Issue Date:	April 18, 2019
Deadline for Questions:	May 1, 2019, 4:00 PM Nigerian Time
Application Closing Date & Time:	May 30, 2019, 4:00 P.M.

Subject: **Notice of Funding Opportunity Number: SOL-72062019RFA00006 - Request for Full Technical and Cost/Business Application**

Program Title: **Feed-the-Future Nigeria Rural Resilience Activity**

The United States Agency for International Development in Nigeria (USAID/Nigeria) is seeking applications for a Cooperative Agreement from qualified entities to implement the Water for Agriculture program as described in the attached Notice of Funding Opportunity (NOFO). Eligibility for this award is not restricted.

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

To be eligible for award, the Applicant must provide all information as required in this NOFO and meet eligibility standards in Section C of this NOFO. This funding opportunity is posted on www.grants.gov, and may be amended. It is the responsibility of the Applicant to regularly check the website to ensure they have the latest information pertaining to this notice of funding opportunity and to ensure that the NOFO has been received from the internet in its entirety. USAID bears no responsibility for data errors resulting from transmission or conversion process. If you have difficulty registering on www.grants.gov or accessing the NOFO, please contact the Grants.gov Helpdesk at 1-800-518-4726 or via email at support@grants.gov for technical assistance.

USAID may not award to an Applicant unless the Applicant has complied with all applicable unique entity identifier and System for Award Management (SAM) requirements detailed in Section D.6.f. The registration process may take many weeks to complete. Therefore, applicants are encouraged to begin registration early in the process.

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

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

Thank you for your interest in USAID programs.

Sincerely,

//Signed//
Chitahka Floore
Agreement Officer

CONTENTS

SECTION A – PROGRAM DESCRIPTION
FEED-THE-FUTURE NIGERIA RURAL RESILIENCE

1. INTRODUCTION

USAID/Nigeria's Office of Economic Growth & Environment (EGE) is issuing a five-year, $30 million Request for Applications (RFA) entitled Feed the Future Nigeria Rural Resilience activity hereafter referred to as "Rural Resilience activity,". This Activity is meant to contribute to economic recovery in Nigeria's Northeast region that has been devastated by the ongoing insurgency carried out by Jama'atu Ahlus-Sunnah Lidda'Awati Wal Jihad, also known as Boko Haram, and Islamic State in West Africa (ISIS-WA). The Rural Resilience activity is issued under the U.S. Government's (USG) Global Food Security Act (GFSA), which aims to advance the objectives of inclusive and sustainable agriculturally-led economic growth; strengthened resilience among people and systems; and a well-nourished population, especially women and children.

2. RATIONALE

Aligning with USAID/Nigeria's CDCS DO 1, the goal of the Rural Resilience activity is to facilitate economic recovery and growth in vulnerable, conflict-affected areas. There is a sizeable humanitarian response currently in place and many partners are undertaking short-term support to deal with immediate livelihood needs and opportunities. While these approaches are critical, USAID/Nigeria has the opportunity to complement this short-term support with a much-needed, longer-term vision of growth and transformation driven by emerging market systems opportunities and diversification into market-oriented livelihoods.

The purpose of the Feed the Future Nigeria Rural Resilience activity in Nigeria's northeast (NE), is *to sustainably move people out of chronic vulnerability and poverty*. This will be accomplished through expanded economic opportunities. The overarching approach will involve strengthening resilience capacities at household, community, and market-systems levels to ensure the sustainability of poverty reduction and economic recovery efforts. To improve activity effectiveness and sustainability, USAID/Nigeria will layer market-led approaches with complementary investments in humanitarian assistance, peace building, social cohesion, infrastructure, and basic services to ensure that broad-based economic recovery results are achieved among targeted geographies and populations.

Market systems are composed of vertically and horizontally linked firms, end markets, input and support service markets, and the environment in which they operate, which may include socio-cultural, geographic and political factors, infrastructure and institutions. This Activity is designed to develop competitive market systems using both *pull* and *push* interventions. The pull interventions are designed to stimulate market systems growth and expand economic opportunities. Push interventions are designed to build the capacities of conflict-affected populations, including poor and vulnerable households, women, and youth to proactively participate in economic activities. This approach will include deliberate efforts to build the resilience capacities of households and market systems to absorb, adapt, and transform in the face of shocks and stresses. Key interventions, as detailed below (Section 8), will be layered upon humanitarian assistance, as well as efforts to advance peacebuilding, basic services, infrastructure, and social cohesion, and implemented using a conflict-sensitive lens. This combination of interventions will stimulate market systems growth and create sustainable pathways out of poverty and vulnerability, especially for young men and women, and contribute to economic recovery in the Northern region of Nigeria..

Improving resilience is a fundamental pillar of the U.S. Government Global Food Security Strategy (GFSS) and its objectives of inclusive and sustainable agriculture-led economic growth, strengthened resilience among people and systems, and a well-nourished population, especially among women and children. The GFSS is an integrated whole-of-government strategy and agency-specific implementation plans. The overarching goal of the GFSS is to sustainably reduce global hunger, poverty, and malnutrition. Building on the Nigeria Mission's achievements, GFSS investments in Nigeria will address the challenges and obstacles that are limiting the optimal performance of the agricultural, health, and nutrition sectors in the country.

The Rural Resilience activity will enable individuals and communities to engage in strong and sustainable market systems rather than continuing to rely on humanitarian assistance, and faltering with each new shock. To achieve this purpose, the Activity will have four components and four cross cutting elements:

Component 1: Provide up-to-date evidence for selection of market systems, livelihoods and employment opportunities that contribute to inclusive and resilient growth and improved nutrition.
Component 2: Stimulate market systems growth and diverse economic opportunities (Pull activities).
Component 3: Build capacity to take advantage of market systems opportunities (Push activities).
Component 4: *Sequencing, layering, integrating* (SLI), and collaborative learning to improve activity effectiveness, sustainability, and scale.

Beyond USAID and the Government of Nigeria (GON), other donors currently investing or planning to invest in the region include the World Bank, Department for International Development (DfID), European Union (EU), German Gesellschaft für Internationale Zusammenarbeit (GIZ), United Nations Development Programme (UNDP), and other UN agencies. The investments of others should incentivize rather than discourage USAID to invest, as they will allow space for USAID to focus and lead on an innovative vision for economic recovery. Layering USAID's investment with investments of the World Bank, Department for International Development (DfID), the German Development Agency (GIZ), the European Union (EU), and the United Nations Development Program (UNDP) will facilitate the achievement of this vision for economic recovery and transformation in the difficult context of the Northeast.

