaboration with the USAID Agreement Officer's Representative (AOR) and Mission Environmental Officer or Bureau Environmental Officer, as appropriate, shall review all ongoing

and planned activities under this Cooperative Agreement to determine if they are within the scope of the approved Regulation 216 environmental documentation.

(e) If the Recipient plans any new activities outside the scope of the approved Regulation 216 environmental documentation, it shall prepare an amendment to the documentation for USAID review and approval. No such new activities shall be undertaken prior to receiving written USAID approval of environmental documentation amendments.

(f) Any ongoing activities found to be outside the scope of the approved Regulation 216 environmental documentation shall be halted until an amendment to the documentation is submitted and written approval is received from USAID.

(g) The approved Regulation 216 documentation covers activities expected to be implemented under this Agreement. USAID has determined that a **Negative Determination with conditions** applies to one or more of the proposed activities. This indicates that if these activities are implemented subject to the specified conditions, they are expected to have no significant adverse effect on the environment. The recipient shall be responsible for implementing all IEE conditions pertaining to activities to be funded under this solicitation.

The Recipient shall:

1. Unless the approved Regulation 216 documentation contains a complete environmental mitigation and monitoring plan (EMMP) or a project mitigation and monitoring (M&M) plan, the Recipient shall prepare an EMMP or M&M Plan describing how the Recipient will, in specific terms, implement all IEE and/or EA conditions that apply to proposed project activities within the scope of the award. The EMMP or M&M Plan shall include monitoring the implementation of the conditions and their effectiveness.
2. Integrate a completed EMMP or M&M Plan into the initial work plan.
3. Integrate an EMMP or M&M Plan into subsequent Annual Work Plans, making any necessary adjustments to activity implementation in order to minimize adverse impacts to the environment.

Cost and technical applications must reflect approved Regulation 216 documentation preparation costs and approaches. Applicants should ensure that they budget for requirements such as required testing of water quality. Please refer to the Environmental Guidelines for Small-Scale Activities in Africa (<http://www.encapafrika.org/egssaa.htm>) for more detailed information on these requirements.

The Recipient will be expected to comply with all conditions specified in the approved Regulation 216 documentation.

The following tests and actions are required for environmental compliance:

(1) Water Points:

- Assess water quality to determine if water is safe to drink and to establish a baseline so that any future degradation can be detected. At minimum arsenic and fecal coliform tests should be conducted. USAID requires testing for arsenic for all USAID-funded water supply projects, as there is currently no way to determine which locations may contain natural arsenic deposits. (For international water quality standards on virtually any parameter, see *WHO Guidelines for Drinking-Water Quality*, 3rd edition, (2006) http://www.who.int/water_sanitation_health/en/;
- Minimize contamination of water, e.g., establishing separate wells for animal and human use;

- Calculate yield and extraction rates in relation to other area water uses in order to avoid depleting the resource or damaging aquatic ecosystems or communities down stream and down gradient;
- Maintain periodic testing. Ongoing testing is the only way to determine if a water supply is or has become contaminated (other than by observing dramatic and sustained increases in water-borne disease). For simple and inexpensive fecal coliform and *E.coli* measurements refer to <http://www.micrologylabs.com/> are recommended.

(2) Household Latrines:

- Construction will be supervised by qualified in-house sanitation manager;
- Host-country public health service should be involved to ensure proper sanitation measures are taken as per the national water and sanitation regulations;
- Latrines will be constructed no less than 5 meters from the house and no less than 10 meters from water sources;
- Training to avoid water accumulation and disease vectors should accompany every project;
- Each sanitation system should consider the grey water management methods;
- Latrines are encouraged to be individual and constructed at household levels, group latrines tend to not be as efficiently and sustainably managed;
- Training in use and maintenance of latrines should be developed for all families participants in these activities.

Water quality testing is essential for determining that the water from a constructed water source is safe to drink and to determine a baseline so that any future degradation can be detected. Microbiological contamination of improved wells can often be prevented by aquifer protection measures and proper well design and maintenance. For example, wells for human consumption are readily contaminated when additionally used for livestock watering. Water management committee must ensure that separate wells are used for human and animal consumption. Simple and cost-effective sample kits for *E. coli* and fecal coliforms are available through a variety of manufacturers (e.g., [Idexx Colilert](#) or [Coliscan Easygel](#)).

Among the water quality tests which must be performed are tests for the presence of arsenic. Any USAID-supported activity engaged in the provision of potable water must adhere to Guidance Cable State 98 108651, which requires arsenic testing. That 1998 cable also anticipates “practical guidelines on sampling and testing for arsenic” that were then under development. The EGAT Bureau completed these guidelines, and the Africa Bureau has packaged them in a document titled, “[Guidelines for Determining the Arsenic Content of Ground Water in USAID-Sponsored Well Programs in Sub-Saharan Africa](#).” The SO team must assure that the standards and testing procedures described in this guideline document are followed for potable water.

Initial water quality testing is the responsibility of the program to assure, but the program should also set in place capacities and responsibilities to provide reasonable assurance that ongoing water quality monitoring occur. The standards for initial and ongoing testing -- types of contaminants for which testing should be conducted, testing methods, testing frequency, and issues such as public access to results should follow any applicable USAID guidance, as well as local laws, regulations and policies.”

References: Both water supply and sanitation activities should be conducted in a manner consistent with the good design and implementation practices described in EGSSAA [Chapter 16: Water Supply and Sanitation](#). The Team and implementing partners should closely examine this chapter, as it provides a thorough discussion of program design and implementation issues that can help avoid numerous preventable problems. Another useful reference to consult for good water and sanitation design and implementation principles is the document, “[Guidelines for the Development of Small Scale Rural Water](#)

[Supply and Sanitation Projects in East Africa,” by Catholic Relief Services and USAID \(Title II\), August, 2005.](#) For a compendium of humanitarian assistance expertise in 1) Hygiene Promotion, 2) Water Supply, 3) Excreta Disposal, 4) Vector Control, 5) Solid Waste Management and 6) Drainage, consult [the Sphere Handbook \(2004\): Humanitarian Charter and Minimum Standards in Disaster Response, Chapter 2: Minimum Standards in Water Supply, Sanitation and Hygiene Promotion.](#)

C. **Inclusive Development**

USAID is committed to the inclusion of people who have physical and cognitive disabilities and to provide support to organizations that advocate and offer services for people with disabilities (PWDs). USAID focuses on improving access of PWDs to development programs and on removing barriers that cause exclusion. All its grants, cooperative agreements and contracts, have provisions on the inclusion of people with disabilities. In line with the USAID Disability Policy, the Activity will promote the participation and equalization of opportunities of individuals with disabilities, increase awareness of issues of people with disabilities both within USAID programs and in host countries; foster a climate of nondiscrimination against people with disabilities; and support international advocacy for people with disabilities.

D. **Outreach**

The implementing partner is expected to articulate a plan for outreach, dissemination, and collaborative learning about the results (outputs and outcomes) of the program/activity, performance improvements, and lessons learned.

E. **Standard Property Rights Clauses**

It is necessary that USAID archive activity-related data to ensure that at the conclusion of the award, the Agency will have access to the data. Data that is collected and produced under the activity must be stored in a database management system or other structured data file format. This data will be provided in whole to USAID for further analysis and dissemination, if relevant.

IX. **AWARD ADMINISTRATION**

The resultant award and sub-awards will be administered in accordance with the U.S. Federal regulations and USAID policy. For non-U.S. organizations, the USAID Standard Provisions for Non-U.S. Non-governmental Recipients will apply. For any sub-award(s) to U.S. organizations, the 22 CFR 226, Office of Management and Budget (OMB) circulars, USAID Standard Provisions for U.S. Non-governmental Recipients, and Standard Provisions will apply.

While for-profit firms may participate, pursuant to 22 CFR 226.81, it is USAID’s policy not to award profit under assistance instruments, such as cooperative agreement instruments. However, all reasonable, allocable, and allowable expenses, both direct and indirect, which are related to the grant program and are in accordance with applicable cost standards 22 CFR 226, OMB Circular A-122 for non-profit organization, OMB Circular A-21 for universities, and the Federal Acquisition Regulation (FAR) Part 31 for profit organizations may be paid under assistance agreements.

- Standard Provisions for Non-U.S. Non-governmental Recipient (<http://www.usaid.gov/policy/ads/300/303mab.pdf>)
- 22 CFR 226 – Administration of Assistance Awards to U.S. Non-governmental organizations (<http://www.gpo.gov/fdsys/pkg/CSR-2011-title22-vol1/xml/CFR-2011-title22-vol1-part226.xml>)
- OMB Circulars A-122 (<http://www.whitehouse.gov/omb/circulars/a122/a122.html>)
- OMB Circular A-110
<http://www.whitehouse.gov/omb/circulars/a110/a110.html>
- Standard Provisions for U.S. Non-governmental Recipients (<http://www.usaid.gov/policy/ads/300/303maa.pdf>)
- ADS Series 300 Acquisition and Assistance
<http://www.usaid.gov/pubs/ads/>
- Governing Regulations, Standard Provisions and Required Certifications to be Submitted
www.usaid.gov/policy/ads/300/303.pdf

[END OF SECTION I]

SECTION II - AWARD INFORMATION

1. Anticipated Award Schedule

USAID expects to award a cooperative agreement to the responsible applicant whose application is responsive to the objectives of this RFA, and offers the greatest value to the government. USAID reserves the right to fund any or none of the applications submitted. The anticipated total federal funding amount ranges between \$67,000,000 - \$72,000,000 with a period of performance of five (5) years.

The Government reserves the right to make award on the basis of initial applications received, without discussions or negotiations. Therefore, the initial application should contain the applicant's best terms from a cost and technical standpoint. The Government reserves the right to enter into discussions in order to obtain clarifications, additional detail, or to suggest refinements in the program description, budget, or other aspects of an application.

Neither financial data submitted with an application nor representations concerning facilities or financing, will form a part of the resulting agreement.

The Agreement Officer is the only individual who may legally commit the Government to the expenditure of public funds. No costs chargeable to the proposed award may be incurred before receipt of either a fully executed cooperative agreement or a specific, written authorization from the Agreement Officer. The Agreement Officer's Representative (AOR) will serve as the primary contact between USAID and the recipient. The AOR will be based in USAID/Senegal Regional Mission and will assist the program in linking with other programs, other bilateral Missions, and other donors/foundations.

2. Award Type

The award will be a Cooperative Agreement as USAID will be substantially involved in the implementation of the selected program as consistent with USAID policy contained in ADS Chapter 303 concerning nongovernmental assistance activities: <http://www.usaid.gov/policy/ads/300/303.pdf>

3. Substantial Involvement

USAID Senegal Regional Mission will be substantially involved in the implementation of the program described in Section I of this RFA. The intended purpose of the Agreement Officer's Representative (AOR) involvement during the implementation of the program is to assist the recipient in achieving the supported objectives. It is expected that the Agreement Officer will delegate the following approvals to the AOR, except for changes to the Program Description or the approved budget, which may only be approved by the Agreement Officer.

- Approval of the Recipient's Implementation Plans: the AOR will review and approve annual work plans and performance monitoring plans. The post-award draft annual work plan should be submitted to USAID/Senegal no later than 45 days of award of the cooperative agreement. The performance Monitoring and Evaluation plan, including quantitative and qualitative indicators, baseline data, and targets for the entire period of the activity, should be submitted to USAID/Senegal no later than 45 days of award of the cooperative agreement.
- Approval of specified key personnel: the AOR must approve any changes in key personnel.
- USAID's authority to immediately halt a construction activity.

4. Place of Performance

Niger and Burkina Faso.

5. Authorized Geographic Code

The authorized geographic code (see 22 CFR 228.12) for any award resulting from this RFA is 937. The geographic code 937 authorizes recipients to purchase goods and services from any country, except foreign policy restricted countries. The foreign policy restricted countries are as follows: Cuba, Iran, Libya, North Korea and Syria.

[END OF SECTION II]

SECTION III - ELIGIBILITY INFORMATION

1. Eligibility Requirements

All international nongovernmental organizations (NGOs), private voluntary organizations (PVOs) and consortium of local and international firms are also eligible to submit their application(s) against the RFA. USAID encourages application from potential new partners. Applicants must be a legal entity accredited or able to obtain accreditation to operate in Niger and Burkina Faso (See Section V – Applicant Review Information).

Applicants must have established financial management, monitoring and evaluation, internal control systems, and policies and procedures that comply with established U.S. Government standards, laws, and regulations. All potential awardees/recipients will be subject to a responsibility determination (which may include a pre-award survey) issued by a warranted Agreements Officer in USAID.

Any recipient must be a responsible entity. Details on USAID's pre-award responsibility determination policy and procedure can be found on our agency website, in its automated directive system (ADS) chapter 303, section 303.3.9: <http://www.usaid.gov/policy/ads/300/303.pdf>.

2. Applicant Eligibility

Non-Governmental Organizations (NGOs): U.S. and non-U.S. private non-profit organizations may apply for funding under this RFA.

For-Profit Organizations: U.S. and non-U.S. for-profit organizations may apply for funding under this RFA. Potential for-profit applicants should note that, pursuant to 22 CFR 226.81, the payment of fee/profit to the prime recipient under grants and cooperative agreements is prohibited. Moreover, forgone profit does not qualify as cost-sharing or leveraging. However, if a prime recipient has a subcontract with a for-profit organization for the acquisition of goods or services (i.e., if a buyer-seller relationship is created), fee/profit for the subcontractor is authorized.

Colleges and Universities: U.S. and non-U.S. colleges and universities may apply for funding under this RFA. USG and USAID regulations generally treat colleges and universities as NGOs, rather than governmental organizations; hence, both public and private colleges and universities are eligible.

Private Voluntary Organizations (PVOs): A local or indigenous PVO, which by definition is a non-U.S. PVO operating in the same foreign country in which it is organized, that is not already registered with USAID is eligible to receive funding. However, such organizations are encouraged to consider registration. In accordance with 22 CFR 203, a U.S. PVO and an "International PVO" which by definition is a non-U.S. PVO that performs development work in one or more countries other than the country in which it is domiciled, must be registered with USAID to be eligible to receive funding. For more information on registering with USAID as a PVO, please see: <http://idea.usaid.gov/partnerships>

Faith-Based Organizations (FBOs): USAID has published regulations on participation by FBOs in Agency programs. This guide may be found at: http://www.usaid.gov/our_work/global_partnerships/fbci/rule.html

New Partners: USAID/Senegal encourages applications from organizations that have never received a direct award from USAID. However, resultant awards to these organizations may be delayed if there are necessary pre-award reviews of these organizations to determine their "responsibility" in section VI in

this RFA. These organizations should take this into account and plan their implementation dates and activities accordingly.

3. Cost Sharing

Cost-sharing is encouraged, with a minimum of 10% required. Cost sharing includes contributions, both cash and in-kind, which are necessary and reasonable to achieve program objectives and which are verifiable from the recipient's records. Cost sharing contributions may include volunteer services provided by professional and technical personnel, and un-recovered indirect costs.

4. Program Income

Non-Governmental Organizations (NGOs): If the applicant is a non-profit organization, any program income generated under the award(s) will be used for program purposes, as described in 22 CFR 226.24(b)(2). However, pursuant to 22 CFR 226.82, if the successful applicant is a for-profit organization, any program income generated under the award will be deducted from the total program cost to determine the amount of the Founding Partners' funding. Program income will be subject to 22 CFR 226.24 for U.S. NGOs or the standard provision entitled "Program Income" for non-U.S. NGOs.

5. Electronic Payment

Across the world today, USAID implementing partners spend millions of dollars of payments in cash every year. These payments may include disbursements of salaries, payments to vendors, payments to participants of programs, such as cash-for-work programs, emergency relief payments, and others. Implementing partners also often support businesses in a specific sector or along a value chain. They advise on how to build sound financial management systems, and marketing techniques, among other technical assistance. Often these businesses rely on cash in their financial management systems.

Advances in communication technology and network capacities have enabled innovative new ways to make payments through mobile devices, smart cards and other electronic methods. The transition from cash to electronic payments has potentially significant benefits for all groups involved:

- **Cost Savings.** Decreasing the costs associated with physical cash operations
- **Transparency.** Increased accountability and tracking of financial flows
- **Security.** Safer delivery of payments, especially for women
- **Financial Inclusion.** Reaching those not yet in the financial services sector
- **New Market Access.** Opening doors for fee-for-service business models to previously unserved areas due to high transaction costs.