Investments in expanding economic opportunities, especially for young men and women, will substantively address the structural and underlying factors that created space for the insurgency. Moreover, the impact of instability in Nigeria on the Lake Chad Basin and the broader West Africa sub-region makes clear the importance of the Rural Resilience activity in the Northeast.

3. CONTEXT AND PROBLEM STATEMENT

Nigeria is a diverse country with some regions or sectors with development and wealth, but with others deeply affected by conflict, insurgency, natural disaster, poverty, and weak state capacity. Despite massive oil revenues, 53% of Nigeria's population lives in poverty. Poverty rates in the Northeast are higher, ranging from 59% in Adamawa, 70% in Borno, 77% in Gombe, and 90% in Yobe. Literacy rates are only 35% for adolescent girls and 46% for adolescent boys, and under-five mortality rates are as high as 160 per 1,000.

Numerous and conflicting theories regarding the origins of the insurgency in northeast Nigeria, and the reasons why it has been particular to the Northeast, have been argued by a variety of institutions, including the Brookings Institute, the University for Peace, and the World Bank. Competing explanations for the insurgency include (1) the lack of GON investment in the North, including in basic services and infrastructure, despite a national per capita income of $2,700 and an impressive annual GDP growth rate for most of the past decade; (2) grievances related to corruption and misuse of federal and state funds; (3) religious and cultural divisions and income inequality between the predominantly Muslim North and predominantly Christian South; and (4) extreme poverty and deprivation in the Northeast. Even before the insurgency began, the Northeast lagged behind the rest of the country in terms of socioeconomic development. Poverty is generally recognized as a key driver of the insurgency; it has also been exacerbated by the crisis, which has had a significant impact on the economy. The collapse of northern Nigeria's industrial base, the erosion of rural livelihoods based on agriculture, pastoralism, and fisheries, hikes in prices of commodities, the depreciation in the value of the Naira, and rising inflationary trends have all contributed to a complex and compounding risk environment and the deepening of poverty. These economic weaknesses have also influenced social processes which in turn have eroded social capital and social cohesion, undermined gender norms and child rights, and created power shifts between generations. Sexual and gender based violence have escalated dramatically with the intensification of the conflict.

Attacks on civilians by Boko Haram since 2009 and efforts of the military to counter these attacks have left widespread devastation of infrastructure and socio-economic activities in the Northeast. Violence has resulted in an estimated 20,000 deaths as of January 2017 and over 1.9 million internally displaced people (IDPs). One-third of IDPs live in displacement centers (camps and informal settlements), and two-thirds, or an estimated 1.3 million people, live in host communities. Between 2015 and 2017, 1.1 million people returned to their homes, and UNDP has reported that others are prepared to return to their places of origin within Local Government Areas (LGAs) when essential conditions like security and access to services are in place. Some, however, may never return and will remain in urban or town centers, including the Maiduguri metropolitan area and some LGA headquarters.

Humanitarian support in Nigeria's Northeast has been extensive — including the provision of urgent food; health; water, sanitation, and hygiene (WASH); and protection services. Nonetheless, economic recovery efforts to date have been limited to small-scale livelihood activities that meet only short-term survival needs. Economic recovery has yet to tackle the rehabilitation of farmland, storage facilities, other key infrastructure, or the revitalization of markets. The revitalization of non-farm agriculture-related businesses is also needed to ensure input supply, aggregation, other pre- and post-harvest services, and market access. A focus on youth and non-farm, non-agriculture-related livelihoods for IDPs who choose to remain in urban centers may be critical. Analysis of updated information on markets and market opportunities will be needed as a first and important step toward economic recovery. Moreover, a vision for economic transformation and inclusive prosperity for future generations is required to move the Northeast beyond the prior state of vulnerability and fragility that gave space to Boko Haram and led to the current crisis.

4. INSTITUTIONAL FRAMEWORK

4.1 The Government of Nigeria's Strategy: The Buhari Plan

The Government of Nigeria's plan for rebuilding the Northeast, known as the Buhari Plan, is a blueprint for comprehensive humanitarian relief and socio-economic stabilization. This Plan is intended not only to end the insurgency and spearhead the full recovery and development of the Northeast region, but also to provide a model for the development of the entire country. The Plan is meant to be the guiding document for all donors, development partners, and state and local government interventions. It mandates ownership of the rebuilding by those in the region, inclusion, a grassroots approach, resilience, sustainability, and accountability. USAID/Nigeria's Rural Resilience activity aligns with the Plan, and ensures coordination with stakeholders at all levels.

The Presidential Committee on Northeast Initiatives (PCNI) is charged with ensuring the execution of the Plan and overseeing the framework through which all partners can channel their contributions. To help inform the implementation of the Plan, the World Bank, in concert with PCNI, conducted the Northeast Nigeria Recovery and Peacebuilding Assessment (RPBA). This assessment articulates three strategic areas of intervention:

- Peacebuilding and social cohesion;
- Infrastructure and social services; and
- Economic recovery.

4.2 USAID's Country Development and Cooperation Strategy (CDCS), Global Food Security Strategy (GFSS) and Building Resilience to Recurrent Crisis Strategy

The Rural Resilience activity aligns with USAID/Nigeria's Country Development Cooperation Strategy (CDCS) and its goal of Reduced Extreme Poverty in a More Stable, Democratic Nigeria that contributes to Development Objective 1 (DO 1): Broadened and Inclusive Growth through Intermediate Result 1.1, Agricultural competitiveness increased. The Rural Resilience activity is aligned with USAID's Global Food Security Strategy (GFSS) and its objectives of a) inclusive and sustainable agriculture-led economic growth; b) strengthened resilience among people and systems; and c) a well-nourished population, especially women and children, thereby contributing to sustainable reductions in global hunger, malnutrition and poverty. Finally, this Activity has been designed following the USAID Resilience Policy and Program Guidance from December 2012, specifically, "Efforts will result in: increased adaptive capacity, improved ability to address and reduce risk, and improved social and economic conditions of vulnerable populations. Over the long-term,... these results will collectively contribute to reduced humanitarian needs... Ultimately, we seek to save and improve lives."

4.3 USAID Assistance in Support of Food Security and Resilience

USAID supports the Northeast through a range of distinct yet collaborative activities. They are designed to align with the Buhari Plan and to provide different, yet complementary, assistance and resources. These activities are:

Feed the Future Nigeria Livelihoods Activity
Initially based in rural communities in northwestern Nigeria's Kebbi and Sokoto States, and in the Federal Capital Territory, Feed the Future Nigeria Livelihoods activity uses a multi-sector approach to help improve agriculture production, farming incomes, and the nutritional status of 42,000 poor and vulnerable households. The Activity, which ends in July 2018, seeks to improve agricultural practices, including post-harvest storage for nutrient rich crops and livestock husbandry, and promote a market-oriented approach to diversify production. In January 2017, the Livelihoods activity expanded limited interventions to Adamawa, Borno, and Yobe States. In those states, the Activity is working with 13,000 vulnerable households on agricultural productivity interventions and training members of these households on informal finance options. The Activity is also working closely with state and local government institutions to align interventions and strengthen their capacity to implement poverty reduction programs and reinforce accountability between the government and citizens.

USAID Office of Foreign Disaster Assistance (OFDA)
The Office of Foreign Disaster Assistance helps countries prepare for, respond to, and recover from humanitarian crises. OFDA works with the international humanitarian community to give vulnerable populations resources to build resilience and strengthen their own ability to respond to emergencies. In the Northeast, OFDA administers assistance interventions in agriculture and food security, nutrition, WASH, health, shelter and settlements, environmental health, protection, and humanitarian coordination, in addition to relief efforts in targeted LGAs. OFDA sponsored a recently published Northeast Nigeria Joint Livelihood and Market Recovery Assessment that includes concrete recommendations for action.

USAID Food for Peace (FFP)
Food for Peace predicts, prevents, and responds to hunger overseas. Through its emergency interventions, FFP saves lives, reduces suffering and supports the early recovery of people affected by conflict and natural disaster emergencies through food assistance. FFP's development activities equip people with the knowledge and tools to feed themselves, addresses the underlying causes of hunger, and reduces the need for future food assistance. In northeastern Nigeria, FFP is supporting the administration of food vouchers (including electronic food vouchers), cash transfers (including electronic and mobile phone based cash transfers), locally procured food and nutrition activities, cash for work (community infrastructure and boreholes), nutrition messaging, nutrition screening, and the dissemination of nutrition messages.

USAID Office of Transition Initiatives (OTI)
The Office of Transition Initiatives supports U.S. foreign policy objectives by helping local partners advance peace and democracy. OTI provides fast, flexible, short-term assistance targeted at key political transition and stabilization needs. Strategically designed for each unique situation, OTI has laid the foundation for long-term development by promoting reconciliation, jumpstarting local economies, supporting emerging independent media, and fostering peace and

democracy through innovative programming. In countries transitioning from authoritarianism to democracy, from violence to peace, or following a fragile peace, OTI programs serve as catalysts for positive political change. In northeastern Nigeria, OTI conducts small-scale interventions in infrastructure rehabilitation and agricultural productivity. Interventions include the repair and donation of tractors to producer groups, distribution of seeds and farm tools, Cash-For-Work, entrepreneurship development, worker training activities, apprenticeship activities, and livestock and agricultural interventions in Adamawa, Borno, and Yobe States. These are all aimed at addressing the economic drivers of extremism.

USAID/Nigeria Office of Peace and Democratic Governance (PDG)
The Office of Peace and Democracy Governance facilitates peacebuilding and conflict mitigation and resolution activities, and has a mechanism that supports all new activities in employing a conflict sensitivity analysis and promoting best practices. The Training of Leaders on Religious and National Coexistence (TOLERANCE) activity, (ending in March 2018), implemented by the Interfaith Mediation Centre (IMC), offers trauma counseling for a limited population, contributes to peacebuilding in six states by fostering constructive dialogue and understanding among Muslim and Christian citizens, and provides some conflict early warning. The Engaging Communities for Peace in Nigeria (ECPN) has recently started a two year expansion into the Northeast. ECPN will provide influential organizations in the Northeast that are working on conflict mitigation, peace building, reintegration, and reconciliation with organizational capacity and technical capacity interventions. The Activity will also provide conflict contextual analysis, “Do No Harm” and conflict sensitivity trainings, and technical support to Mission staff, sector implementing partners, and associated Nigerian civil society organizations

5. DEVELOPMENT HYPOTHESIS

The development hypothesis for the Rural Resilience Activity is that, ***if*** the resilience capacities of insurgent- or conflict-affected households, communities, and market systems are strengthened using market-led approaches layered with complementary investments in humanitarian assistance, ***then*** these households and communities can sustainably reduce vulnerability and poverty, thereby contributing to economic recovery.

5.1 Resilience capacities.

USAID defines resilience as the ability of people, households, communities, countries, and systems to mitigate, adapt to, and recover from shocks and stresses in a manner that reduces chronic vulnerability and facilitates inclusive growth. A significant and growing body of research points to resilience capacities that enable households to absorb, adapt, and transform in the face of shocks and stresses, including those that affect market systems. Absorptive capacity involves minimizing exposure to shocks and stresses that threaten livelihoods and basic needs ahead of time, and recovering quickly when exposed (through safety nets, conflict management, insurance, and community contingency planning). Adaptive capacity involves making proactive and informed choices to adjust to a shock or to pursue alternative livelihood strategies when faced with changing conditions. Transformative capacity entails creating a fundamentally new system to meet outstanding needs that fosters more lasting resilience when existing structures break down.

5.2 Market systems (Push and Pull) interventions.

Research reveals the multiple pathways through which access to viable economic opportunities — such as on-farm crop and livestock income generation, diversification into off-farm income generation, and employment opportunities — enhance the resilience of vulnerable households. Push and pull strategies are embedded in all these pathways. To illustrate this dynamic, there are steps that are of risk to higher levels of productivity and returns — starting with a low-risk, low-return activity and stepping up to activities that are increasingly commercial and more profitable. Push interventions focus on building the skills, resources, and capacities of poor and vulnerable individuals and households to participate in market systems. They aim to build the capacity to manage increasing levels of risk and enable upgrading to higher levels of productivity and income. Pull interventions, as detailed in the Components below (Section 8), focus on increasing opportunities along value chains by leveraging commercial incentives for a broad set of actors, including buyers, aggregators, traders, processors, producers, input suppliers, private sector extension services, and agricultural service providers. Stepping up to a higher return activity requires these pull interventions to stimulate inclusive, market-led agricultural growth that expands economic opportunities. Importantly, the implementing partner should note that it will facilitate the private sale of agricultural inputs instead of distributing them. In-kind goods and equipment must not be distributed to individuals or groups of farmers as part of this intervention.