Electronic payment systems include, but are not limited to, electronic funds transfers using bank accounts, prepaid cards bank issued magnetic or smart cards) using Point of Sale devices, mobile banking, and money transfer and payment systems available through mobile network operators and/or banks.

Of all the electronic payment systems, mobile money appears to be the least understood, yet the technology and infrastructure behind it might have the longest reach and greatest potential audience. Mobile money enables individuals to store money, seamlessly transfer it to friends and family in need, and withdraw it without ever travelling to a bank. Depending on the country, users may also be able to pay for goods and services and access a whole range of financial services through their mobile phone. This can be life-changing for the 2.5 billion people without access to basic financial services. Mobile money can also directly support USAID's broader goals because it increases financial inclusion, improves

transparency, and roots out corruption by preventing leakages and also increases broad based economic growth.

Though the potential benefits are clear, there is still more work to be done and USAID has a unique opportunity to leverage financial and political influence to drive greater usage of electronic payment systems. To that end, prospective partners should note the following:

USAID encourages host country governments, bilateral and multilateral development partners, contractors, subcontractors, grantees, sub-grantees, and private sector alliance partners to help strengthen the financial services sector in the countries we work. Where programs propose cash distributions, partners should consider incorporating electronic payment systems into project design and implementation where feasible, thereby reducing reliance on physical cash.

If you are considering the use of electronic payments in your operations and programs, please include in your application a brief explanation of the selected method of electronic payment, and where feasible, how you propose to reduce the reliance on physical cash. Examples of operational costs that can use e-payments are: temporary staff salaries; vendor payments; travel per-diem for staff. Examples of project costs that can use e-payments are: cash for work payments; payment to trainers or trainers of trainers; direct grants to beneficiaries.

This discussion of the type of payment is for informational purposes and for our understanding of how you propose to pay recipients/beneficiaries. This information will be used by USAID to understand and measure the impact of USAID's promotion of the use of electronic payments by implementing partners. The information provided in your proposal/application will not be an evaluation factor unless specifically stated as such in the evaluation criteria in this solicitation document.

[END OF SECTION III]

SECTION IV - APPLICATION AND SUBMISSION INFORMATION

1. Submission of Applications

A. Content and Form of Application

Applications shall be submitted in two separate parts: (1) Technical application and (2) Cost or Business application and as follows:

Electronically - internet email with up to 10 attachments (5MB limit) per email compatible with Microsoft Office 2010 (MS WORD or Excel) or in a MS Windows environment. Multiple emails may be sent to accommodate the application size and content, but each must contain very clear identification of the attachment and instructions for assembling the application. Applicants may also send an Adobe Acrobat portable document format (pdf) for electronic submission; however, zipped files attachments are not allowed.

Email address: rfajpcregiser@usaid.gov

The subject line for every email must be formatted as follows:

Resilience and Economic Growth in the Sahel (REGIS-ER) Activity RFA-685-13-000003
***Applicant's name* TECHNICAL application EMAIL: 1 of XX**

Resilience and Economic Growth in the Sahel (REGIS-ER) Activity RFA-685-13-000003
***Applicant's name* COST application EMAIL: 1 of XX**

The applicant shall sign the application and certifications and print or type its name on the cover page of the technical and cost applications. Applications signed by an agent shall be accompanied by evidence of that agent's authority, unless that evidence has been previously furnished to the issuing office. Applicants should retain for their records at least one copy of the application and all enclosures which accompany their application. Erasures or other changes must be initialed by the person signing the application.

ONLY ELECTRONIC SUBMISSION WILL BE ACCEPTED FOR RECEIPT OF THIS RFA.

Fax applications are NOT authorized for this RFA and will not be accepted. **Applications must remain valid for a minimum of 180 calendar days.**

Applicants are encouraged to obtain confirmation of receipt of their applications.

B. **Late or incomplete applications** will only be considered at the discretion of the Agreement Officer. (see ADS 303.3.6.7)

C. Questions and Clarifications

Any questions and/or requests for clarifications regarding this RFA should be received no later than the date and time indicated on the cover letter of this RFA, in writing via email to rfajpcregiser@usaid.gov. No questions will be accepted after this date. If substantive questions are received which affect the response to the solicitation, or if changes are made to the closing date and time, as well as other aspects of the RFA, this solicitation will be amended.

D. Closing Date and Time

All applications in response to this RFA shall be due at the above email address, no later than the date and time, as indicated on the cover page of this RFA.

2. Technical Application Format and Instructions

The technical application will be the most important item of consideration in selection for award of the proposed activity. It should demonstrate the applicant's capabilities and expertise with respect to achieving the goals of this program. Technical applications should take into account requirements of the program and evaluation criteria found in Section V. Therefore, it should be specific, complete and presented concisely. A lengthy application may not in and of itself constitute a well thought out application. Technical applications shall be **written in English and typed on standard 8 1/2" x 11" paper, single-spaced, one-sided Times New Roman point 12 font size** with each page numbered consecutively. **The Technical Implementation shall not exceed twenty (25) pages.** Unnecessarily elaborate brochures, art-work and other presentation aids beyond those sufficient to present a complete and effective application in response to this RFA are not desired, and may be construed as an indication of the prospective recipient's lack of cost consciousness. **Any pages in excess of the above mentioned limit shall not be reviewed.** Tables, charts, graphs and graphics contained in the technical application, not otherwise excluded below, are included within the above page limitation.

Applicants may use annexes for such required supplemental information. A listing of the required annexes is provided below. To facilitate the competitive review of the applications, applications must conform to the format prescribed below:

A. Cover page [**not included in page limit**], to contain the following information:

- RFA number and title for which this application is being submitted;
- Applicant Name, address, TIN, DUNS/SAM, and point of contact information for technical and cost applications; Applicants are encouraged to obtain their DUNS number and register with SAM. Applicants may submit applications without these. However, a DUNS number and SAM registration are required of any entity prior to receipt of an award.
- Names of sub-awardees/sub-recipients, if any.

B. Table of Contents listing all page numbers and attachments (not included in page limit)

C. List of acronyms (optional and not included in page limit)

D. Executive summary (not included in page limit but not to exceed a one (1) page)

E. Technical Implementation (**limited to 25 pages**)

F. Annexes (not included in page limit) should be lettered (e.g. Annex A, Annex B, etc...)

- Required Annexes
 - Draft Workplan,
 - Draft Monitoring and Evaluation (M&E) Plan including a Performance Monitoring Plan (PMP)
 - Organizational chart
 - Curriculum Vitae of the five key personnel (page limit 3 per CV)
 - Past Performance References (3 references)
 - Draft Branding Strategy and Marking Plan (**apparent successful applicant**)
- Optional Annexes are permitted and may include curriculum vitae of additional named personnel and letters of commitment from partners.

Technical Implementation

This section should include: (a) Program Design/Technical Approach, (b) Management Plan and Institutional Capability, (c) Key Personnel, and (d) Past Performance.

Program Design and Technical Approach

The Program Design and Technical Approach should be holistic and describe what activities and implementation approaches will be undertaken to achieve the three objectives and synergies between them. Outputs and outcomes that describe how these activities will result in achievement of these objectives should also be identified. The Program Design and Technical Approach section should include an examination of how well the application:

- a) demonstrates an understanding of the Sahel context and its opportunities and challenges;
- b) describes the overall approach and integration between objectives and the activities used to achieve them in correlation with proposed funding by Component;
- c) integrates the identified cross-cutting issues and guiding principles into the objectives and the activities used to achieve them. For example the recipient should integrate climate change adaptation - including the effective use of climate smart agriculture and climate information – including how to best plan for and manage these changes- as a cross cutting theme and aim. They should also discuss creative, innovative, and holistic approaches to develop and build the capacity of stakeholders to prepare for and manage long-term climate change trends;
- d) layers, sequences and coordinates with other programs and actors as described in the Strategic Layering, Sequencing and Coordination section including:
 - o how to (a) coordinate and integrate their program with the accompanying REGIS-AG program, (b) build on existing FFP development programs in common programmatic and geographic focus areas and (c) build out from FFP development programs to expand the applications geographic reach of USAID’s core partnership for resilience in targeted zones. In regard to the latter, applications should specify the analyses (conducted or to be conducted) that will inform REGIS-ER and REGIS-AG integration and the strategy to build on and out from exiting FFP development programs. See <http://senegal.usaid.gov/en/node/17> for information on FFP development programs.
 - o how to align and work closely with AGIR and its partners. Applications must also outline how they will align and coordinate with the 3N (*Nigeriens Nourish Nigeriens*) initiative and the multi-donor funded, World Bank managed, Global Agriculture and Food Security Program (GAFSP) in Niger and the coordination body of the PNSR (National Program of the Rural Sector) in Burkina Faso
- e) explains the model for collaborative learning and adapting within the monitoring and evaluation plan;
- f) describes its gender approach by component;
- g) describes its methodology for establishing, coordinating, supporting the co-location of the REGIS programs in Niger and Burkina Faso.
- h) demonstrates collaborative leadership in the coordination of the other USAID/REGIS Programs. (i.e: coordinating joint work-planning with REGIS-AG and the SAREL programs, development of common approaches and guidelines, monitoring and evaluation, and ensuring harmonious program implementation.)

Management Plan and Institutional Capability

Factors under this criterion include, but are not necessarily limited to, the following:

- a) Suitability of management structure including organization of any and all sub-awards;
- b) Consortium structure and technical strengths of each organization;
- c) Appropriateness of positions and staffing including key personnel.

Program set-up should be efficient and cost-effective in order to devote as high a percentage of the budget as possible to programmatic activities. After the start-up phase, the Applicant's operations in the primary office should be self-sufficient and able to respond directly to inquiries of various types in both French and English from USAID/Dakar, US Embassy/Niamey, US Embassy/ Ouagadougou and both of the participating host country governments. The preference is to have key senior staff who can communicate at a highly proficient level in both French and English. USAID encourages the use of Burkinabe and Nigerien nationals where possible.

This section should include a description of the Applicant's strategy for establishing and supporting two offices: Niamey (Niger) and Ouagadougou (Burkina Faso), to serve as a base for staff from all USAID/REGIS-supported programs. It is expected that the Applicant will open a primary office in Niger with a sub-office in Burkina Faso (or work out shared space arrangements with REGIS-AG, and the Sahel Resilience Learning (SAREL) Program via a Memorandum of Understanding). The approximate staffing requirements for office space under the other 2 programs are 24 desks in Niger and 8 in Burkina Faso. Based on the existing humanitarian caseloads and the selected zones of influence, USAID expects that two thirds of the budget will be allocated to Niger and one third will be allocated to Burkina Faso. Because there may be several offices, the management structure must ensure communication and coordination for both administrative and technical aspects and should articulate how the main office in Niger will interact with the sub-office in Burkina Faso.

Applicants should provide an overview of the proposed management of the program, including the quality and previous experience of the applicant in implementing similar programs in developing countries, especially in the Sahel. Technical consortia that bring together organizations with different technical expertise relevant to the proposed program components are strongly encouraged. Gender expertise on the technical team is essential. This section should also summarize management and administrative arrangements including: staffing plan (including in an Annex, the organizational structure with relationships among the individual positions described); logistical support; and procurement arrangements for goods and services.

Sub-awards: The Applicant should describe how the partnership(s) will be organized and managed to minimize duplication of home office and local office management structures. This includes the combined strength of the proposed partners, proposed staff and reporting relationships within and between each of these organizations, and experience in collaborating with other programs in the target areas in implementing complementary activities. Include location where proposed staff will be based. Applications should include a signed letter of commitment from all Consortium partners. They should also describe the staffing and management plan for review, selection and oversight of sub-awards made to local partners.

Qualifications of Key Personnel

Key personnel will include up to five full-time and long-term professional personnel whose participation in the proposed activities is considered to be essential. The application shall provide descriptions of proposed positions and short professional biographies for all key personnel (with full CV in an annex to include three professional references). Applicants are required to ensure that personnel included in the

application are available for the program for at least a two-year period, and applications should include a signed letter of commitment from all key personnel.

A minimum of bachelor's degree in a Food Security related discipline is required for all key positions. An advanced degree, M.S. in a related academic discipline (agriculture or in social sciences) is desirable. Applicants are encouraged to take advantage of the availability of local Sahelian professionals for staffing needs.

The Technical Review Committee reserves the right to request interviews with the proposed Chief of Party as part of the evaluation process.

a) *Chief of Party*

- Must have significant technical experience specific to livelihoods development in a developing country context, preferably the Sahel.
- Must have prior experience as a Chief of Party, or Deputy Chief of Party, for a similarly sized donor-funded project.
- Must have a minimum of 10 years management/leadership experience and a relevant Masters' degree or 15 years management/leadership and hold a Bachelors' degree.
- Experience with program focused on the most vulnerable groups, preferably in Africa.
- Must have demonstrated experience managing programs that effectively address gender issues and advance women's empowerment.
- Must have the ability to communicate effectively (written and oral) with a wide range and level of audience in both French and English.
- Minimum fluency level in French (S-4/R-4 FSI level) is also required of key personnel. In addition, the ability to speak one of the principal languages spoken in the target area will be an added advantage.

b) *Deputy Chief of Party*

- He/she will have the capacity to represent the Chief of Party
- Applicants should consider a local or Sahelian Deputy Chief of Party.
- Must have significant technical experience specific to livelihoods development in a developing country context, preferably the Sahel.
- Must have prior experience as a Chief of Party, or Deputy Chief of Party, for a similarly sized donor-funded project.
- Must have a minimum of 10 years management/leadership experience and a relevant Masters' degree or 15 years management/leadership and hold a Bachelors' degree.
- Experience with program focused on the most vulnerable groups, preferably in Africa.
- Must have demonstrated experience managing programs that effectively address gender issues and advance women's empowerment.
- Must have the ability to communicate effectively (written and oral) with a wide range and level of audience in both French and English.
- Minimum fluency level in French (S-4/R-4 FSI level) is also required of key personnel. In addition, the ability to speak one of the principal languages spoken in the target area will be an added advantage.

c) *Chief Administrative and Financial Officer*

- Must have 7 years of experience managing programs with a funding and complexity on a similar scale to this program.
- Must have demonstrated expertise (relevant education and years of experience), including experience in personnel management and financial systems.
- Must have a minimum of ten years management/leadership experience and a relevant Master's degree or fifteen years management/leadership and a Bachelor's degree.
- Must have demonstrated ability to be collaborative across program components.
- Must have the ability to communicate effectively (written and oral) with a wide range and level of audience (e.g. governments, communities, donors, CBOs) in French and English.
- Minimum fluency level in French (S-3/R-3 FSI level) is also required of key personnel. In addition, the ability to speak one of the principal languages spoken in the target area will be an added advantage.

d) *Burkina Faso Program Representative*

S/he will have a profile similar to that of the Chief and/or Deputy Chief of Party.

e) *Monitoring and Evaluation Expert*

- Must have demonstrated expertise (relevant education and years of experience), including experience in monitoring large donor funded programs.
- Must have proven experience and capabilities in conducting evaluations (impact, baseline, others, etc.)
- Must have demonstrated experience conducting gender analyses and integrating identified issues into technical programming. In the absence of that, the Awardee shall be expected to enlist a consultant to provide support at key moments.
- Must have a minimum of 7 years monitoring and evaluation experience and a relevant Master's degree or 10 years management/leadership and a Bachelor's degree.
- Must have demonstrated ability to be collaborative across program components.
- Must have the ability to communicate effectively (written and oral) with a wide range and level of audience (e.g. governments, communities, donors, CBOs) in French and English.
- Minimum fluency level in French (S-3/R-3 FSI level) is also required of key personnel. In addition, the ability to speak one of the principal languages spoken in the target area will be an added advantage.

Past Performance

Applicants must offer evidence of their technical resources and organizational expertise in addressing relevant problems and issues described in the program components. The applicant shall demonstrate its ability to field qualified staff, ability to work with host governments, local organizations and ability to coordinate and mobilize resources and manage a broad range of activities within a limited timeframe as well as offer good value for USG funds.

The technical application should include in the Annex section a list of relevant contracts, grants, task orders, etc. implemented by the applicant. The quality of applicants' past performance on previous contracts with USAID and other U.S. government agencies will be assessed. The principal factors to be assessed are the following:

- The overall quality of the product or service provided;
- Timeliness of performance;
- Cost control performance;
- End-user satisfaction with performance; and
- Performance of key personnel.

The applicant must provide past performance references for itself and each major sub-Implementing Partner or grantee.