5.3 Sequencing, Layering and Integrating.

Experiences from other crisis-affected areas underscore the importance of a deliberate approach to sequencing, layering, and integrating activities - an approach that makes use of the breadth of USAID resources by leveraging and complementing existing investments with strategic new investments, and enabling partners working with the same households, communities, and markets to work together towards collective action and impact. The Rural Resilience activity will collaborate and implement interventions jointly with multiple development partners, including a range of USAID/Nigeria offices, implementing partners, government bodies, and other donors.

6. PROGRAMMATIC PRIORITIES

6.1 Geographic Priorities

The Rural Resilience activity will cover four northeastern states that have been affected by the insurgency: Adamawa, Borno, Gombe, and Yobe. Within these states, priority will be given to geographic areas where the security situation allows safe movement and market activity. Activity interventions will commence initially in fully accessible areas with security levels that permit medium- to long-term development efforts with market and production significance. There is a substantial risk that some of the areas to which IDPs have been returning may have landmines or other explosive remnants of war (ERW). LGAs that have been cleared as being free of ERW will be prioritized, and the activity will coordinate with local, federal, and international police or demining organizations to ensure that the areas are free off ERW prior to any activity interventions.

The implementing partner (IP) will need to adopt a flexible implementation approach that contextualizes interventions based on several factors, including geography, the impact of the insurgency on people and the natural environment, the urban-rural divide, characteristics of host community or IDP camps, agronomic potential, distance to market, and the level and fluidity of security. The selection of specific locations for Rural Resilience activity interventions should also take account of other activities and interventions towards ensuring stability, and promoting peacebuilding and social cohesion, as these elements provide the foundation for the growth and development of agricultural market systems.

6.2 Target Population

Primary beneficiaries of the Rural Resilience activity will include those directly and indirectly affected by the Boko Haram and ISWA insurgencies, including IDPs, host families and communities, returnees, those who stayed behind, and vulnerable households. In recognition of displacement and settlement patterns, interventions will be tailored to create farm and non-farm opportunities in agricultural market systems for: (1) those that have or will be returning (or aspire to return) to their rural homes, and (2) those who choose to remain in larger cities or LGAs, within the four focus northeastern states, even as security conditions improve. Understanding the varied considerations that inform these choices — especially among women and young people — as well as the assets, resources, and strategies that enable or constrain them will be critical and, therefore, part of the foundational analysis to inform this activity.

The Activity will reach a minimum of 60,000 vulnerable households, but will also target institutions and private sector actors for interventions aimed at strengthening their ability to provide services and the social capital to link them to the broader community requiring those services. It is incumbent on the Applicants to propose a flexible approach for the selection and identification of the 60,000 households.

The Applicants will provide sufficient analysis of the targeted populations and proposed interventions for USAID/Nigeria to conclude there is no reasonable basis to believe that Boko Haram/ISIS-WA would benefit from USG assistance under the Activity in violation of the material support prohibitions under 18 USC§§ 2339A and B, U.S. sanctions under Executive Order 13224, or United Nations Security Council sanctions.

6.2.1 Mitigating Measures. The implementing partner will have to demonstrate an understanding of the risks of terrorist financing in working in Boko Haram and ISIS-WA-affected communities in Adamawa, Borno, Gombe, and Yobe States and present a plan to mitigate any such risk associated with the proposed activity. It will also provide a plan to conduct a security assessment prior to the activity's launch of interventions. This assessment will reflect findings from the key stakeholders in the area, and justify a conclusion that the beneficiary communities are at a low risk of re-invasion. The Applicant must outline in the proposal how its employees will be vetted to ensure no current or former Boko Haram and ISIS-WA affiliation. The Applicant will show how it will ensure that there are no known Boko Haram and ISIS-WA members currently residing in the area where Activity interventions will be implemented prior to implementation. Additionally, the implementing partner will show how it will work with state authorities (including the State Emergency Management Agency) and community leaders to screen any potential activity beneficiaries to ensure that they do not include any Boko Haram and ISIS-WA affiliates. No payment or training will be provided to security forces or police as part of this Activity.

6.3 Value Chain/Market System Priorities

Flexibility will also be required in selecting targeted value chains and the non-farm agriculture-related businesses that support them. Value chain selection should consider what is geographically and socially feasible, the level and volatility of security, and the dynamics of market demand. USAID's past work on value chain development in conflict-affected contexts emphasizes the need to start by identifying multiple opportunities in growing market segments. Rather than targeting a specific market, value chain, or livelihood too early, it is better to remain flexible as new information and experiences are gained. Recognizing that there might not be a clear choice of sector or a winning market segment when starting, the IP can explore multiple markets simultaneously and winnow options as information and experience emerge. The Rural Resilience activity also envisions working with a broad set of actors engaged in non-farm agriculture-related enterprises that support value chain development, including input suppliers, service providers, banks and microfinance institutions. Actors could also be urban or town-based microenterprises, small, or medium businesses that sell non-agriculture-related goods or services.

6.4 Technical Approaches

6.4.1. Market systems approach. Market systems development is grounded in an understanding of the market system comprising: (1) the firms and actors that are part of the system, (2) the key constraints, strength and efficiency of vertical and horizontal linkages among these actors, (3) the availability and affordability of commercial supporting services, including technical, business, and financial services, (4) the incentives created by formal and informal enabling environments in which market actors operate, and (5) the interconnections among selected value chains and other systems, such as public health and the natural environment. A market systems approach also recognizes the interconnections between multiple systems, including markets, households and communities, the natural environment and climate change, the empowerment of women and youth, nutrition, and the policy and governance environment.

6.4.2. Applying a conflict lens to market systems development (see Annex B for implementation principles). At a minimum, a conflict lens entails ensuring that interventions/activities "do no harm." At the same time, it includes an awareness of the causes and drivers of conflict and violence and identifying and supporting opportunities for building peace. A conflict-sensitive intervention is based on an understanding of the context, the interaction between an intervention and the context, and interventions that avoid negative effects and maximize positive impacts throughout the design and implementation of an intervention. It is also crucial that assessment, not assumption, guide activity design in the midst of a conflict. Often we may find that certain actors, networks, or communities are far more resilient under conflict than expected, something we should capitalize on rather than undermine through interventions.

***6.4.3*. *Social capital, social cohesion, aspiration and empowerment*.** Social capital, social cohesion, aspirations, and empowerment are critical sources of resilience, especially in the context of the Northeast where people's relationships, sense of trust, reciprocity, agency, and future orientation have eroded. Evidence on sustainable economic recovery and managing recurrent crises makes it abundantly clear that social and psychological factors are as important to building resilience at the individual, household, and community levels as is the focus on increasing incomes and building assets. The erosion of these capacities - which extend beyond material deprivation - give insurgents space to not only recruit but be welcomed into communities. Approaches for strengthening social capital, dispute resolution, social cohesion, aspirations, and empowerment should be embedded in economic recovery programming.

6.4.4. Facilitation. The Activity aims to stimulate systemic change without taking a direct role in the market system. A facilitation approach ensures that market participants are drivers of the change process, focuses on the development of local systems, and addresses relationships and power dynamics among market participants that affect both inclusion and competitiveness.

6.4.5. Promoting resilient agriculture. Resilient agriculture emphasizes sustainably increasing agricultural productivity and incomes while strengthening adaptation and resilience in the face of changing conditions. Approaches for promoting resilient agriculture and food security interventions include: (1) using improved agrometeorological information; (2) developing technologies and innovations that take into account weather and climate-related risks; (3) strengthening human and institutional capacity; (4) strengthening the enabling environment; and (5) partnering for impact.

6.4.6. **Geographic information technology (GIS) data applications.** In order to facilitate geographically aware adaptive performance management and better represent results, the Applicant shall collect geographically-explicit indicators to measure the Activity's performance. Geographically-explicit indicators include information on the location or geographic scale of the Activity's performance, impact, or other information. For example, the discrete location of a new processing facility established or expanded as a result of an intervention is collected as a specific set of latitude and longitude coordinates or as a settlement name to display the improved services in this location. In circumstances when an intervention's performance is better associated with an area, such as a forest reserve or a community's shared land, the boundary of this area should be collected. By collecting data at this detailed level, the data can be used to answer both specific and broad questions by either using the data at its current level of precision or aggregating it to be associated with administrative units. Geographically-explicit indicators enable place-based, adaptive performance management by including information not only about what performance is occurring but also where.

7. COMPONENTS

The Rural Resilience activity will focus on four components and four cross-cutting elements.

Component 1: Provide up-to-date evidence for selection of market systems, livelihoods and employment opportunities that contribute to inclusive and resilient growth and improved nutrition.
Component 2: Stimulate market systems growth and diverse economic opportunities.
Component 3: Build capacity to take advantage of market systems opportunities.
Component 4: Sequencing, layering, and integrating; and collaborative learning to improve activity effectiveness, sustainability, and scale.

Cross-cutting elements:

1. Integration of gender and youth.
2. Nutrition-sensitive agriculture.
3. Natural resource management.
4. Social capital, cohesion, and aspirations.

COMPONENT 1: Provide up-to-date evidence for selection of market systems, livelihoods and employment opportunities that contribute to inclusive and resilient growth and improved nutrition

An initial USAID market analysis identified several key value chains that have been impacted by the insurgency or the response to it. It noted that, "In the southern part of Borno State and in neighboring Adamawa and Yobe States, farming, animal husbandry and other economic activities are returning to normal and markets are functioning at levels comparable to the pre-insurgency period." The *Northeast Nigeria Joint Livelihood and Market Recovery Assessment* published by USAID and Mercy Corps in October 2017 analyzed constraints and cross-cutting issues in Adamawa, Borno, and Yobe States, and proposed a range of market system interventions. It is incumbent on the implementing partner to undertake additional assessments (or to contract such assessments to a qualified third party), such as labor market assessment within the first six months of the Activity award. The results of these assessments would be necessary to direct Activity interventions prior to implementation. In order to have truly adaptive management, assessments of the changing situation must be on-going and include not only traditional factors like profitability, the possibility for value addition, accessibility, and preference; but also the root disruption factors in directing the targeted market segments in the four target states. Finally, selecting nutrient-rich commodities and identifying points in the value chain that affect the nutritional value of the commodity will be important to address malnutrition.

Challenges and opportunities: Several principles articulated by USAID guidance on working in conflict-affected contexts make clear the need to be flexible and iterative — building on multiple options and short-term successes toward longer-term goals. Toward this end, analysis needs to be:

- Synthetic - drawing from the array of organizations collecting information;
- Low cost – given the dynamic context and the likely need for continuous data collection; and
- Iterative – such that information responds to programming needs and learning is based on analysis of "what is working," feedback loops, and adaptation.

A number of actors, including those implementing the Famine Early Warning System, USAID's FFP and OFDA, the World Food Program, the World Bank's RPBA, and other development partners working in the Northeast have collected and regularly update data on agriculture production, markets, food prices, and livelihoods. The Rural Resilience activity can utilize and build on this rich base of information to fill gaps where needed. Understanding end markets is key to identifying those which have high-potential for value chains, livelihoods and employment opportunities. It is also critical to ensuring that market opportunities drive programming and harness market forces to reinforce positive coping mechanisms. Although end-market analysis can be time-consuming, methodologies can be simplified using a combination of quantitative and qualitative data (adapting USAID's approach to end market analysis). Analysis, however, must go beyond identifying high-potential end markets by including:

- A conflict assessment which, as noted in the implementation principles, is required prior to implementation to understand the context and drivers of conflict in various markets to inform strategies for how to intervene in a way that does not exacerbate tensions between groups;
- Analysis of the specific demands of various end-market segments (e.g., regarding quality, volume, on-time delivery), the risks associated with various end-market segments, and how these risks affect different groups in the target population;
- Analysis of gaps and opportunities in input and service markets;
- Identification of multiple end-market options to enable an iterative and step-wise implementation approach allowing for adaptive management;
- Gender and age analyses to understand how social norms shape market-related constraints, priorities, and opportunities for males, females, and young people;
- Spatial information in the form of maps of markets for agricultural products, livelihood products, employment demand, and spatial constraints for women and young people;
- Mapping of value chain actors, including existing mechanization services, input suppliers, aggregators, processors, wholesalers, and retailers by males and females;
- Mapping of market sheds and market-system linkages (and lack thereof) between input suppliers and farmers, farmers and traders or aggregators, aggregators and end-market processors, or wholesalers and retailers (incorporating gender dynamics);
- Analysis of local and regional labor markets to inform the selection of activities that can help young men and women (18-34 years) to increase their earnings and diversify household income streams; and
- Information for formulating a vision for inclusive economic transformation in the short-, medium-, and long-runs to inform short-term tactics while focusing on longer-term targets.