Care should be taken to establish the relevance of past experience to this program and the basis for reliance upon that experience as an indicator of success on this program. Information in this section should include (but is not limited to) the following:

- Brief description of organizational history/expertise;
 - Pertinent work experience and representative accomplishments in developing and implementing programs of the type required under the proposed RFA;
 - Activities in education and skills development, especially at the local level, as well as policy advocacy experience
 - Collaboration with donors and host country governments
- Evidence of a successful record of implementing similar programs. Applicants should describe U.S. Governmental and/or privately funded contracts, grants, cooperative agreements, and others involving similar or related programs received by your organization during the five years before the application, providing further details in Past Performance References in an Annex;
- Relevant experience with proposed approaches;
- Institutional strength as represented by the breadth and depth of experienced sub-recipient capabilities and expertise.

Required Annexes

A. Draft Work Plan

The Applicant will submit a work plan as part of their technical application.

The process for the REGIS-ER work plan is as follows: (1) The Applicant will include a proposed work plan for the first year of the award as an annex in table format. The work plan should include start-up activities and provide sufficient detail to show sequencing and geographic location of activities, and a budget. Where appropriate, careful attention should be paid to indicating where collaboration with REGIS-AG and SAREL programs will take place; (2) the successful Applicant will submit a draft post-award work plan incorporating the results of any technical negotiations, within 45 calendar days after signature of the award.

The work plan will serve several purposes, including a guide to program implementation, a demonstration of links between activities, strategy objectives and intended results, a basis for budget estimates and the foundation for the monitoring and evaluation plan. Work plans function on the USG fiscal year (October-September). The work plan, at a minimum, should include:

- Brief situation analysis

- Life-of-program results
- Milestones toward achieving those results
- Activities to be accomplished that year related specifically to the achievement of milestones
- Level of effort required in terms of staff time and financial resources
- Amount and intended use of counterpart contributions for that year to be provided (cash or in-kind)
- Partner involvement and contributions to achieving the results

B. Draft Monitoring & Evaluation Plan including draft Performance Monitoring Plan

Monitoring & Evaluation Plan (M&E) Requirements

The M&E Plan shall include all required reporting indicators from Annex 1, as well as additional indicators to measure resilience impact. The recipient shall discuss the timeline methodology for baseline collection against expected results and desired outcomes. The recipient must submit a draft M&E plan in their application which includes a draft PMP. The recipient shall also describe their learning and adapting approach based on the Collaborate, Learn, and Adapt (CLA) model developed by USAID's Bureau for Program Planning and Learning (USAID/PPL). This continuous learning approach generates and captures learning, facilitates the exchange of knowledge, and promotes a learning culture.

Performance Monitoring Plan (PMP) Requirements

As a component of the M&E Plan, the recipient must submit a draft, simplified PMP in their application. The draft PMP shall clearly and explicitly align with a proposed causal model and Sahel JPC Strategy Results Framework (see Sahel JPC Strategy Results Framework in Annex 2). The PMP will specify indicators, targets, and the methodologies that will allow the successful recipient and USAID to monitor the progress of award activities towards achieving expected results and targets related to award objectives and accountability. Measuring specific outputs, outcomes and impacts will facilitate better understanding of which approaches are working under which conditions, and which activities need to be refined or strengthened within each of the respective components of the cooperative agreement. The PMP, as an effort toward quality assurance, will also allow USAID to gage the recipient's performance and understand any unforeseen changes in strategy to achieve intended results.

In developing the PMP, the recipient will draw from, but will not be limited to, USAID's list of indicators. For each indicator proposed in the PMP, a brief narrative will include the following:

- Data collection methodology
- Data reliability and timeliness (i.e., intrinsic data quality)
- Indicator validity (i.e., the relationship between the indicator and the desired output or result)

Wherever possible and appropriate, the PMP will be presented in tabular and/or graphical forms that portray progress over time, affording an executive audience an immediate sense of progress or the lack thereof.

C. Organizational Chart

Applicants must submit a detailed organizational chart for USAID's review. The organizational chart should be both structural and functional. At a minimum, it should clearly define the communication and reporting structure for Key Personnel and all program staff in Niger and Burkina Faso. The supervisory responsibility, authority, and accountability for all staff should be included in the chart. Relationship with

the home office may be included, as can STTA staff, where appropriate. Functionally, the chart should include bullets to briefly describe job functions and roles of staff. The chart should not exceed 3 pages in length.

D. Curriculum Vitae of the five key personnel

Applicants must submit curriculum vitae of the five key personnel, limited to 3 pages each.

E. Past Performance and Experience References

- Past Performance. The Applicant should present up to three contracts, grants, or cooperative agreements, not necessarily with USAID, in which the primary Applicant has implemented similar or related programs during the past three years. This information is to include programs of similar complexity and magnitude involving technical assistance to the education sector. If the Applicant is a consortium, provide information on past experience for all identified partners. Reference information is to include the contract information for an official point of contact, award or contract numbers, and a brief description of the work performed by the Applicant's partners and/or sub-awardees/sub-recipients. Copies of certificates of Program Completions or any evidentiary documentation should be forwarded as an Annex to the technical application.
- Past Experience. Applicants may supply a table showing previous experience by award, not to exceed one page. In the table list, show the following:
 - Name of awarding organization or agency;
 - Address of awarding organization or agency;
 - Place of performance of services or program;
 - Award number;
 - Amount of award;
 - Term of award (begin and end dates of services/program);
 - Name, current telephone number, current fax number, and email address (if one is available) of a responsible technical representative of that organization or agency; and
 - Brief description of the program

F. Branding and Marking Plan

It is a federal statutory and regulatory requirement that all USAID programs, projects, activities, public communications, and commodities that USAID partially or fully funds under a USAID grant or cooperative agreement or other assistance award or sub-award, must be marked appropriately overseas with the USAID Identity. Under the regulation, USAID requires the submission of a Branding Strategy and a Marking Plan, but only by the "apparent successful applicant," as defined in the regulation. The Agreement Officer will review for adequacy the proposed Marking Plan and will negotiate, approve and include the Marking Plan in the award. ***Failure to submit or negotiate a Marking Plan within the time specified by the Agreement Officer will make the apparent successful applicant ineligible for award.***

22 CFR 226.91(f) requires that Applicants submit a Branding & Marking Plan that describes:

- How the program, project, or activity is named and positioned;
- How it is promoted and communicated to beneficiaries and cooperating country citizens;
- Identifies all donors and explains how they will be acknowledged;

- Contains the required information on naming and positioning the USAID-funded program, project, or activity;
- Promotes and communicates to cooperating country beneficiaries and citizens that the USAID-funded program, project, or activity is “from the American People”; and is consistent with the stated objectives of the award.

Further information on Branding & Marking can be found in ADS Chapter 320:

<http://www.usaid.gov/policy/ads/300/320.pdf>, or in the Branding website at

<http://www.usaid.gov/branding/assistance.html>

3. **Cost/Business Application Format and Instructions**

The Cost or Business Application shall be submitted separately from the technical application. Certain documents are required to be submitted by an applicant in order for the Agreement Officer to make a determination of responsibility. However, it is USAID policy not to burden applicants with undue requirements if that information is readily available through other sources. A cost application consists of:

- SF-424*, Application for Federal Assistance
- SF-424A*, Budget Information – Non-construction Programs
- SF-424B*, Assurances-Non-construction Programs
- a summary budget
- a detailed/itemized budget, including costs for environmental compliance implementation and monitoring
- a budget narrative explaining costs to be incurred; and
- other administrative documentation as required.

* These forms may be downloaded from <http://apply07.grants.gov/apply/FormLinks?family=15>

NOTE: USAID expects that two thirds of the budget will be allocated to Niger and one third will be allocated to Burkina Faso. All cost applications must clearly include funding allocation (as a percentage) as part of their cost application.

The following sections describe the documentation that applicants must submit in the cost application. While there is no page limit for this portion, applicants are encouraged to be as concise as possible, but still provide the following information:

(a) **Budget Preparation Guidance**

The applicants must submit a summary budget for the five (5) years of performance. The summary budget must reflect summary cost information for each of the major budget cost elements as set forth below for each of the agreement years separately and then show the program total for the entire agreement in the last column of the table. The Applicants shall also provide a separate summary budget as indicated above for each geographic country (Niger and Burkina Faso).

Summary Budget by Cost Elements

<i>Cost Elements</i>	<i>Year 1</i>	<i>Year 2</i>	<i>Year 3</i>	<i>Year 4</i>	<i>Year 5</i>	<i>Total</i>
Salaries and Wages						
Consultants						
Fringe Benefits						

Travel, Transportation, and Per Diem						
Allowances						
Equipment/Supplies						
Subcontracts						
Other Direct Costs						
Other Training and Conferences						
Overhead						
General and Administrative Costs						
Total Cost Estimated Amount						

Budget details in **Microsoft Excel** with calculations shown in the spreadsheet (calculations and formula shall be accessible and not hidden or protected by password) and supporting information must be provided in sufficient detail to allow a complete and thorough analysis of cost. An overall detailed budget must be submitted for each Component for the total (5) five years of performance. In addition to the overall detailed budget, breakdown of costs must be provided for each year of performance by country, and for each individual Cost Elements.

The Applicant's proposed budget should provide estimates of the program based upon the total estimated costs for the Agreement. Applicants should minimize their administrative and support costs for managing the program to maximize the funds available for project activities.

The applicant should provide an illustrative budget for establishing and supporting 2 offices Niamey (Niger) and Ouagadougou (Burkina Faso) to serve as a base for staff from all REGIS-supported programs. They should show how resources in the budget will be used to support set-up and functioning of each office such as rental, utilities, procurement and maintenance of vehicles, equipment and supplies; and any upgrades or refurbishments that may be necessary.

The cost application should describe headquarters and field procedures for financial reporting and the management information procedure(s) to ensure accountability for the use of U.S. Government funds. Applicants must describe fully project budgeting, financial and related project reporting procedures.

The detailed budget should be organized based on types of costs as set forth in the section immediately below.

(b) Budget Line Item Headings

In order to undertake a meaningful comparison of cost, Applicants shall use the following standard cost elements organized generally as presented below.

Direct Costs

Labor Costs

Salary and Wages

Consultants

Fringe Benefits

Travel & Allowances

Travel, Transportation, Per Diem and Miscellaneous (Visas, Inoculations, etc.),

Allowances

Other Direct Costs

Equipment and Supplies

Sub-award Costs (for major sub-awards, ancillary budgets should be provided that include the same cost element, line item and annual breakdowns as required for the prime's budget, as applicable)
 Training (includes all types of training costs)
 Any Other Direct Costs

Indirect Costs

Overhead

G&A

Total Estimated Amount

(c) Budget Line Item Definition

Salary and Wages: Applicants must propose direct salaries and wages in accordance with recipient personnel policies and meet the regulatory requirements. For example, costs of long-term and short-term personnel should be broken down by person years, months, days or hours.

Consultants: If applicant proposes for short-term expert services by persons who are members of a particular profession or possess a special skill and who are not officers or employees of the recipient. For example, costs of consultants should be broken down by person years, months, days or hours.

Fringe Benefits: If the Applicant has a fringe benefit rate approved by an agency of the U.S. Government, the applicant should use such rate and provide evidence of its approval. If an Applicant does not have a fringe benefit rate approved, the application should propose a rate and explain how the Applicant determined the rate; in this case, the narrative should include a detailed breakdown comprised of all items of fringe benefits (e.g., unemployment insurance, workers compensation, health and life insurance, retirement, FICA, etc.) and the costs of each, expressed in U.S. dollars and as a percentage of salaries.

Travel, Transportation, and Per Diem: The Applicant should provide costs for transportation, lodging, meals and incidental expenses. Costs should be broken down by the number of trips, domestic and international, cost per trip, per diem and other related travel costs. Specify the origin and destination, purpose for each proposed trip, duration of travel, and number of individuals traveling. In addition, Recipient shall provide a consolidated travel chart (including sub-awardee travel). Per diem should be based on the Recipient's normal travel policies (Recipients may choose to refer to the Federal Standardized Travel Regulations for cost estimates).

Allowances: The Applicant should provide cost for differentials and allowances with further references to Standardized Regulations. For example, allowances should be broken down by specific type and by person, and should be in accordance with Recipient's policies and these regulations.

Equipment and Supplies: Applicant should provide estimated equipment (i.e. model number, cost per unit, quantity) and office supplies and other related supply items. For example, costs should be broken down by types and units, and include an analysis that it is more advantageous to purchase than lease.

Sub-awards: Applicants should provide cost for any award entered into by a sub-award to furnish supplies or services for performance of a prime award or a subaward. Cost element breakdowns should include the same budget items as the prime as applicable.

Other Direct Costs: Applicants should provide cost for the allowability of direct costs and any cost elements. For example, costs should be broken down by types and units.

Other Training and Conferences. For other than participant training – provide number of training sessions, length and number of participants. Include training cost per participant and provide a name of each training.

Indirect Costs (Overhead, G&A). These remaining costs (indirect) that are to be allocated to intermediate or two or more final cost objectives. Indirect costs and bases as provided for in an applicant's indirect cost rate agreement with the Government, or if approved rates have not been previously established with the Government, a breakdown of bases, pools, method of determining the rates and description of costs. The Applicant should support the proposed indirect cost rate with a letter from a cognizant, U.S. Government audit agency, a Negotiated Indirect Cost Agreement (NICRA), or with sufficient information to determine the reasonableness of the rates. (For example, a breakdown of labor bases and overhead pools, the method of determining the rate, etc.). If applicant does not have a NICRA, the following shall be Included, as applicable:

- Copies of the audited (by a certified public accountant or other auditor satisfactory to USAID) financial statements for the past three years;
- Projected budget, cash flow and organizational chart; and
- Organization chart, by-laws, constitution, and articles of incorporation, if applicable;
- Copies of applicable policies and procedures, including those related to accounting, purchasing, property management, and personnel; and
- Copies of the Applicant's personnel (especially regarding salary and wage scales, merit increases, promotions, leave, differentials, etc.), travel, and procurement policies, and indicate whether personnel and travel policies and procedures have been reviewed and approved by any agency of the Federal Government. Provide the name, address, and phone number of the cognizant reviewing official or with sufficient information to determine the reasonableness of the rates.

Applicants should submit additional evidence of responsibility they deem necessary for the Agreement Officer to make a determination of responsibility. The information submitted should substantiate that the Applicant:

- Have adequate financial resources or the ability to obtain such resources as required during the performance of the award.
- Has the ability to comply with the award conditions, taking into account all existing and currently prospective commitments of the applicant, nongovernmental and governmental.
- Has a satisfactory record of performance. Past relevant unsatisfactory performance is ordinarily sufficient to justify a finding of non-responsibility, unless there is clear evidence of subsequent satisfactory performance.
- Has a satisfactory record of integrity and business ethics.
- Is otherwise qualified and eligible to receive a cooperative agreement under applicable laws and regulations (e.g., EEO).

(d) Budget Narratives

Budget narratives are required and must state the basis of cost estimation not solely citing to, "prior experience", and must justify the estimated costs for funding. The Applicant must be in alignment with the Cost Elements in the detailed budget. The applicant should provide an illustrative budget for each office, including a description of its strategy for establishing and supporting 2 offices Niamey (Niger) and Ouagadougou (Burkina Faso), to serve as a base for staff from all REGIS-supported programs.

The narrative should describe how the Applicant will handle relationships with the respective REGIS-AG and SAREL programs in each office and using these spaces, including any proposed cost-sharing, pooled funding or other mutually supporting processes.

Between the detailed budgets and the budget narratives, sufficient information must be provided to allow a thorough, complete and fair analysis of the costs proposed. For example, for salaries, the Applicant must demonstrate the calculations and the rationale for the rates for the base daily labor rate utilized in calculating labor cost. Personnel base daily rate may not exceed current prevailing market rates for given proposed positions. The total number of hours in a work year should be no more than 2,080 hours.

Narratives for the individual cost items must provide a discussion of any estimated escalation rates where applicable. Estimated costs proposed to exceed ceilings imposed by USAID or Federal procurement policy must be fully explained and justified.

In addition, the narratives for all costs shall explain how the applicant's derived costs, are consistent with the following guidance on required information:

- The breakdown of all costs associated with the project according to costs of, if applicable, headquarters, and/or regional offices;
- The breakdown of all costs according to each partner organization involved in the project;
- The costs, if any, associated with external, expatriate technical assistance and those associated with local in-country technical assistance
- The breakdown of any financial and in-kind contributions of all organizations involved in implementing the cooperative agreement;
- Potential contributions of USG and non-USG donors to the agreement.