It is incumbent on the implementing partner to identify and propose cost-efficient methods to conduct these market opportunity assessments in order to keep the level of effort, cost and timeline for this component reasonable. The implementing partner will ensure that this is coordinated with USAID/Nigeria during Activity implementation.

COMPONENT 1: Illustrative Outcomes

The list below is meant to be illustrative of the outcomes tracked under Component 1.

- Identification and prioritization of opportunities by location, characteristics of demand (quality, volume, on-time delivery), risks, availability of needed inputs and services, the potential for impacting women and youth, nutrition, and the natural environment.
- Identification of key constraints in market systems, underlying causes of these constraints, including lack of trust, collusion, and other predatory behaviors, potential

conflict drivers, potential strategies for addressing the underlying causes of under-performance, and mitigating conflict.

- Identification of leverage points for intervening in market systems (with the potential to unleash opportunities and address constraints), including mapping value chains, enterprises, jobs, sources of inputs, suppliers, buyers, service providers, financial services, and networks or linkages among firms and actors.
- Synthesis of data to inform a short- and long-term vision for economic growth, conflict mitigation, and pathways out of poverty.

COMPONENT 2: Stimulate market systems growth and diverse economic opportunities (Pull activities)

Component 2 focuses on creating pull effects to expand economic opportunities in the Northeast through strengthened market systems, diverse market-based livelihood and employment opportunities, and improved access to financial services. Pull efforts must be based on an understanding of the context and the underlying causes of underdevelopment, in addition to the conflict itself. They are needed to expand economic opportunities, while building resilience and helping populations recover from losses resulting from the conflict.

Prior to 2010, the economy of the Northeast, dominated by agriculture and informal microenterprises, lagged behind that of other regions. It was characterized by low productivity in agriculture and informal non-farm enterprises alike. Agriculture consisted of cash crops of cotton, groundnuts, livestock and fish, while the main food crops included rice, maize, millet and yam. Although processing existed in the form of grain and rice mills, cotton ginneries, oil, meat processing, and leather for domestic markets, their expansion was constrained by the lack of infrastructure and electricity, as well as long distance to markets. The current conflict, which started in 2009, exacerbated this already strained market system. The World Bank's RPBA documents the massive damage done to the agriculture sector, including the abandonment of fields, the loss of tools, livestock, and other assets, the disruption of input and output markets, and the fall in production.

The tide appears to be turning in the Northeast with regard to improvements in security and the commensurate ability of residents to engage in market activity. Recent preliminary market survey results from the USAID-funded Famine Early Warning Systems Network and WFP showed that, "Market activity has improved moderately in northeastern Nigeria compared to September 2016." Improved security conditions in parts of the region have prompted people to return to their points of origin and increase their economic activity, resulting in additional household demand for goods in large parts of Adamawa and Yobe States, as well as in some areas of Borno State. Local markets remain fragile, however, as staple food prices continue to exceed average levels. In addition, traders cite residual insecurity and limited access to capital and credit as significant constraints that have resulted in supply shortages and limited market activity."

COMPONENT 2 Performance Objectives include:

Performance Objective 2.1. Develop and strengthen local agricultural market systems to ensure inclusion, resilience, and competitiveness

Performance Objective 2.2. Stimulate and develop non-farm livelihood opportunities
Performance Objective 2.3. Increase access to finance and financial services

Performance Objective 2.1: Develop and strengthen local agricultural market systems to ensure inclusion, resilience, and competitiveness

Challenges and Opportunities: Strengthening agricultural market systems where they exist, facilitating their recovery where they have been disrupted, and leveraging new opportunities as they are identified will be key to expanding economic opportunities in the Northeast. Widespread infrastructure damage has affected farmland, businesses, markets, and transport routes. People have lost grazing land, livestock and crops have been destroyed, and acreage under cropping has been reduced. Governmental restrictions for security reasons, such as in the types of crops allowable or limitations on livestock markets, have also profoundly affected the market system. Maize, sorghum and millet have been replaced by beans and groundnuts, as the height of the former provided cover for armed groups on the attack. Several livestock markets have been closed or limited to certain days in an attempt to prevent insurgents from stealing or selling stolen livestock. Many farmers who fled their land are now displaced and unemployed, and some of the farmland has been taken over by other IDPs. As a result, livelihood strategies have shifted. There has been a substantial shift out of crop production into livestock and non-agricultural self-employment, causing increased food scarcities and food prices.

Increases in the demand for food and land, and elevated food prices are potential opportunities for developing agricultural market systems. Although past data underscore the history of low agricultural and nonfarm productivity, there is an opportunity, as suggested by the Buhari Plan for rebuilding the Northeast, to “build back better.” To bring people back into agriculture, including young men and women, upgrading is needed to commercialize agriculture and generate returns that are higher than pre-crisis levels. In “building back better,” there is also an opportunity to “build back smarter.”

Examples of “Building Back Smarter” include:

(1) Promoting new supply-chain structures (like contract farming and outgrower schemes) that reduce risks for suppliers and buyers while improving the flow of knowledge and information.
(2) Developing models for improving and incentivizing trust and cooperation.
(3) Building resilience into market systems by: selling into diverse markets with different risk profiles; developing redundant sources of supply and flexible sources of labor and transport; and engendering trust and collaboration among actors to purchase inputs and outputs in bulk.

Climate-smart agricultural practices can strengthen agricultural market system resilience by assessing how biophysical challenges (like poor soils and environmental degradation) interact with socioeconomic constraints to create disincentives for investing in new technologies. Finally, “building back smarter” can also entail using a conflict lens in the economic recovery process. Rather than merely rebuilding the economy in the same factionalized manner, building back smarter will promote economic growth, ensure inclusion, resilience and competitiveness that avoids the creation or exacerbation of tensions between groups.

Performance Objective 2.2: Stimulate and develop non-farm livelihoods opportunities

Challenges and opportunities: Agricultural market systems depend on an array of non-farm agriculture-related activities, including input supplies, farm-related labor (land preparation, harvesting, spraying, and irrigation), services such as the provision and repair of small-scale mechanization, aggregation, storage and processing, wholesale trade, and retail trade. All of these interventions represent potential business and employment opportunities for populations affected by the crisis. The RPBA highlights pre-crisis livelihoods-oriented income generating work such as agro-processing, trading, real estate, and public- and private-sector employment. Other livelihoods work includes natural resource-based enterprises, such as fishing, artisanal mining, shea nut and gum Arabic harvesting, and merchandise trade. As an initial step, the IP will inventory and map non-farm agriculture-related livelihoods and market systems, and relate these to the labor market. These inventories and maps can highlight gaps in value chains, including value chain functions that need to be revitalized. In rebuilding non-farm opportunities, the Rural Resilience activity can explore a range of innovations, including:

- Franchise models with licensing agreements between lead firms and networks of smaller enterprises selling branded agricultural products (like agricultural inputs) and veterinary services to reach large numbers of underserved farmers;
- Customer-focused models that create loyal networks of customers by leveraging social capital and providing an array of services, including in-kind credit;
- Microfranchise models such as the Mercy Corps model employed by the Coca-Cola Foundation and implemented by Mercy Corps that assists young women by providing skills and Coca-Cola assets (like coolers and Coca-Cola branded materials) to start micro-businesses retailing Coca-Cola products. This can be a stepping stone to other value chain activities such as recycling bottles, packaging, or micro-distribution channels; and
- Challenge grants that provide support to startups, including training, business plan support, mentoring and financing.

The above range of innovations should stimulate diverse, non-farm, agriculture-related livelihood opportunities inclusive of youth, women, and vulnerable populations.

Half of women self-identify as farmers, although their participation rates and productivity levels are lower than men. Trade and processing are important sources of income and employment for a majority of women. Youth are a key target population for non-farm livelihood interventions. A Mercy Corps study recommended “helping youth ‘achieve their ambitions, starting with increasing their access to financial and business services’ to fulfill their desire to get ahead” as entrepreneurs. While push interventions focus on developing the capacities for young men and women to undertake market-oriented livelihood activities, these pull interventions will be key to identifying viable opportunities, and providing youth-friendly business and financial services needed to launch or expand a livelihood activity.

Performance Objective 2.3: Increase access to finance and financial services

Challenges and opportunities: Grants (see Section 9, Grant Facility) will be a critical tool for jump-starting new businesses or rehabilitating markets in this conflict-affected context. Even with a start-up grant, businesses will still need working capital for operations and financing for acquiring technologies, machinery, transport, and other capital equipment. They will need to be linked to a source of commercial finance, either during the grant phase or immediately afterwards. Access to financial services — including savings, loans, insurance, remittances, and other money transfer services — is critical not only to market systems development, but is also an important source of resilience for individuals and households.

Before the ongoing security crisis, populations in the Northeast had lower access to formal or informal financial services than other regions. Survey data show that financial exclusion rates in the Northeast are the highest in Nigeria, increasing between 2008 and 2014 from 59% to 68% (Table 1, Annex J). Among people who use bank services, a majority has saving accounts but very few use loan services. Debit cards are used by 76% of people with bank accounts, but very few people are even aware of mobile money (Table 2, Annex J). In general, financial literacy related to awareness and use of a range of financial services is low (Table 3, Annex J).

The RPBA makes clear that, while affected by the crisis, commercial banks and microfinance institutions do exist and are functional in the Northeast, especially in locations that are relatively safe. The challenge is to identify financial services tailored to the aspirations, capabilities and resources of populations affected by the crisis and how to increase access to financial services (1) for those whom are excluded, including those affected by the conflict but excluded prior to the crisis; (2) for youth, who are part of those excluded and may need youth-friendly and Islamic-compliant access to informal and formal financial services to fulfill their entrepreneurial aspirations; and (3) for market systems and livelihood development that spurs inclusive growth and leads to poverty reduction across the Northeast.

The Rural Resilience activity can use USAID's Development Credit Authority (DCA) as a tool for increasing access to credit. The DCA uses risk-sharing agreements with financial institutions to mobilize local private capital to fill financing gaps. While agriculture accounts for some 22% of Nigeria's GDP, the agricultural sector makes up less than 4% of the value of all loans from commercial banks. USAID manages loan portfolio guarantees for the agricultural sector with three local financial institutions (Ecobank, Union Bank, and Fortis Microfinance Bank) to catalyze access to agricultural finance. One additional guarantee with Ecobank to support renewable energy and energy efficiency lending can also be applied to the agricultural sector. Areas of priority lending include inputs (seeds, fertilizer, water, and irrigation), capital investments (tractors, machinery, and tools), production, aggregation, storage, processing, handling, transportation, and on-lending to microfinance institutions. The DCA partial guarantees support agricultural activities across targeted value chains (sorghum, rice, aquaculture, cocoa, soya, maize, and cassava) and seek to lower interest rates, extend loan tenors, and provide collateral substitutes. The implementing partner is free to leverage any of the banks with which USAID/Nigeria has DCA guarantees to help de-risk certain investments and to realize more favorable financing terms.

COMPONENT 2: Illustrative Outcomes

The illustrative outcomes listed below are meant to represent the types of systemic changes expected and tracked under pull interventions. See the Monitoring, Evaluation, and Learning section below regarding indicators and a methodology that can allow monitoring of progress towards expected changes.

- Emergence and expansion of smallholder-dominated supply chains that offer profitable opportunities to farmers and farmer groups (inclusive of youth and women) on a fair and transparent basis.

- Expansion and development of a number of businesses engaged in and profiting from market systems (upstream and downstream of selected value chains).
- Increased trust, reduced side selling, and expanded cooperation (willingness to buy in bulk or sell in bulk or abide by agreements) among market actors in horizontal (farmer groups, processor associations, etc) and in vertical linkages (between farmers, input suppliers, traders, aggregators and buyers) that build on and expand social capital.
- Expanded and inclusive (women and young people) access to formal and informal finance for business investment, working capital, leasing, and insurance.
- Expanded and inclusive (women and young people) access to business services and inputs leading to businesses being better managed and sustainable.
- Expansion of resilience capacities of market systems that enable them to better absorb, adapt, and transform in response to stresses and shocks.

COMPONENT 3: Build capacity to take advantage of market systems opportunities (push activities)

Push activities build the capacities of men and women to participate proactively and productively in markets for agricultural commodities, non-farm goods and services, and labor and jobs. The capacity of individuals and households to absorb, adapt, and transform in the face of shocks and stresses, and participate in markets is strongly influenced by a range of factors: gender, age, relative wealth and social status, and other socio-cultural issues. Social norms related to gender influence how women, men, and young people access resources and shape their incentives for market participation. In addition to livelihoods skills building, access to basic consumption support, health care, savings, and social capital promote resilience that mitigates the impact of shocks and stresses that can undermine or reverse the gains of economic activities. Although this activity will not directly provide the full range of resilience-promoting interventions (like consumption support), the layering component will work to ensure that vulnerable beneficiaries have access to a range of resilience-supporting approaches. These capacities can also serve to protect beneficiary economic gains in the face of shocks and stresses, and create sustainable pathways out of poverty and vulnerability.