(e) Supporting Documents

The Applicant shall provide additional supporting budget documentation to substantiate all proposed costs. Negotiated Indirect Cost Rate Agreements should be included in the Cost Application. In addition, AID Form 1420-17 - Biographical Data Sheets, should be submitted for each position with identified personnel. The form must be signed and dated by the individual and the Applicant (or sub-recipient) in the appropriate spaces with all blocks completed. Use of Biographical Data Sheets, which are more than three months old are not acceptable. If the individual is on an appointment of less than 12 months (e.g., an academic year appointment for a university faculty member), the form must indicate the number of months in the appointment period. If the form reflects only the highest salary of the most recent employer, the date when such salary went into effect must be indicated. Consulting fees must clearly specify the number of days for each consultancy. If continuation sheets are used, each must contain the individual's name, signature, and date.

If the Applicant is a consortium, the cost application must include documents that reflect the legal relationship among the parties. The document(s) should include a full discussion of the relationship among the applicants, including the identity of the applicant that the USG will treat for purposes of administration of any cooperative agreement, identity of the applicant that will have accounting responsibility, how the applicant proposes to allocate effort under any cooperative agreement, and the express agreement of the principals of the Applicant organization to be held jointly and severally liable for the acts of omissions of the other.

Other supporting documentation should be submitted if the Applicant believes that it is necessary to substantiate or support costs proposed by the Applicant.

(f) Required Certifications, Assurances, Other Statements of the Recipient and Solicitation Standard Provisions (See Section VIII)

Applicants that have never received a cooperative agreement, grant or contract from the U.S. Government are required to submit a copy of their accounting manual. If a copy has already been submitted to the U.S. Government, the applicant should advise which Federal Office has a copy.

5. Applicant's Responsibility

Applicants which include data that they do not want disclosed to the public for any purpose or used by the U.S. Government except for evaluation purposes, shall:

- o Mark data that they do not want disclosed to the public for any purpose or used by the U.S. Government except for evaluation purposes, to mark the title page with the following legend:

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

- o Mark each sheet of data it wishes to restrict with the following legend:

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

Applicants shall retain for their records one copy of their application and all enclosures that accompany it.

[END OF SECTION IV]

SECTION V - APPLICATION REVIEW INFORMATION

1. Overview

The criteria that all applications will be reviewed against are listed below so that Applicants will know which areas require emphasis in applications. Applicants should note that these criteria serve as the standard against which all technical information will be evaluated and serve to identify the significant matters which Applicants should address.

USAID will award to the Applicant whose application best meets the program description.

The Government may evaluate applications and award a cooperative agreement without discussions with Applicants. However, the Government reserves the right to conduct discussions if later determined by the Agreement Officer as necessary. Therefore, each initial offer should contain the Applicant's best terms from a cost or price and technical standpoint.

The entry into discussion is to be viewed as part of the evaluation process and shall not be deemed by USAID or the applicants as indicative of a decision or commitment upon the part of USAID to make an Award to the applicant with whom discussions are being held.

To be eligible for consideration of an award under this RFA, the Applicant must be any legal entity accredited or able to obtain accreditation to operate in Niger and Burkina Faso. Applicants must submit with their applications, the status of their application for registration with the host governments of Niger and Burkina Faso. Upon notification from the Agreement Officer, the apparent winner shall provide written proof of full registration within 30 calendar days. Prior to award, proof of registration or completed accreditation is required and must be submitted in writing to the Agreement Officer. Failure to meet the accreditation requirement within the 30 calendar days will disqualify the applicant and the source selection official may opt to begin negotiations with the second highly rated applicant.

2. Technical Evaluation Criteria

The technical evaluation criteria are tailored to the requirements of this RFA and are set forth below based on a 100 points scale. Applicants should note that these criteria serve to: (a) identify the significant matters which the Applicants should address in their applications and (b) set the standard against which all applications will be evaluated. To facilitate the review of applications, applicants must organize the narrative sections of their technical application with the same headings and in the same order as the selection criteria. There are four criteria against which the Technical Implementation will be evaluated: *Program Design/Technical Approach, Management Plan/Institutional Capability, Qualified of Key Personnel, and Past Performance*. The maximum possible points for each of these criteria are outlined in the table below.

Summary of Evaluation Points

Criterion	Points
Program Design and Technical Approach	60
Management Plan and Institutional Capability	15
Qualifications of Key Personnel	15
Past Performance	10
Total	100

The relative importance of each criterion is indicated by approximate weight by points. The selection criteria below are presented by major category, with relative order of importance, so that Applicants will know which areas require emphasis in the preparation of applications.

USAID expects that a technical consortium approach will be required in order to have all the requisite experience to implement this award; including at least one partner with experience in humanitarian response in the Sahel. The successful applicant will have a track record of implementing USG or other donor funded food security, relief and development programs and partnering with other local and/or international NGOs and will ideally highlight how the different members of the technical consortium bring their strengths to specific components in the implementation of an overall program. The Applicant should bring in other organizations as partners based on specialized sectoral or sub-sectoral expertise in relevant critical areas (for example, but not limited to: small scale irrigation, agricultural technology transfer, livestock production, seed multiplication, nutrition/health, safe water, local governance and community organization, gender, conflict resolution, global climate change, humanitarian/emergency programming, and collaborative learning.) Furthermore, the applicant will clearly indicate how it envisions the use of the sub-grant mechanism to local partners in a way that increases their capacity while furthering the expected results in line with USAID/Forward principles.

It is anticipated that the proposed approach will: a) consist of an experienced implementing partner(s) with in-depth knowledge of the Niger and Burkina Faso development milieus; b) an international consortium with **experience in both humanitarian and longer-term development programming**, c) be cost effective; d) clearly show how it is using and strengthening local partners, and e) ensure a quick start-up to activities.

Program Design and Technical Approach

60 points

The Program Design and Technical Approach should be holistic and describe what activities and implementation approaches will be undertaken. Outputs and outcomes that describe how these activities will result in achievement of these objectives should also be identified. Evaluation of the Program Design and Technical Approach section will include:

- a) Understands the Sahel context and its opportunities and challenges;
- b) describes the overall approach and integration between objectives and the activities used to achieve them;
- c) integrates the identified cross-cutting issues and guiding principles into the objectives and the activities used to achieve them.
- d) layers, sequences and coordinates with other programs and actors as described in the Strategic Layering, Sequencing and Coordination section
- e) explains the model for collaborative learning and adapting within the monitoring and evaluation plan;
- f) describes its gender approach by component.

Management Plan and Institutional Capability

15 points

Factors under this criterion include the following:

- a) Suitability of management structure including organization of any and all sub-awards. The use of cost-savings measures proposed to effectively devote a higher percentage of the budget to programmatic activities versus staffing costs.
- b) Demonstrated Consortium structure and technical strengths of each organization proposed.

- c) Appropriateness of positions and staffing including key personnel in the overview of the proposed management of the program, including the quality and previous experience of the applicant in implementing similar programs in developing countries, especially in the Sahel.

Qualification of Key Personnel

15 points

Quality and appropriateness of the Applicant's proposed Key Personnel. The quality of personnel will be evaluated based on their specific qualifications, professional competence, relevant academic background, technical experience, and demonstrated success in carrying out proposed activities as well as their knowledge in implementing relevant technical areas.

Past Performance

10 points

This factor will be evaluated in accordance with the following criteria:

- (a) Evidence of ability to comply with terms and conditions of contract or grant awards to effectively and efficiently achieve development objectives and results through innovative planning and implementation and sound business practices and relations.
- (b) Information indicating successful implementation of projects and activities relevant to agricultural development and volunteer program management, satisfied customers/partners/sponsors under past agreements, and compliance with relevant laws, regulations, and terms and conditions of its past awards.
- (c) Performance information will be used for both the responsibility determination and best value decision. USAID may use performance information obtained from other than the sources identified by the Applicant/sub-awardee.
- (d) An applicant's performance will not be evaluated favorably or unfavorably when:
 1. The applicant lacks relevant performance history.
 2. Information on performance is not available, or
 3. The applicant is a member of a class of applicants where there is provision not to rate the class against a sub factor.

When this occurs, an applicant lacking relevant performance history is assigned a "neutral" rating. For example, a small business prime applicant will not be evaluated on its performance in using small business concerns. If this sub factor is worth a possible 10 points out of a total possible point value of 100 for the technical application, then the small business prime applicant's technical application will have a maximum of 90 possible points. If it was assigned a total score of 80 points out of the 90 maximum possible points, its total technical score for evaluation against the other applicants would be 88.89 (i.e., 80/90). USAID understands that there may be minor arithmetic differences in percentage terms as a result; however, it considers these differences to be minor and that they will not impact any best-value decision made under this RFA.

Prior to assigning a "neutral" past performance rating, the agreement officer may take into account a broad range of information related to an applicant's performance.

3. Cost Evaluation

USAID expects that two thirds of the budget will be allocated to Niger and one third will be allocated to Burkina Faso. All cost applications should clearly include this funding allocation as part of their cost application.

No points are assigned to the cost applications evaluation. While the technical evaluation criteria are significantly more important than cost, cost remains important.

Cost will primarily be evaluated for realism, completeness, allowability, allocability, cost-efficiency and reasonableness. This evaluation will consist of a review of the cost portion of an Applicant's application to determine if the overall costs proposed are realistic for the work to be performed, if the costs reflect the Applicant's understanding of the requirements, and if the costs are consistent with the Technical Application.

Evaluation of the cost application will consider but not be limited to the following:

- cost reasonableness, cost realism and completeness of the cost application and supporting documentation;
- cost represents the best value to the government for the technical approach proposed;
- Individual costs are considered reasonable based on an analysis to identify salaries and other cost categories considered to be excessive.
- overall cost control/cost savings evidenced in the application (avoidance of excessive salaries, excessive home office visits, and other costs in excess of reasonable requirements);

Cost realism is an assessment of accuracy with which proposed costs represent the most probable cost of performance, within each Applicant's technical and management approach. A cost realism evaluation shall be performed as part of the evaluation process as follows:

- Verify the Applicant's understanding of the requirements;
- Assess the degree to which the cost application accurately reflects the technical approach;
- Assess the degree to which the costs included in the Cost Applications accurately represent the work effort included in the respective Technical Applications.

The results of the cost realism analysis will be used as part of the Agency's best value/tradeoff analysis. Although technical evaluation criteria are significantly more important than cost, the closer the technical evaluation scores of the various applications are to one another, the more important cost considerations will become. Therefore, the evaluation of costs proposed may become a determining factor in making the award as technical scores converge.

4. Acceptability of Proposed Non-Cost Terms and Conditions

An application is acceptable when it manifests the Applicant's assent, without exception, to the terms and conditions of the RFA, including attachments, and provides a complete and responsive application without taking exception to the terms and conditions of the RFA. If an Applicant takes exception to any of the terms and conditions of the RFA, then USAID will consider its application to be unacceptable. Applicants wishing to take exception to the terms and conditions stated within this RFA are strongly encouraged to contact the Agreement Officer before doing so.

5. Award Selection

The overall evaluation methodology set forth above will be used by the Agreement Officer as a guide in determining the best value to the U.S. Government. This award will be made by the Agreement Officer to the responsible recipient whose application represents the best value to the U.S. Government after evaluation in accordance with factors and sub-factors as set forth in this RFA.

The cost application must be realistic, reasonable, allowable, allocable, and cost-effective. Applicants should minimize administrative and support costs for managing the project in order to maximize the funds available for project activities.

If the Agreement Officer determines that discussions are necessary, he/she will do so with the most highly rated applications. The government may exclude an applicant if it is so deficient as to essentially require a new technical application. The government may exclude an applicant requiring extensive discussions, a complete rewrite, or major revisions such as to allow an applicant unfair advantage over other applicants.

Once an apparent successful applicant is identified, additional information and discussion may occur between the applicant and USAID Agreement Officer before the Agreement Officer makes the final award decision. Award may be made without discussions.

This procurement utilizes the tradeoff process. The Agreement Officer may award to a higher priced applicant if a determination is made that the higher technical evaluation of that applicant merits the additional cost/price.

Prior to award, proof of registration or completed accreditation in Niger and Burkina Faso is required and must be submitted in writing to the Agreement Officer. Failure to meet the accreditation requirement within the 30 calendar days will disqualify the applicant and the source selection official may opt to begin negotiations with the second highly rated applicant.

6. Awarding with Small Business Concerns and Disadvantaged Enterprises

USAID encourages the participation of small businesses, veteran-owned small businesses, women-owned small businesses, small disadvantaged business, and HUBZone small businesses. Accordingly, every reasonable effort will be made to identify and make use of such organizations. After evaluating all applicants, if USAID concludes that certain applicants are effectively equally eligible for an award, then the applicant that includes the most realistic and effective use of small business concerns may become a determining factor for selection.

[END OF SECTION VI]

SECTION VI - AWARD AND ADMINISTRATION INFORMATION

1. Notification of Award

The selected Applicant will be notified by email following the selection. Although an earlier notification may be provided to applicants regarding their recommended selection for an award, only an award signed by the USAID Agreement Officer will constitute the USAID commitment of the selection of the applicant. USAID may, at its sole discretion, provide the award to the successful applicant's designated point of contact via electronic mail for review and signature. The signed award will authorize the selected applicant to begin implementation of the activities described in their technical application or revised technical application/addenda, and will obligate funds for payment to the recipient of the award for costs incurred in such implementation.

Unsuccessful applicants will be notified of their non-selection after the award has been made. An unsuccessful applicant, upon its written request received by the Agreement Officer within 10 days after the date on which that unsuccessful applicant has received notification of non-selection, shall be debriefed and furnished the basis for the selection decision. To the maximum extent practicable, the debriefing will occur within 30 days after receipt of the written request. Unsuccessful applicants that fail to request a debriefing in a timely manner are not entitled to a debriefing, but such untimely debriefing requests may be accommodated at USAID's sole discretion. Debriefings may be done orally, in writing, or by any other method acceptable to the USAID Agreement Officer. At a minimum, the debriefing information shall include: (1) USAID's evaluation of the significant weaknesses or deficiencies in the applicant's application, if applicable; (2) the overall evaluated technical rating of the successful applicant(s) and the debriefed applicant, and past performance information on the debriefed applicant; (3) the overall ranking of all applicants; (4) a summary of the rationale for award; and (5) reasonable responses to relevant questions about whether selection procedures contained in this RFA, applicable regulations, and other applicable authorities were followed. The debriefing shall not include point-by-point comparisons of the debriefed applicant's application with those of other applicants. Moreover, the debriefing shall not reveal any information prohibited from disclosure by, or exempt from release under, the Freedom of Information Act (5 U.S.C. 552) including: (1) trade secrets; (2) privileged or confidential manufacturing processes and techniques; (3) commercial and financial information that is privileged or confidential, including cost breakdowns, profit, indirect cost rates, and similar information; and (4) the names of individuals providing reference information about an applicant's past performance.

2. Authority to Obligate the Government

The Agreement Officer is the only individual who may legally commit the Government to the expenditure of public funds. No costs chargeable to the proposed Agreement may be incurred before receipt of either a fully executed Agreement or a specific, written authorization from the Agreement Officer.

Any reference to "agreement" or "award" refers to the cooperative agreement awarded under this RFA, in response to an application determined by USAID to be suitable for funding.

3. Reporting

The Recipient shall submit all final reports (technical and financial) to the AOR, the Agreement Officer, and to the Development Experience Clearinghouse (DEC). Documents submitted to the DEC should be sent in original format via email to:

Online: <https://dec.usaid.gov/dec/content/submit.aspx>

Electronic documents must consist of only one electronic file that comprises the complete and final equivalent of a hard copy. Electronic documents should be in PDF (Portable Document Format).

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

4. General Reports and Other Reporting Requirements (SEE Table below).

A. Reports and Deliverables

Deliverable	Delivery Date	USAID Acceptance
General Deliverables		
(1) Monthly Reports The Recipient shall provide a brief bulleted monthly update on project activities that highlights major events or accomplishments. The update shall not exceed two pages. The update will identify current and up-coming consultations/visitors, key activities and events of the previous month, and upcoming activities and events. Accomplishments shall highlight the developmental impact of the program's activities, rather than providing a list of trainings and meetings held.	Monthly updates are due the 1st of every month.	
(2) Quarterly Progress Reports The Recipient shall submit quarterly reports at the end of each calendar quarter, limited to twenty (20) pages. These shall reflect the structure of the annual work plan and the PMP, and address the following points: • Discuss benchmarks and achievements relating progress to indicators and/or impacts achieved to-date as identified in the Recipient's annual monitoring and evaluation plan, as well as reporting on women's empowerment, gender equality and gender-based violence indicators. The report shall identify which achievements were directly attributable to the Recipient's activities and those where the Recipient played a supporting role. This discussion shall be supported by quantitative and qualitative evidence, which will remain auditable under the terms of the agreement and USAID program implementation procedures. • Identify key problems or issues encountered, how they were or will be resolved, and, as required, recommended USAID intervention to facilitate their timely resolution; • Present success stories that USAID/Senegal might use in reports to USAID/Washington. • Include a financial table which contains expenses of the reported period, year to date amount and remaining budget line item amount.	The quarterly reports are due the first day of the 2nd month following the end of the quarter (i.e. February 1st, May 1st and August 1st)	USAID shall review and provide comments within 15 calendar days.
(3) Annual Reports The annual reports will consist of both narrative and quantitative section, reporting against all indicators established in the PMP, as well as addressing the points included above in the quarterly report section. A comprehensive property inventory list is required to be submitted annually.	The annual reports shall be submitted September 1 st of each year	USAID shall review & provide comments within 15 calendar days.

(4) Final Report The Recipient shall submit the final report in English and French. The report includes: • An executive summary of the recipient’s accomplishments in achieving results and conclusions about areas in need of future assistance; • An overall description of the recipient’s activities and attainment of results during the life of the Agreement, as well as reporting on women’s empowerment, gender equality and gender-based violence indicators; • An assessment of progress made towards accomplishing the Objective and Illustrative Results; • Significance of these activities; • Lessons learned; • Success stories; • Comments and recommendations. • A comprehensive property inventory list is required to be submitted at agreement completion. This report should not exceed 100 pages, although annexes may be appended. The final performance report shall be submitted to the AOR, and the Agreement Officer. A copy of the final results shall be filed with the Development Experience Clearinghouse at: https://dec.usaid.gov/dec/content/submit.aspx It is highly recommended that the final report be prepared before the end date of the Agreement since additional costs cannot be incurred after the program end date.	30 calendar days prior to the completion of the agreement the recipient shall submit the draft report. Recipient will have no more than 90 calendar days after the completion date of activities under the Agreement to submit a completed Final Report in English and in French.	USAID will have 15 calendar days to respond to the draft.
(5) Geospatial Data Geographic Information System (GIS) data. USAID is required to make nonproprietary geospatial data available to the public. Data shall be consistent with US Federal Geographic Data Committee (FGDC) level 1 metadata standards. USAID is in the process of developing standards and protocols for geospatial related activities. The recipient will be provided a copy of these once they are developed and will be required to abide by them. All spatial and geographic information system activities financed by USG federal funds must comply with: - OMB Circular A-16, Executive Order 12906; - Automated Directives System (ADS) 507 (Freedom of Information Act); - ADS 551 (Data Administration); and - ADS 557 (Public Information).	Within 30 calendar days of the end of each fiscal year during the life of the agreement.	AOR concurrence

Therefore, the Recipient shall: - Document digital spatial data according to Federal Geographic Data Committee (FGDC) Level 1 metadata standards; - Deliver to USAID digital copies of spatial data with accompanying metadata; and - Make spatial data available to the public at the cost of reproduction.		
(6) Financial Report Two weeks before the end of each quarter (e.g. mid-December, mid-March, mid-June and mid-September) the Recipient shall submit accruals information to the AOR. Financial reports must contain sufficient information on a budget sub-line items basis to review vouchers for approval. The recipient shall account for expenditures for activities carried out under this project to ensure funds are used for their intended purposes. Financial reports shall be in accordance with 22 CFR 226.52. The Recipient shall submit to the USAID AOR, a quarterly financial report using the SF-425 line item budgets, expenditures and a budget pipeline (balance remaining). USAID will require that activities related to earmarks for Global Climate Change, Global Health Initiative, Feed the Future, Environment, Water and Humanitarian Assistance activities be tracked. The Recipient must ensure that they attach a budget tracking table by earmark and the associated required indicators located in Annex 1 to their financial report on a quarterly basis. This table shall be submitted to the AOR. For Organizations <u>with</u> a Letter of Credit (LOC): - Quarterly Report: The recipient must submit an SF 425, the Federal Financial Report, via electronic format to the U.S. Department of Health and Human Services (http://www.dpm.psc.gov) within 30 days following the end of each quarter. A copy of this form shall be simultaneously submitted to the AOR and the Agreement Officer (AO). - Final Report: The recipient must submit within 90 days following the estimated completion date of this award and, in accordance with 22 CFR 226.70 – 72, the original and three (3) copies of the final SF-425 to USAID/Washington, M/CFO/CMP-LOC Unit; the AO and the AOR. The electronic version of the final SF 425 must be submitted to the U.S. Department of Health and Human Services (http://www.dpm.psc.gov) For Organizations <u>without</u> a Letter of Credit (LOC): - Quarterly Report: The Recipient must submit an SF 425, the Federal Financial Report, via electronic submission, within 30 days following the end of each quarter to the AOR and the AO. The Recipient	2 weeks before the end of each quarter.	

shall include, as an attachment to the SF-425, expenditures by budget line item per quarterly performance reporting requirements. (b) Final Report: The Recipient must submit within 90 days following the estimated completion date of this award and, in accordance with 22 CFR 226.70, the original and two copies of all final SF-425 to the AO and the AOR. Electronic copies of the SF-425 can be found at: http://www.whitehouse.gov/sites/default/files/omb/assets/grants_forms/SF-425.pdf Line item instructions for completing the SF-425 can be found at: http://www.whitehouse.gov/sites/default/files/omb/grants/standard_forms/SF-425_instructions.pdf		
(7) Short-Term Consultant and Technical Reports Upon completion of the services of each short-term consultant, the recipient shall submit a report to the AOR summarizing the activities, accomplishments and recommendations of the consultant. This can be either in written or verbal form as determined by the AOR. In addition, the recipient shall provide copies of all technical reports including analyses, policy recommendations, comparative studies, etc. to the AOR as these are developed.	21 calendar days after completion of the consultancy.	
(8) Ad-Hoc Reports and Other Documentation As required by the AOR in writing and based on deadlines established by the AOR, the recipient shall submit ad hoc reports as necessary.	21 calendar days after AOR's request.	
M&E, PMP and Work Plan Requirements (Please note that the following may require Collaboration with REGIS-AG and/or the SAREL)		
(1) M&E Requirements - Initial M&E (covers period from date of award through September 30, 2013) shall be finalized, submitted and include all required reporting indicators from Annex I, as well as additional indicators to measure resilience impact. The recipient should discuss the timeline methodology for baseline collection against expected results and desired outcomes. - Annual M&E report Once all three projects are awarded – M&E Plan shall be done in collaboration with the REGIS-AG and the SAREL contractors.	45 calendar days after contract award. October 1st of each year	USAID shall review the initial M&E plan and provide comments within 15 calendar days.
(2) PMP Requirements The initial PMP (a component of the M&E) shall be finalized and submitted.	45 calendar days after agreement award October 1st of each year	USAID shall review the initial PMP and provide comments within 15 calendar days.

- Annual PMPs shall specify indicators, targets, and the methodologies that will allow the successful recipient and USAID to monitor the progress of agreement activities towards achieving expected results and targets related to agreement objectives and accountability. Measuring specific outputs, outcomes and impacts will facilitate better understanding of which approaches are working under which conditions, and which activities need to be refined or strengthened within each of the respective components of the agreement. The PMP, as an effort toward quality assurance, will also allow USAID to gage the agreement's performance and understand any unforeseen changes in strategy to achieve intended results. In developing the PMP, the recipient will draw from, but will not be limited to, USAID's list of indicators. For each indicator proposed in the PMP, a brief narrative will include the following: - Data collection methodology - Data reliability and timeliness (i.e., intrinsic data quality) - Indicator validity (i.e., the relationship between the indicator and the desired output or result) Wherever possible and appropriate, the PMP will be presented in tabular and/or graphical forms that portray progress over time, affording an executive audience an immediate sense of progress or the lack thereof. - A baseline shall be completed by the Recipient at the beginning of the project.	120 calendar days after agreement award.	
(3) Annual Work Plan The recipient shall submit annual work plans both individually and with the selected REGIS-AG contractor, as follows: <i>Annual:</i> The Annual Work Plan will form the basis for activities to be initiated in each year of the agreement. For the purpose of the Annual Work Plan, "Annual" is defined according to the U.S. Government fiscal year: i.e. October 1st to September 30th. The recipient for REGIS-ER and the contractor for REGIS-AG shall each submit an individual Work Plan. Given the interwoven nature of the two projects, the two partners, REGIS-ER and REGIS-AG, will also develop a consolidated Work Plan that demonstrates synergies and joint planning amongst the two partners each year. The AOR for REGIS-ER and the COR for REGIS-AG will collaborate with the recipient in determining	The draft individual Annual Work Plan for year one will be submitted within 45 calendar days after the agreement start date. Annual Work Plans for subsequent years shall be submitted no later than September 1st of each year. Within 30 calendar	USAID shall review the draft individual annual work plan and provide comments within 15 calendar days after receipt. The recipient shall submit a final Annual Work Plan no later than 15

appropriate activities for each year, which will be jointly planned. The AOR will review and approve the consolidated Annual Work Plans. Modifications that respond to changed conditions may be made; however, major modifications to each Annual Work Plan such as items affecting the price, main timeline, or scope, are subject to the approval of the AOR and AO. The Annual Work Plans will provide a detailed description, schedule, and expected results for activities in support of each component under the program description. Following review and comment by USAID, the recipient shall prepare a Final Work Plan for each year.	days of individual work plan approval the recipient will work with REGIS-AG to establish a collaborative work plan showing the linkages between the two projects work plans. If the REGIS-AG award has not yet been made, then within 30 calendar days of the approval of the REGIS-AG project work plan, the recipient and REGIS-AG will put together a collaborative work plan.	calendar days after receipt of comments from USAID.
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B. Environmental Mitigation and Monitoring Plan (EMMP)

Completed EMMP should be submitted to the Mission Environmental Officer (MEO) (*specified in the award*) and the format shown below is recommended and might be adapted, as necessary.

The reporting on implementation of the EMMP should be included in the quarterly reporting on the program/project implementation

Environmental Mitigation and Monitoring Plan (EMMP)	
Program/Project/Activity Title:	
Implementing Partner:	
MEO:	Live Of Project:

Activity	Adverse impact(s) to me mitigated	Mitigation measure(s)	Monitoring indicator(s)	Benchmarks / Deadlines	Monitoring and Reporting Frequency	Party (ies) responsible.
List all activities in IEE that received a “negative determination with conditions.” <i>Do not list any other activities.</i>	Briefly indicate the nature of impacts to be mitigated and the environmental factor affected.	If mitigation measures are well-specified in the IEE, quote directly from IEE If they are not well-specified in the IEE, define more specifically here.	Specify indicators to (1) determine if mitigation is in place and (2) successful. For example, visual inspections for seepage around pit latrine; sedimentation at stream crossings, etc.)	Indicate for each measure/ condition implementation due dates.	For example: “Monitor weekly, and report in quarterly reports. If XXX occurs, immediately inform USAID activity manager.”	If appropriate, separately specify the parties responsible for mitigation, for monitoring and for reporting.

C. Inventory

Comprehensive property inventory lists are required to be submitted to USAID annually and at award completion. Such inventory will include:

- (1) The name, part number and description, manufacturer, model number, and National Stock Number (if needed for additional item identification tracking and/or disposition);
- (2) Quantity received (or fabricated), issued, and balance-on-hand;
- (3) Unit acquisition costs;
- (4) Unique-item identifier or equivalent (if available and necessary for individual item tracking);
- (5) Unit of measure;
- (6) Accountable contract number or equivalent code designation;
- (7) Location;
- (8) Disposition;
- (9) Posting reference and date of transaction;
- (10) Date placed in service.

At award completion, USAID will provide disposition instructions to the Recipient.

D. Close-Out Plan

Six months prior to the completion date of the agreement, the Recipient shall submit a close-out plan to the AO and AOR. The close-out plan shall include, at a minimum, an illustrative property disposition plan; a plan for phase out of operations; a delivery schedule for all reports or other deliverables required under the agreement; and a time line for completing all required actions, including the submission date of the final property disposition to the AOR. The close-out plan shall also include a financial report which reflects expenditures to date by program element and projected funds to be de-obligated. The close-out plan shall be approved in writing by the AOR.

E. Reporting of Foreign Taxes (JULY 2007)

(a) The recipient must annually submit a report by April 16 of the next year.

(b) Contents of Report. The report must contain:

- (1) Recipient name;
- (2) Recipient name with phone, fax and email;
- (3) Agreement number(s);
- (4) Amount of foreign taxes assessed by a foreign government [each foreign government must be listed separately] on commodity purchase transactions valued at \$500 or more financed with U.S. foreign assistance funds under this award during the prior U.S. fiscal year;
- (5) Only foreign taxes assessed by the foreign government in the country receiving U.S. assistance is to be reported. Foreign taxes by a third party foreign government are not to be reported. For example, if a recipient performing in Burkina Faso and Niger using foreign assistance funds should purchase commodities in Burkina Faso and Niger, any taxes imposed by Burkina Faso would not be reported in the report for Burkina Faso and Niger;
- (6) Any reimbursements received by the Recipient during the period in (4) regardless of when the foreign tax was assessed and any reimbursements on the taxes reported in (4) received through March 31.
- (7) Report is required even if the c Recipient did not pay any taxes during the report period.
- (8) Cumulative reports may be provided if the Recipient is implementing more than one program in a foreign country.

(c) Definitions. For purposes of this clause:

- (1) "Agreement" includes USAID direct and country contracts, grants, cooperative agreements and interagency agreements;
- (2) "Commodity" means any material, article, supply, goods, or equipment;
- (3) "Foreign government" includes any foreign governmental entity;
- (4) "Foreign taxes" means value-added taxes and custom duties assessed by a foreign government on a commodity. It does not include foreign sales taxes.

(d) Where. Submit the reports to: ***[Insert at time of award]***.

(e) Sub-agreements. The Recipient must include this reporting requirement in all applicable subcontracts and other sub-agreements.

(f) For further information see <http://www.state.gov/m/rm/c10443.htm>.

F. Branding Strategy and Marking PlanBranding Strategy

Within forty-five (45) days after the effective date of this award, the Recipient will submit to the Agreement Officer, through the AOR, its Branding Strategy for final approval. The Branding Strategy shall describe how the project is to be named and positioned, how it will be promoted and communicated to beneficiaries and cooperating country citizens, and shall identify all donors, if any, and how they will be acknowledged. (See <http://www.usaid.gov/policy/ads/300/320.pdf>)

Marking Plan

Within forty-five (45) days after the effective date of this award, the Recipient will submit to the Agreement Officer, through the AOR, its Marking Plan for final approval. The plan will describe how the USAID Identity will be used in the project. Failure to submit or negotiate a Marking Plan within the time specified by the Agreement Officer is sufficient reason to terminate the award.

[END OF SECTION VI]

SECTION VII - AGENCY CONTACTS

All questions and comments regarding this RFA must be submitted in writing to the following email address: rfajpcregiser@usaid.gov

AGREEMENT OFFICER'S REPRESENTATIVE (AOR)

The Agreement Officer's Representative (AOR) will be appointed by the Agreement Officer through a separate AOR designation letter, a copy of which will be provided to the Recipient. The AOR will be located in the USAID Senegal Regional Mission.

However, **the Activity Managers** will be located in Niger and Burkina Faso at the following addresses:

NIGER

American Embassy in Niger
Rue des Ambassades
BP 11201
Niamey, Niger

BURKINA FASO

American Embassy in Burkina Faso
Ouagadougou, Burkina Faso
Rue 15.873
Avenue Sembène Ousmane

[END OF SECTION VII]

SECTION VIII – OTHER INFORMATION

1. USAID Rights and Funding

USAID/Senegal Regional Mission may: (a) reject any or all applications, (b) accept other than the lowest cost application, and (c) waive informalities and minor irregularities in the application(s) received.

2. Title to Property

Title to property financed by USAID/Senegal Regional Mission under this award will vest in the Recipient, and will be subject to the requirements of 22 CFR 226.30 through 37.

3. MARKS CLAUSE

(a) Definitions. As used in this subpart--

(1) "Mark" includes, but is not limited to trademarks, service marks, logos, trade names, and trade dress (all of the foregoing, whether registered or arising under federal, state, statutory, or common law of the applicable jurisdiction), and all registrations and applications therefore, and all rights derived therefrom, used, developed, registered, marketed, or manufactured in the course of or in connection with the performance of this contract or any other Government acquisition or assistance instrument applicable to the Recipient. Mark means any sign that identifies and distinguishes Products first developed in the course of or in connection with the performance of an acquisition or assistance instrument or that identifies and distinguishes Services first rendered in performance of an acquisition or assistance instrument.

(2) "Recipient" includes, but is not limited to, contractors, implementing parties under a USAID grant or cooperative agreement, and any other persons or entities receiving assistance under a Government acquisition or assistance instrument, as well as their assignees, licensees, sub-awardees, and successors.

(3) "Product" refers to *[insert generic description of product]* and any other goods, products and materials that are part of or used in connection with USAID's programs.

(4) "Territory" refers to the country or countries that are the subject of [a][this] USAID activity. For this particular Contract, Territory refers to *[insert country or countries]*.

(5) "Contract" refers to an instrument with which USAID is a party and finances the activity entirely under that instrument.

(6) "Services" refers to *[insert generic description of services]* and any other associated activities affiliated with the Services provided.

(b) Except as expressly provided herein, *[Name of Recipient]* may assert title to the Mark, in and throughout the Territory, provided, however, that the Government shall have a worldwide, royalty-free, non-exclusive, irrevocable, fully paid-up license and right to practice and use such Mark or have the Mark practiced or used by others on behalf of the Government. The Government makes no representations or warranties as to title, right of use or license, or any other legal rights or obligations relating to the Mark. If the Recipients asserts title to and ownership of the Mark, the Recipient acknowledges and agrees that it is solely responsible for the use or

license of the Mark by it and other persons, including without limitation, other USAID contractors.

(c) Without the express written consent of USAID, the recipient may not seek any rights to, protection for or otherwise acquire the Mark arising from or related to this contract outside the Territory. Any failure by the recipient to comply with this clause shall be deemed a material breach of this award. In the event of such a material breach, the contractor agrees that, upon request by USAID, it must promptly assign all Marks acquired in violation of this clause to the Government or its designated assignee.

(d) In the event the recipient encumbers the Mark or no longer uses the Mark for the originally authorized purpose under this contract, disposition of title to the Mark shall occur in accordance with instructions from the Agreement Officer and as consistent with applicable laws and regulations.

3. Activity Evaluation

The agreement will be externally evaluated twice during the period of the award. Under a separate mechanism, USAID/Senegal Regional Mission expects to conduct an external mid-term and final evaluation scheduled near the end of the third and fifth years of the agreement. The focus of the evaluation will be to assess the achievements of the program versus the stated objectives and goals, to identify which elements of the program had the most significant impact and which did not, and which aspects of program design need to be considered for continuation under future possible programs. The recipient may be requested to provide input into the evaluation and must be prepared to collaborate in the implementation of the evaluation.

4. Non-Federal Audits

In accordance with 22 C.F.R. Part 226.26 Recipients and sub-recipients are subject to the audit requirements contained in the Single Audit Act Amendments of 1996 (31 U.S.C. 7501–7507) and revised OMB Circular A–133, “Audits of States, Local Governments, and Non-Profit Organizations.” Recipients and sub-recipients must use an independent, non-Federal auditor or audit organization which meets the general standards specified in generally accepted government auditing standards (GAGAS) to fulfill these requirements.

5. Foreign Government Delegations to International Conferences (June 2012)

(a) U.S. Government funds under this award must not be used to finance the travel, per diem, hotel expenses, meals, conference fees or other conference costs for any member of a foreign government’s delegation to an international conference sponsored by a multilateral organization, as defined below, unless approved by the Agreement Officer in writing.

(b) Definitions:

1. A foreign government delegation is appointed by the national government (including ministries and agencies but excluding local, state and provincial entities) to act on behalf of the appointing authority at the international conference. A conference participant is a delegate for the purposes of this provision, only when there is an appointment or designation that the individual is authorized to officially represent the government or agency. A delegate may be a private citizen.

2. An international conference is a meeting where there is an agenda, an organizational structure, and delegations from countries other than the conference location, in which country delegations participate through discussion, votes, etc.
3. A multilateral organization is an organization established by international agreement and whose governing body is composed principally of foreign governments or other multilateral organizations.

6. Pre-Award Certifications, Assurances, and Other Statements of the Recipient and Solicitation Standard Provisions (June 2012)

Together with their application, all applicants are required to submit the following:

- a. A signed copy of Certifications and Assurances, which includes:
 1. Assurance of Compliance with Laws and Regulations Governing Nondiscrimination in Federally Assisted Programs (This assurance applies to Non-U.S. organizations, if any part of the program will be undertaken in the U.S.);
 2. Certification on Lobbying ([22 CFR 227](#));
 3. Prohibition on Assistance to Drug Traffickers for Covered Countries and Individuals ([ADS 206](#));
 4. Certification Regarding Terrorist Financing; and
 5. Certification of Recipient
- b. Other certifications and statements found in Certifications, Assurances, and Other Statements of the Recipient and Solicitation Standard Provisions:
 1. A signed copy of Key Individual Certification Narcotics Offenses and Drug Trafficking, ([ADS 206.3.10](#)) when applicable;
 2. A signed copy of Participant Certification Narcotics Offenses and Drug Trafficking ([ADS 206.3.10](#)) when applicable;
 3. The Survey on Ensuring Equal Opportunity for Applicants;
 4. Other Statements of Recipients.

PART I - CERTIFICATIONS AND ASSURANCES

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

Note: This certification applies to Non-U.S. organizations if any part of the program will be undertaken in the United States.

- (a) The recipient hereby assures that no person in the United States will, on the bases set forth below, be excluded from participation in, be denied the benefits of, or be otherwise subjected to discrimination under, any program or activity receiving financial assistance from USAID, and that with respect to the Cooperative Agreement for which application is being made, it will comply with the requirements of:
 - (1) Title VI of the Civil Rights Act of 1964 (Pub. L. 88-352, 42 U.S.C. 2000-d), which prohibits discrimination on the basis of race, color or national origin, in programs and activities receiving Federal financial assistance;
 - (2) Section 504 of the Rehabilitation Act of 1973 (29 U.S.C. 794), which prohibits discrimination on the basis of handicap in programs and activities receiving Federal financial assistance;
 - (3) The Age Discrimination Act of 1975, as amended (Pub. L. 95-478), which prohibits discrimination based on age in the delivery of services and benefits supported with Federal funds;
 - (4) Title IX of the Education Amendments of 1972 (20 U.S.C. 1681, et seq.), which prohibits discrimination on the basis of sex in education programs and activities receiving Federal financial assistance (whether or not the programs or activities are offered or sponsored by an educational institution); and
 - (5) USAID regulations implementing the above nondiscrimination laws, set forth in Chapter II of Title 22 of the Code of Federal Regulations.
- (b) If the recipient is an institution of higher education, the Assurances given herein extend to admission practices and to all other practices relating to the treatment of students or clients of the institution, or relating to the opportunity to participate in the provision of services or other benefits to such individuals, and must be applicable to the entire institution unless the recipient establishes to the satisfaction of the USAID Administrator that the institution's practices in designated parts or programs of the institution will in no way affect its practices in the program of the institution for which financial assistance is sought, or the beneficiaries of, or participants in, such programs.

2. CERTIFICATION REGARDING LOBBYING

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

- (1) No Federal appropriated funds have been paid or will be paid, by or on behalf of the undersigned, to any person for influencing or attempting to influence an officer or employee of any agency, a

Member of Congress, an officer or employee of Congress, or an employee of a Member of Congress in connection with the awarding of any Federal contract, the making of any Federal Cooperative Agreement, the making of any Federal loan, the entering into of any cooperative agreement, and the extension, continuation, renewal, amendment or modification of any Federal contract, grant, loan, or cooperative agreement.

- (2) If any funds other than Federal appropriated funds have been paid or will be paid to any person for influencing or attempting to influence an officer or employee of any agency, a Member of Congress, an officer or employee of Congress, or an employee of a Member of Congress in connection with this Federal contract, grant, loan, or cooperative agreement, the undersigned must complete and submit Standard Form-LLL, "Disclosure of Lobbying Activities," in accordance with its instructions.
- (3) The undersigned must require that the language of this certification be included in the award documents for all sub-awards at all tiers (including subcontracts, sub-grants, and contracts under grants, loans, and cooperative agreements) and that all sub-recipients must certify and disclose accordingly.

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

Statement for Loan Guarantees and Loan Insurance

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

3. PROHIBITION ON ASSISTANCE TO DRUG TRAFFICKERS FOR COVERED COUNTRIES AND INDIVIDUALS (ADS 206)

USAID reserves the right to terminate this Agreement, to demand a refund or take other appropriate measures if the Grantee is found to have been convicted of a narcotics offense or to have been engaged in drug trafficking as defined in 22 CFR Part 140. The undersigned must review USAID ADS 206 to determine if any certifications are required for Key Individuals or Covered Participants.

If there are COVERED PARTICIPANTS: USAID reserves the right to terminate assistance to or take other appropriate measures with respect to, any participant approved by USAID who is found to have been convicted of a narcotics offense or to have been engaged in drug trafficking as defined in 22 CFR Part 140.

4. CERTIFICATION REGARDING TERRORIST FINANCING IMPLEMENTING EXECUTIVE ORDER 13224

By signing and submitting this application, the prospective recipient provides the certification set out below:

1. The Recipient, to the best of its current knowledge, did not provide, within the previous ten years, and will take all reasonable steps to ensure that it does not and will not knowingly provide, material support or resources to any individual or entity that commits, attempts to commit, advocates, facilitates, or participates in terrorist acts, or has committed, attempted to commit, facilitated, or participated in terrorist acts, as that term is defined in paragraph 3.

2. The following steps may enable the Recipient to comply with its obligations under paragraph 1:

- (a) Before providing any material support or resources to an individual or entity, the Recipient will verify that the individual or entity does not (i) appear on the master list of [Specially Designated Nationals and Blocked Persons](#), which is maintained by the U.S. Treasury's Office of Foreign Assets Control (OFAC), or (ii) is not included in any supplementary information concerning prohibited individuals or entities that may be provided by USAID to the Recipient;
- (b) Before providing any material support or resources to an individual or entity, the Recipient also will verify that the individual or entity has not been designated by the United Nations Security (UNSC) sanctions committee established under UNSC Resolution 1267 (1999) (the "1267 Committee") [individuals and entities linked to the Taliban, Osama bin Laden, or the Al-Qaida Organization]. To determine whether there has been a published designation of an individual or entity by the 1267 Committee, the Recipient should refer to the consolidated list available online at the Committee's Web site: <http://www.un.org/Docs/sc/committees/1267/1267ListEng.htm>.
- (c) Before providing any material support or resources to an individual or entity, the Recipient will consider all information about that individual or entity of which it is aware and all public information that is reasonably available to it or of which it should be aware.
- (d) The Recipient also will implement reasonable monitoring and oversight procedures to safeguard against assistance being diverted to support terrorist activity.

3. For purposes of this Certification -

a. "Material support and resources" means currency or monetary instruments or financial securities, financial services, lodging, training, expert advice or assistance, safehouses, false documentation or identification, communications equipment, facilities, weapons, lethal substances, explosives, personnel, transportation, and other physical assets, except medicine or religious materials."

b. "Terrorist act" means -

- (i) an act prohibited pursuant to one of the 12 United Nations Conventions and Protocols related to terrorism (see UN terrorism conventions Internet site: <http://untreaty.un.org/English/Terrorism.asp>); or

- (ii) an act of premeditated, politically motivated violence perpetrated against noncombatant targets by subnational groups or clandestine agents; or
 - (iii) any other act intended to cause death or serious bodily injury to a civilian, or to any other person not taking an active part in hostilities in a situation of armed conflict, when the purpose of such act, by its nature or context, is to intimidate a population, or to compel a government or an international organization to do or to abstain from doing any act.
- c. “Entity” means a partnership, association, corporation, or other organization, group or subgroup.
- d. References in this Certification to the provision of material support and resources must not be deemed to include the furnishing of USAID funds or USAID-financed commodities to the ultimate beneficiaries of USAID assistance, such as recipients of food, medical care, micro-enterprise loans, shelter, etc., unless the Recipient has reason to believe that one or more of these beneficiaries commits, attempts to commit, advocates, facilitates, or participates in terrorist acts, or has committed, attempted to commit, facilitated or participated in terrorist acts.
- e. The Recipient’s obligations under paragraph 1 are not applicable to the procurement of goods and/or services by the Recipient that are acquired in the ordinary course of business through contract or purchase, e.g., utilities, rents, office supplies, gasoline, etc., unless the Recipient has reason to believe that a vendor or supplier of such goods and services commits, attempts to commit, advocates, facilitates, or participates in terrorist acts, or has committed, attempted to commit, facilitated or participated in terrorist acts.

This Certification is an express term and condition of any agreement issued as a result of this application, and any violation of it will be grounds for unilateral termination of the agreement by USAID prior to the end of its term.

5. CERTIFICATION OF RECIPIENT

By signing below the recipient provides certifications and assurances for (1) the Assurance of Compliance with Laws and Regulations Governing Non-Discrimination in Federally Assisted Programs, (2) the Certification Regarding Lobbying, (3) the Prohibition on Assistance to Drug Traffickers for Covered Countries and Individuals (ADS 206) and (4) the Certification Regarding Terrorist Financing Implementing Executive Order 13224 above.

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

RFA No.	_____
Application No.	_____
Date of Application	_____
Name of Recipient	_____
Typed Name and Title	_____
Signature	_____
Date	_____

**PART II - KEY INDIVIDUAL CERTIFICATION NARCOTICS OFFENSES
AND DRUG TRAFFICKING**

I hereby certify that within the last ten years:

1. I have not been convicted of a violation of, or a conspiracy to violate, any law or regulation of the United States or any other country concerning narcotic or psychotropic drugs or other controlled substances.
2. I am not and have not been an illicit trafficker in any such drug or controlled substance.
3. I am not and have not been a knowing assistor, abettor, conspirator, or colluder with others in the illicit trafficking in any such drug or substance.

Signature: _____

Date: _____

Name: _____

Title/Position: _____

Organization: _____

Address: _____

Date of Birth: _____

NOTICE:

1. You are required to sign this Certification under the provisions of 22 CFR Part 140, Prohibition on Assistance to Drug Traffickers. These regulations were issued by the Department of State and require that certain key individuals of organizations must sign this Certification.
2. If you make a false Certification you are subject to U.S. criminal prosecution under 18 U.S.C. 1001.

**PART III - PARTICIPANT CERTIFICATION NARCOTICS OFFENSES
AND DRUG TRAFFICKING**

1. I hereby certify that within the last ten years:

- a. I have not been convicted of a violation of, or a conspiracy to violate, any law or regulation of the United States or any other country concerning narcotic or psychotropic drugs or other controlled substances.
- b. I am not and have not been an illicit trafficker in any such drug or controlled substance.
- c. I am not or have not been a knowing assister, abettor, conspirator, or colluder with others in the illicit trafficking in any such drug or substance.

2. I understand that USAID may terminate my training if it is determined that I engaged in the above conduct during the last ten years or during my USAID training.

Signature: _____

Name: _____

Date: _____

Address: _____

Date of Birth: _____

NOTICE:

1. You are required to sign this Certification under the provisions of 22 CFR Part 140, Prohibition on Assistance to Drug Traffickers. These regulations were issued by the Department of State and require that certain participants must sign this Certification.
2. If you make a false Certification you are subject to U.S. criminal prosecution under 18 U.S.C. 1001.

PART IV – SURVEY ON ENSURING EQUAL OPPORTUNITY FOR APPLICANTS

This is a voluntary survey and is not a requirement of the RFA. The absence of a completed survey in an application may not be a basis upon which the application is determined incomplete or non-responsive. Applicants who volunteer to complete and submit the survey under a competitive or non-competitive action are instructed within the text of the survey to submit it as part of the application process.)

[Survey on Ensuring Equal Opportunity for Applicants](#)

PART V - OTHER STATEMENTS OF RECIPIENT

1. AUTHORIZED INDIVIDUALS

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

Name	Title	Telephone No.	Email
_____	_____	_____	_____
_____	_____	_____	_____
_____	_____	_____	_____

2. TAXPAYER IDENTIFICATION NUMBER (TIN)

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

TIN: _____

3. DATA UNIVERSAL NUMBERING SYSTEM (DUNS) NUMBER

- (a) Unless otherwise specified in the solicitation using an applicable exemption, in the space provided at the end of this provision, the recipient should supply the Data Universal Numbering System (DUNS) number applicable to that name and address. Recipients should take care to report the number that identifies the recipient's name and address exactly as stated in the application.
- (b) The DUNS is a 9-digit number assigned by Dun and Bradstreet Information Services. If the recipient does not have a DUNS number, the recipient should call Dun and Bradstreet directly at 1-800-333-0505. A DUNS number will be provided immediately by telephone at no charge to the recipient. The recipient should be prepared to provide the following information:
 - (1) Recipient's name.
 - (2) Recipient's address.
 - (3) Recipient's telephone number.
 - (4) Line of business.

- (5) Chief executive officer/key manager.
- (6) Date the organization was started.
- (7) Number of people employed by the recipient.
- (8) Company affiliation.

- (c) Recipients located outside the United States may e-mail Dun and Bradstreet at globalinfo@dbisma.com to obtain the location and phone number of the local Dun and Bradstreet Information Services office.

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

DUNS: _____

4. LETTER OF CREDIT (LOC) NUMBER

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

LOC: _____

5. PROCUREMENT INFORMATION

- (a) **Applicability.** This applies to the procurement of goods and services planned by the recipient (i.e., contracts, purchase orders, etc.) from a supplier of goods or services for the direct use or benefit of the recipient in conducting the program supported by the grant, and not to assistance provided by the recipient (i.e., a sub-grant or subagreement) to a sub-grantee or subrecipient in support of the sub-grantee's or subrecipient's program. Provision by the recipient of the requested information does not, in and of itself, constitute USAID approval.
- (b) **Amount of Procurement.** Please indicate the total estimated dollar amount of goods and services which the recipient plans to purchase under the grant:
- \$ _____
- (c) **Nonexpendable Property.** If the recipient plans to purchase nonexpendable equipment which would require the approval of the Agreement Officer, please indicate below (using a continuation page, as necessary) the types, quantities of each, and estimated unit costs. Nonexpendable equipment for which the Agreement Officer's approval to purchase is required is any article of nonexpendable tangible personal property charged directly to the grant, having a useful life of more than one year and an acquisition cost of \$5,000 or more per unit.

TYPE/ DESCRIPTION (Generic)	_____
QUANTITY	_____
ESTIMATED UNIT COST	_____

- (d) **Source** If the recipient plans to purchase any goods/commodities which are not in accordance with the Standard Provision "USAID Eligibility Rules for Procurement of Commodities and Services," indicate below (using a continuation page, as necessary) the types and quantities of each, estimated unit costs of each, and probable source. "Source" means the country from which a commodity is shipped to the cooperating country or the cooperating country itself if the

commodity is located in the cooperating country at the time of purchase. However, where a commodity is shipped from a free port or bonded warehouse in the form in which received, “source” means the country from which the commodity was shipped to the free port or bonded warehouse. Additionally, “available for purchase” includes “offered for sale at the time of purchase” if the commodity is listed in a vendor’s catalog or other statement of inventory, kept as part of the vendor’s customary business practices and regularly offered for sale, even if the commodities are not physically on the vendors’ shelves or even in the source country at the time of the order. In such cases, the recipient must document that the commodity was listed in the vendor’s catalog or other statement of inventory; that the vendor has a regular and customary business practice of selling the commodity through “just in time” or other similar inventory practices; and the recipient did not engage the vendor to list the commodity in its catalog or other statement of inventory just to fulfill the recipient’s request for the commodity.

TYPE/DESCRIPTION	_____
QUANTITY	_____
ESTIMATED GOODS	_____
PROBABLE GOODS	_____
PROBABLE (Generic)	_____
UNIT COST	_____
SOURCE	_____

- (e) Restricted Goods. If the recipient plans to purchase any restricted goods, indicate below (using a continuation page, as necessary) the types and quantities of each, estimated unit costs of each, intended use, and probable source. Restricted goods are Agricultural Commodities, Motor Vehicles, Pharmaceuticals, Pesticides, Used Equipment, U.S. Government-Owned Excess Property, and Fertilizer.

TYPE/DESCRIPTION	_____
QUANTITY	_____
ESTIMATED	_____
PROBABLE	_____
INTENDED USE (Generic)	_____
UNIT COST	_____
SOURCE	_____

- (f) Supplier Nationality. If the recipient plans to purchase any goods or services from suppliers of goods and services whose nationality is not in accordance with the Standard Provision “USAID Eligibility Rules for Procurement of Commodities and Services,” indicate below (using a continuation page, as necessary) the types and quantities of each good or service, estimated costs of each, probable nationality of each non-U.S. supplier of each good or service, and the rationale for purchasing from a non-U.S. supplier.

TYPE/DESCRIPTION	_____
QUANTITY	_____
ESTIMATED	_____
PROBABLE SUPPLIER	_____
NATIONALITY	_____
RATIONALE (Generic)	_____
UNIT COST (Non-US Only)	_____
FOR NON-US	_____

6. PAST PERFORMANCE REFERENCES

Please provide past performance information per instructions in Section IV – Application and Submission Information of the RFA.

7. TYPE OF ORGANIZATION

The recipient, by checking the applicable box, represents that -

(a) If the recipient is a U.S. entity, it operates as ☐ a corporation incorporated under the laws of the State of, ☐ an individual, ☐ a partnership, ☐ a nongovernmental nonprofit organization, ☐ a state or local governmental organization, ☐ a private college or university, ☐ a public college or university, ☐ an international organization, or ☐ a joint venture; or

(b) If the recipient is a non-U.S. entity, it operates as ☐ a corporation organized under the laws of _____ (country), ☐ an individual, ☐ a partnership, ☐ a nongovernmental nonprofit organization, ☐ a nongovernmental educational institution, ☐ a governmental organization, ☐ an international organization, or ☐ a joint venture.

8. ESTIMATED COSTS OF COMMUNICATIONS PRODUCTS

The following are the estimate(s) of the cost of each separate communications product (i.e., any printed material [other than non-color photocopy material], photographic services, or video production services) which is anticipated under the grant. Each estimate must include all the costs associated with preparation and execution of the product. Use a continuation page as necessary.

PART VI – STANDARD PROVISIONS FOR SOLICITATIONS

1. Branding Strategy - Assistance (June 2012)

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

direct beneficiaries and any special target segments.

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

2. Marking Plan – Assistance (June 2012)

- a. Applicants recommended for an assistance award must submit and negotiate a "Marking Plan," detailing the public communications, commodities, and program materials, and other items that will visibly bear the "USAID Identity," which comprises of the USAID logo and brandmark, with the tagline "from the American people." The USAID Identity is the official marking for the Agency, and is found on the USAID Web site at <http://transition.usaid.gov/branding>.
- b. The request for a Marking Plan, by the Agreement Officer from the applicant, confers no rights to the applicant and constitutes no USAID commitment to an award.
- c. Failure to submit and negotiate a Marking Plan within the time frame specified by the Agreement Officer will make the applicant ineligible for an award.
- d. The applicant must include all estimated costs associated with branding and marking USAID programs, such as plaques, stickers, banners, press events, materials, and so forth, in the budget portion of the application. These costs are subject to the revision and negotiation with the Agreement Officer and will be incorporated into the Total Estimated Amount of the grant,

cooperative agreement or other assistance instrument.

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

- (1) A description of the public communications, commodities, and program materials that the applicant plans to produce and which will bear the USAID Identity as part of the award, including:
 - (i) Program, project, or activity sites funded by USAID, including visible infrastructure projects or other sites physical in nature;
 - (ii) Technical assistance, studies, reports, papers, publications, audio-visual productions, public service announcements, Web sites/Internet activities, promotional, informational, media, or communications products funded by USAID;
 - (iii) Commodities, equipment, supplies, and other materials funded by USAID, including commodities or equipment provided under humanitarian assistance or disaster relief programs; and
 - (iv) It is acceptable to cobrand the title with the USAID Identity and the applicant's identity.
 - (v) Events financed by USAID, such as training courses, conferences, seminars, exhibitions, fairs, workshops, press conferences and other public activities. If the USAID Identity cannot be displayed, the recipient is encouraged to otherwise acknowledge USAID and the support of the American people.
- (2) A table on the program deliverables with the following details:
 - (i) The program deliverables that the applicant plans to mark with the USAID Identity;
 - (ii) The type of marking and what materials the applicant will use to mark the program deliverables;
 - (iii) When in the performance period the applicant will mark the program deliverables, and where the applicant will place the marking;
 - (iv) What program deliverables the applicant does not plan to mark with the USAID Identity , and
 - (v) The rationale for not marking program deliverables.
- (3) Any requests for an exemption from USAID marking requirements, and an explanation of why the exemption would apply. The applicant may request an exemption if USAID marking requirements would:
 - (i) Compromise the intrinsic independence or neutrality of a program or materials where independence or neutrality is an inherent aspect of the program and materials. The applicant must identify the USAID Strategic Objective, Interim

Result, or program goal furthered by an appearance of neutrality, or state why an aspect of the award is presumptively neutral. Identify by category or deliverable item, examples of material for which an exemption is sought.

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

[END OF SECTION VIII]

ANNEXES

Annex 1	Illustrative Indicators by Components and Sub-Components
Annex 2	Sahel JPC Strategy Results Frameworks
Annex 3	Useful hyperlinks
Annex 4	Past Performance Information

ANNEX 1 – ILLUSTRATIVE INDICATORS BY COMPONENT AND SUB-COMPONENT

NOTE: BOLDDED indicators are required. Indicators involving individual beneficiaries *must* be disaggregated by sex.

1. Increased and Sustainable Economic Well-Being

- Number of jobs attributed to program implementation
- Percent change in agriculture sector GDP
- Prevalence of Poverty
- Women's Empowerment in Agriculture Index (WEAI)
- Per capita income (as proxied by expenditures or assets) of U.S. Government (USG) assisted beneficiaries – disaggregated by source (intensification/diversification categories)
- Depth of poverty (difference between mean income and poverty line)
- Prevalence of households with moderate to severe hunger (HHS)
- Asset ownership (count and/or value) disaggregated by productive/non-productive
- Self-assessed coping/adaptive capacity (indicator to be developed)

1.1 Diversified (Off-farm) Economic Opportunities

- Increase in income from off-farm economic opportunities
- Mean number of household income/livelihood sources

1.2 Intensified Production and Marketing

- Number of farmers and others who have adopted new technologies or management practices as a result of USG assistance
- Number of additional hectares under improved technologies or management practices as a result of USG assistance
- Number of individuals who have received USG-supported short-term agriculture sector productivity or food security training
- Number of food security private enterprises (for profit), producer organizations, water users associations, women's groups, trade and business associations, and community-based organizations (CBOs) receiving USG assistance
- Percentage change in value of intra-regional trade in targeted agricultural commodities
- Value of new private sector investment in the agricultural sector or food chain leveraged by program implementation
- Number of private enterprises (for profit), producer organizations, water users associations, women's groups, trade and business associations, and community-based organizations (CBOs) that applied new technologies or management practices as a result of USG assistance
- Number of firms (excluding farms) or Civil Society Organizations (CSOs) engaged in agricultural and food security-related manufacturing and services now operating more profitably (at or above cost) because of USG assistance
- Number of stakeholders with increased capacity to adapt to the impacts of climate variability and change as a result of USG assistance, disaggregated by number implementing risk-reducing practices/actions to improve resilience in climate change and number using climate information in their decision making

1.3 Improved Access to Financial Services

- Value of Agricultural and Rural Loans
- Percentage of households with access to formal or community-based financial services, disaggregated by type of service (credit, savings, insurance)

2. Strengthened Governance and Institutions

- Number of community/system level Natural Resource, Conflict and Disaster Risk Management Plans developed and implemented

2.1 Natural Resource Management

- Number of stakeholders with increased capacity to adapt to the impacts of climate variability and change as a result of USG assistance, disaggregated by number implementing risk-reducing practices/actions to improve resilience in climate change and number using climate information in their decision making
- Percent of households with secure (formalized) land tenure
- # of effective NRM organizations, compared to baseline
- Percent of households that perceive existing natural resource management mechanisms/institution as effective

2.2 Disaster Risk Management

- Number of stakeholders with increased capacity to adapt to the impacts of climate variability and change as a results of USG assistance, disaggregated by number implementing risk-reducing practices/actions to improve resilience in climate change and number using climate information in their decision making
- % of community attendees (by gender) at joint disaster planning meetings who are from the local communities
- % of communities/community members (by gender) self-reporting they were able to preserve assets or avoid danger due to EWS or disaster mitigation measures
- % of assisted communities with functioning early warning and response systems in place for all major hazards with appropriate outreach to communities

2.3 Strengthened Conflict Management

- # of disputes being brought to governing bodies for resolution above baseline
- # of disputes mediated to the satisfaction of all parties to the conflict
- Percent of households that perceive existing conflict management mechanisms/institution as effective

2.4 Strengthened National Government and Regional Capacity and Coordination

- Number of joint planning meetings held between local and sub-national units (i.e. Provinces, Districts)

3. Improved Health and Nutrition

- Global Acute Malnutrition rate - prevalence of wasted children under 5 years of age
- Prevalence of stunted children under 5 years of age
- Prevalence of wasted children under 5 years of age
- Prevalence of underweight women
- Percentage of children under 5 who had diarrhea in 2 weeks preceding the survey
- Exclusive Breastfeeding Rate
- Under-5 mortality rate
- Women's dietary diversity

3.1 Increased Access to Potable Water

- Percent of the population using an improved drinking water source

- Percent of households in target areas with soap and water at a hand-washing station commonly used by family members
- Percent of population in target areas practicing open defecation

3.2 Improved Health and Nutrition Practices

- Number of health facilities with established capacity to manage acute under-nutrition
- Number of people trained in child health and nutrition through USG-supported health programs
- Number of children under 5 reached by USG-supported nutrition programs
- Percent of children 6 to 23 months old that received a minimum acceptable diet
- Percent of households able to recall key BCC messages

4 Embedded Humanitarian Response: Crisis Modifiers

Specific crisis-modifier activities and the performance indicators associated with those activities cannot be known in advance and will be determined post-award with the successful applicant if and when crisis modifiers become necessary. Applicants are highly encouraged to consult the [USAID/OFDA Guidelines for Proposals](#) and USAID/Food for Peace guidance for USAID's humanitarian programming sectors and indicators.

ANNEX 2 – SAHEL JPC STRATEGY RESULTS FRAMEWORKS

Overarching Results Framework:

Legend: Depth of New Investment

Strong – Darkest shading
 Medium – Light shading
 None – No shading

Mapping for Niger



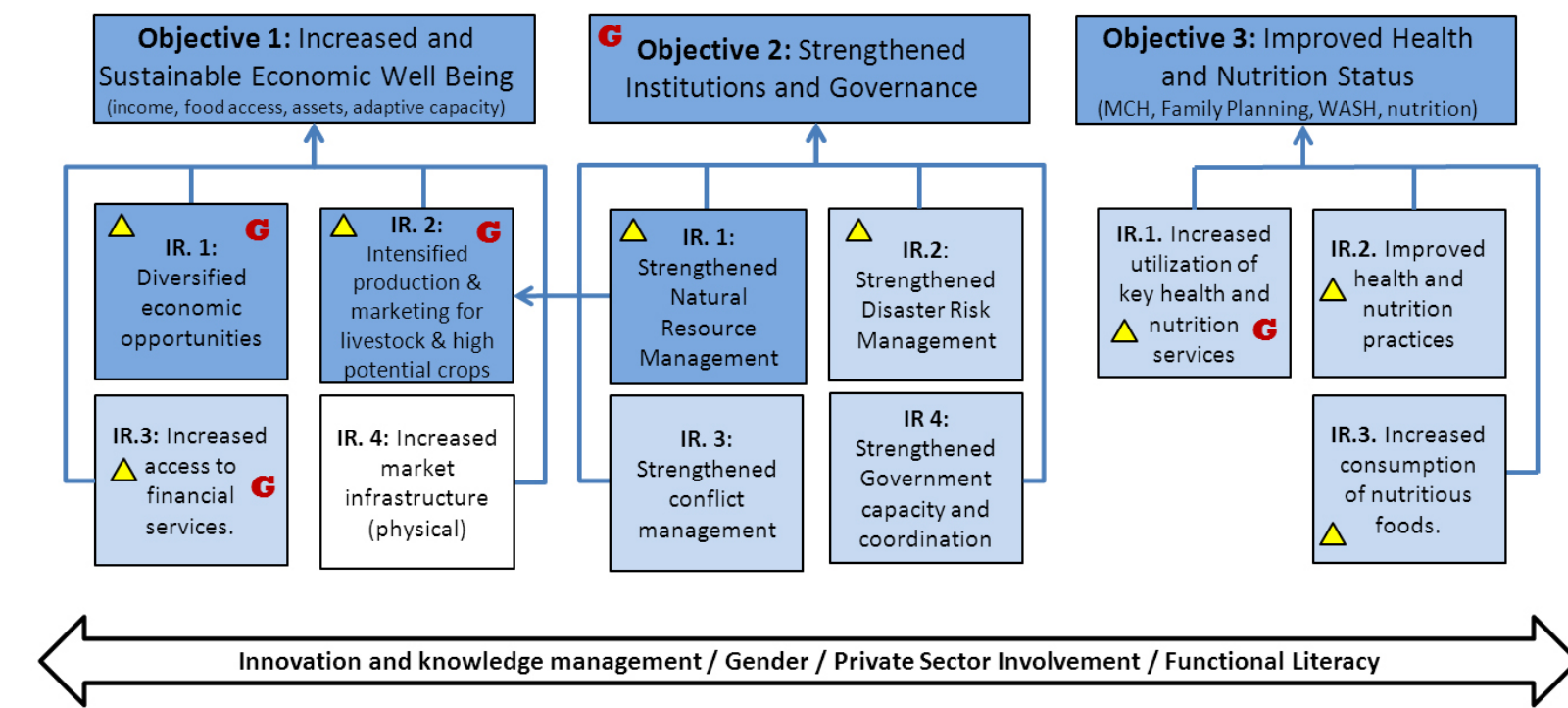
= Strong gender
dimension



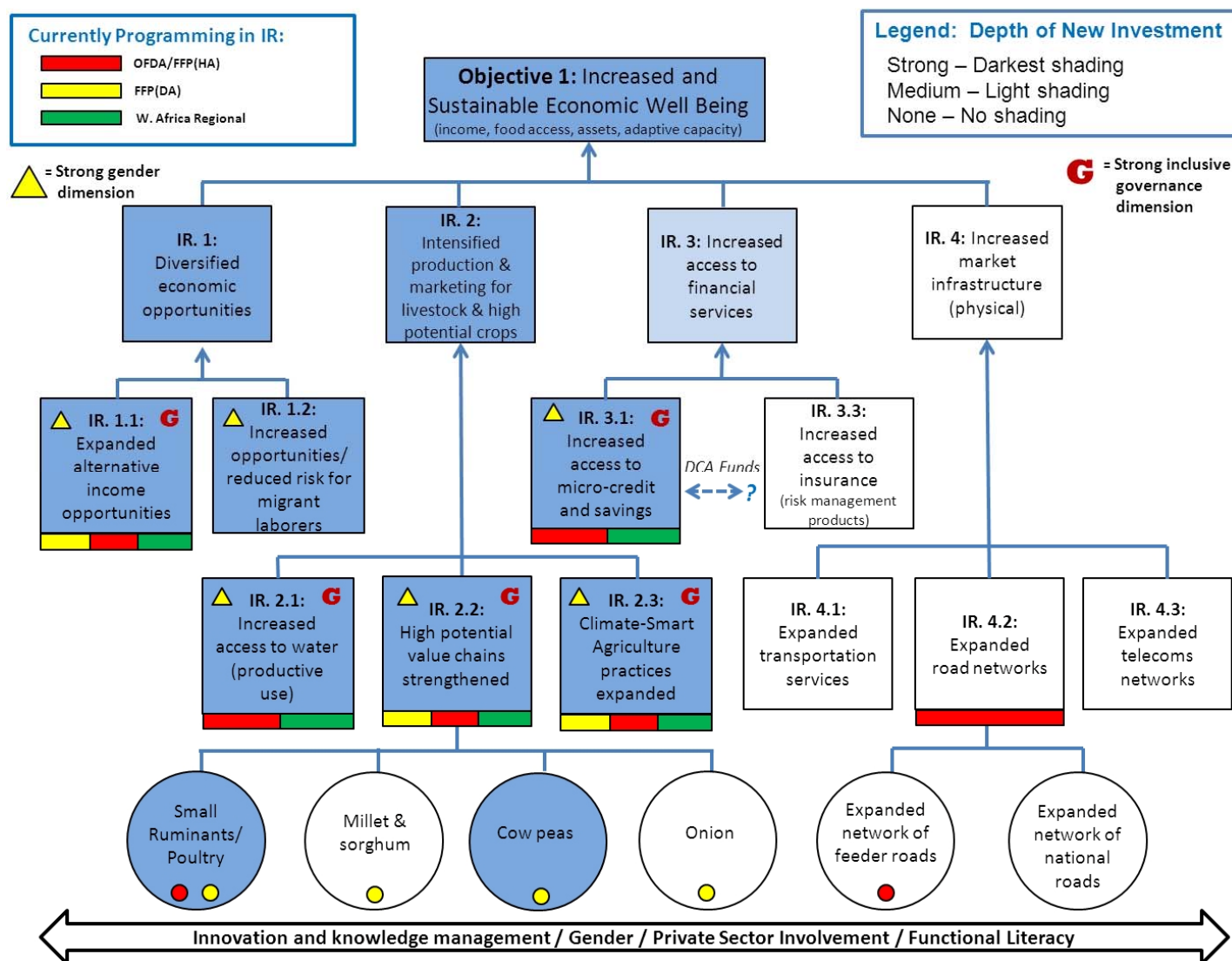
= Strong inclusive
governance
dimension

Sahel JPC Results Framework

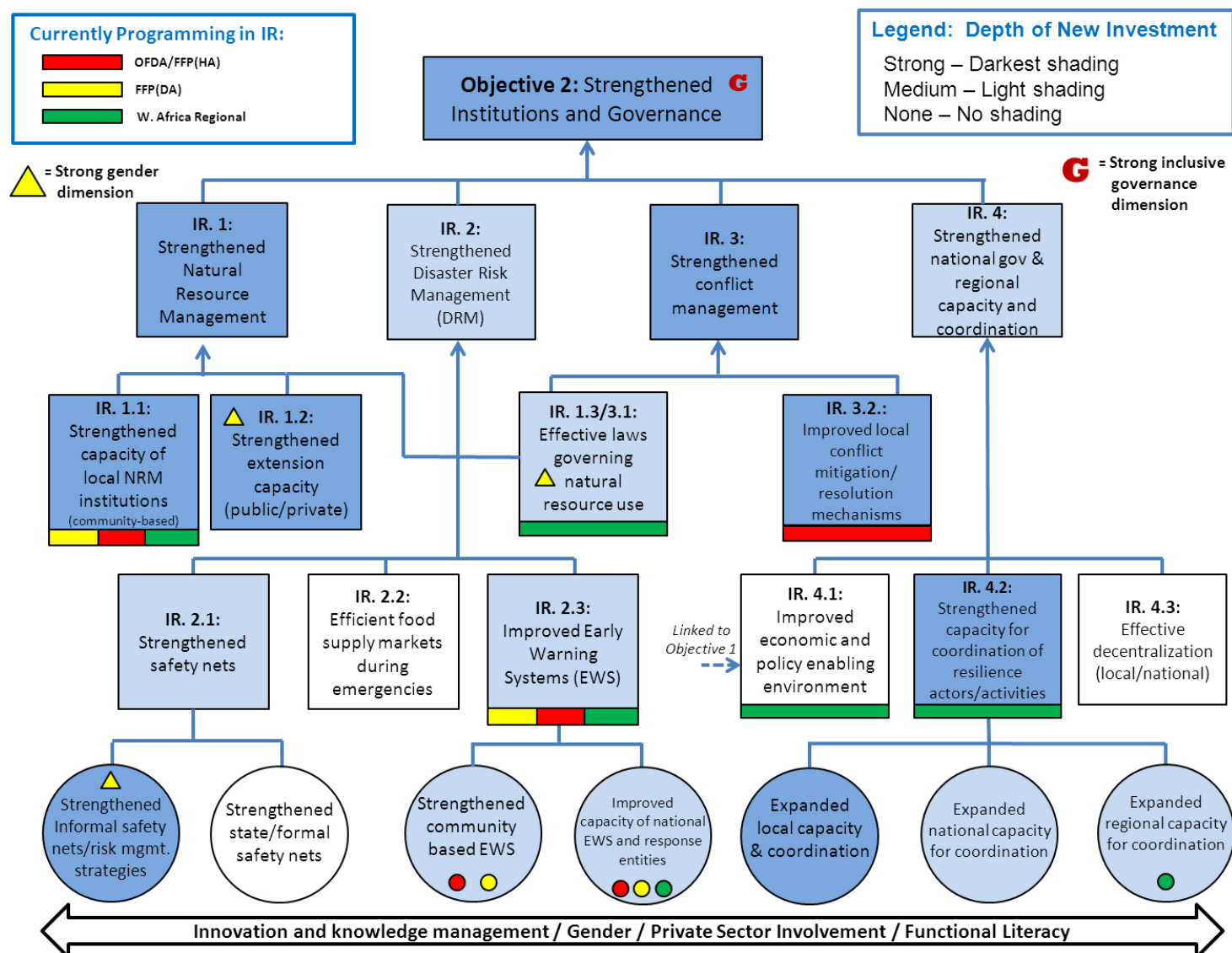
Goal: Increased resilience of chronically vulnerable populations in agro-pastoral and marginal agriculture livelihood zones of the Sahel



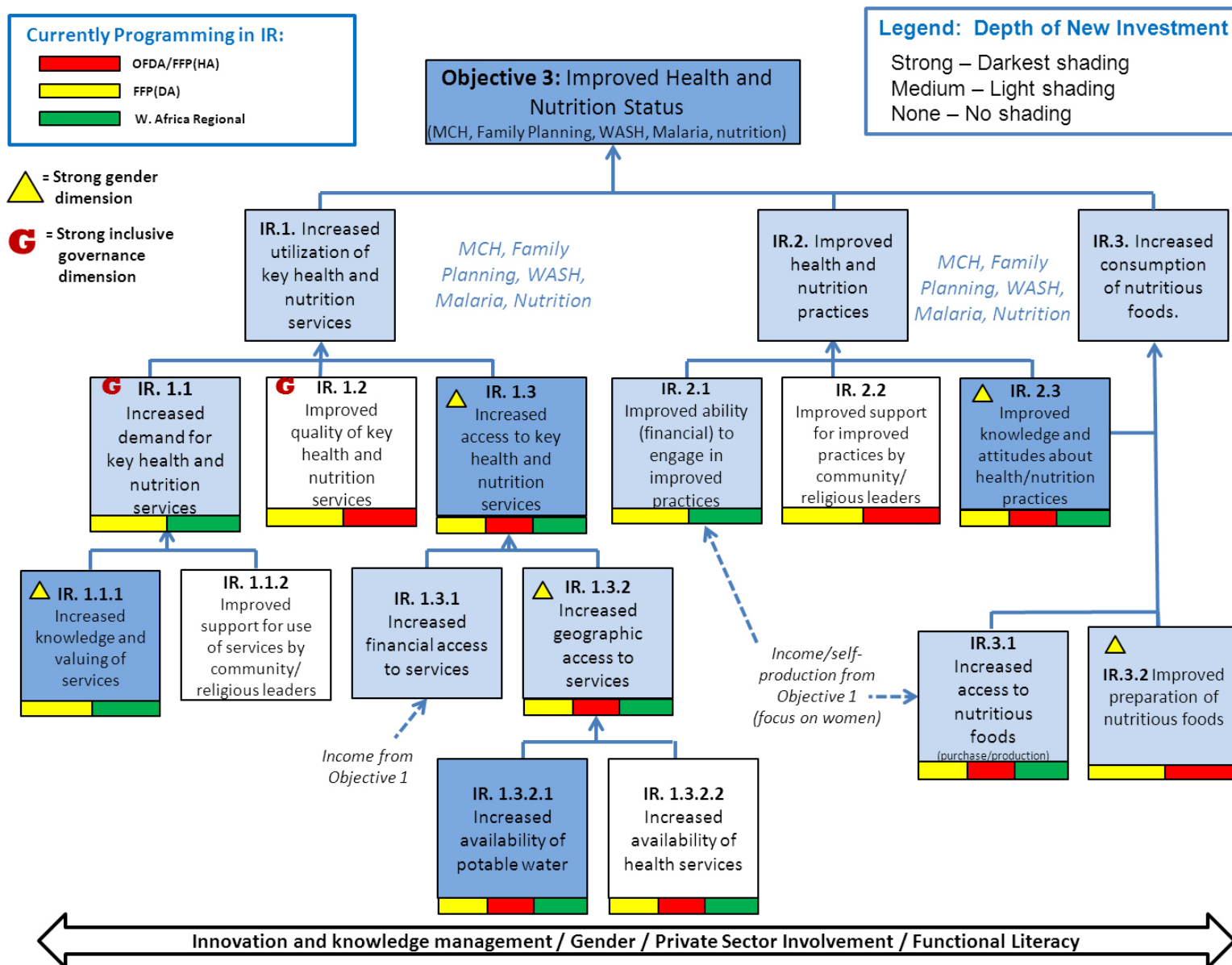
Objective 1 Results Framework:



Objective 2 Results Framework:



Objective 3 Results Framework:



ANNEX 3 - USEFUL LINKS

- o Food for Peace (FFP) Projects: (<http://senegal.usaid.gov/en/node/17>)
- o USAID's Value Chain Wiki Resources (<http://microlinks.kdid.org/good-practice-center/value-chain-wiki>)
- o Resilience and the Sahel Joint Planning Cell: <http://senegal.usaid.gov/en/Resilience>
- o Sahel JPC Fact Sheet 1-4-2013 : http://senegal.usaid.gov/sites/default/files/sahel_jpc_fact_sheet_1-4-2013.pdf
- o Sahel JPC Strategy Presentation Public
http://senegal.usaid.gov/sites/default/files/sahel_jpc_strategy_presentation_public_1.pdf
- o Sahel JPC Value Chain Analysis Presentation Final 10-4-12:
http://senegal.usaid.gov/sites/default/files/sahel_jpc_value_chain_analysis_presentation_final_10-4-12.pptx
- o Sahel JPC Focus Area Maps
- o <http://spsinternal.usaid.gov/OSDBU/Pages/Home.aspx>
- o <http://www.agribizafrica.org/>
- o <http://www.nigeriamarkets.org/>

ANNEX 4 – PAST PERFORMANCE INFORMATION

APPLICANT PERFORMANCE REPORT - SHORT FORM
PART I: Applicant Information (to be completed by Prime)
1. Name and Address of Awarding Entity:
2. Award Number:
3. Award Type:
4. Award Value (TEC): (if sub-award, sub-award value)
5. Problems: (if problems encountered on this award, explain corrective action taken)
6. Period of Performance:
7. Contacts: (Name, Telephone Number and E-mail address)
7a. Agreement Officer:
7b. Technical Officer:
8. Title/Brief Description of Product/Service Provided/ Results Achieved to Date:
1. Other:
PART II: Performance Assessment (to be obtained by USAID—DO NOT COMPLETE)
1. Quality of product or service, including consistency in meeting goals and targets, and cooperation and effectiveness of the Prime in fixing problems. Comment:
2. Cost control, including forecasting costs as well as accuracy in financial reporting. Comment:
3. Timeliness of performance, including adherence to contract schedules and other time-sensitive project conditions, and effectiveness of home and field office management to make prompt decisions and ensure efficient operation of tasks. Comment:
4. Customer satisfaction, including satisfactory business relationship to clients, initiation and management of several complex activities simultaneously, coordination among subcontractors and developing country partners, prompt and satisfactory correction of problems, and cooperative attitude in fixing problems. Comment:
5. Effectiveness of key personnel including: effectiveness and appropriateness of personnel for the job; and prompt and satisfactory changes in personnel when problems with clients were identified. Comment:

Note: Part I is to be completed by the applicant. USAID will obtain the information to complete Part II.