COMPONENT 3 Performance Objectives include:

Performance Objective 3.1: Build the resources and capacities of individuals and households to engage in market systems.
Performance Objective 3.2: Equip individuals (especially youth and women) with skills and learning to prepare for participation in markets systems.

<u>Performance Objective 3.1: Build the resources and capacities of individuals and households to engage in market systems.</u>

Challenges and opportunities: The basic elements of a push approach should build upon humanitarian programs that strengthen the basic capacities of individuals and households through access to consumption support, health care, skills training, and productive assets. It is important to note that consumption support is the provision of food, whether through food aid, cash, or vouchers, which this Activity does not provide. This Activity is designed to work closely with and link to humanitarian efforts that help to provide support so that beneficiaries can shift their attention to economic activities rather than just feeding themselves.

Building on this base, training in sustainable farming practices, agribusiness, livelihood skills, entrepreneurship, and financial literacy can further strengthen the capacities of individuals and households to move into higher return livelihood activities. Limited access to financial services has been identified as a critical gap in the Northeast. As noted above, expanding financial inclusion and access to formal and informal financial services is key to fostering increased participation in market systems and livelihoods. Financial education builds capacities to effectively use financial services to meet basic needs, manage risk, and take advantage of investment opportunities in agriculture and related livelihood activities. Access to extension services builds the capacities of individuals, including women and youth in farm and nonfarm households, to improve productivity, adopt new technologies, and respond to new market opportunities. Women's empowerment is an important enabler for proactive and productive engagement in markets. Efforts to increase women's decision-making in production, control over income, access to financial resources and other assets, time use, and leadership roles has been shown to empower women in the marketplace as farmers, entrepreneurs, and employees (see Annex E). Recognizing the heterogeneity of individuals within households (such as men, women, and young people) and across households (farm, non-farm, distance from markets and services, household livelihood strategy or production system, and scale of enterprise) is critical in designing appropriate, accessible, and effective training, extension, and other capacity-building services.

<u>Performance Objective 3.2: Equip individuals (especially youth and women) with skills and learning to prepare for participation in markets systems</u>

Challenges and opportunities*:* Building the capacity and resources for young people to engage productively in markets and benefit from market participation is critically important to address the underlying causes of the conflict in the Northeast. It is equally important to harness the energy of youth for future peace, stability and social cohesion. While employment and vocational skills training programs can prepare youth for wage employment, workforce development and experiential learning interventions can also help youth to develop the knowledge, skills, aspirations, confidence, and readiness to work as entrepreneurs, business owners, or paid workers.

Integrating youth into market systems might involve transferring risks, for example, through the design of youth-friendly financial products and services, financial education, technical assistance, and mentoring for youth entrepreneurs, and information targeted to youth on markets, modern technologies, and innovation. Consulting with local leaders and Commissioners of Agriculture to encourage youth to gain access to land will be key to attracting them to farming. Other considerations in designing programming for youth in the Northeast include:

- Recognizing the heterogeneity of young people and the problems, needs, and opportunities of different groups;
- The history of young people who are displaced or have returned to their communities, including their mobility, stability, social connections, and relationships that are fundamental to the design of effective push interventions in the Northeast;

- The unique situations of ex-combatants in different re-integration strategies to maximize opportunities to engage economically and not be further disenfranchised. Any proposed intervention that would provide benefits to ex-combatants or other former affiliates of BH or ISIS-WA will face a higher level of scrutiny for risks of terrorist financing and must be specifically addressed in the analysis submitted pursuant to Section 6.2 - Target Population - above;
- The nature and extent of gender-based violence affecting both males and females;
- The importance of safe spaces for young women to learn and strengthen networks of social support with other young women;
- Creating youth-friendly venues where young people own and lead activities to create incentives for integration and empowerment; and
- A focus on preparing young men and women in the 15-19 and 20-25 age groups for roles in commercial agriculture or market-oriented livelihoods that will start the recovery process early.

These considerations in designing programming for youth in the Northeast should equip young men and women with the capacities (skills, aspirations, confidence, readiness, and experience) for productive and proactive participation in competitive market systems as farmers, non-farm entrepreneurs, service providers, and employees.

COMPONENT 3: Illustrative Outcomes

The illustrative outcomes listed below are meant to represent the types of systemic changes that might be expected and tracked through the collaborative learning component of the activity. Tracking these changes will require identifying indicators and a methodology that allows monitoring expected systemic changes related to the objective of sequencing, layering, and integrating. This set of systemic changes is only meant to be suggestive:

- Increased participation of young men and women in market systems as farmers, entrepreneurs, service providers, and employees.
- Movement of men, women, and youth from lower to higher return commercial agriculture and agribusiness.
- Strengthened skills that enable young men and women to take leadership roles in agriculture, agribusiness, and non-farm enterprises.
- Increased financial inclusion and financial literacy.
- Increased sources of resilience.
- Enhanced learning on successful strategies to expand economic opportunities for youth in conflict-affected settings.

COMPONENT 4: Sequencing, layering, and integrating (SLI); and collaborative learning to improve activity effectiveness, sustainability, and scale

The fluid situation in the Northeast poses a number of challenges for economic recovery. Security incidents occur on a regular basis, disrupting markets, displacing people, and isolating communities. This situation calls for economic recovery approaches that are flexible and include both short-term responses and long-term solutions. Moreover, the devastating impact of the insurgency calls for a holistic response that integrates humanitarian assistance, peace building, social cohesion, infrastructure rehabilitation, and social services. Push and pull approaches require careful alignment to create synergies between households and markets. The many actors working to rebuild peace and promote economic recovery in the Northeast — including donors, government, NGOs, community organizations, and private sector actors — pose challenges for coordinating and harmonizing efforts. The Activity will emphasize implementation approaches that support sequencing, layering, and integration of interventions; and collaborative learning for adaptive management.

ROLE OF GIS MAPPING IN SLI

GIS mapping can play a role in layering and integrating activities for a range of stakeholders by generating information about ongoing development activities and investments, or the status of markets, transport routes, conflict, and other factors affecting implementation strategies.

COMPONENT 4 Performance Objectives include:

Performance Objective 4.1. New investments that build resilience capacities and expand economic opportunities
Performance Objective 4.2. Improve understanding for building resilience and expanding economic opportunities

<u>Performance Objective 4.1. New investments that build resilience capacities and expand economic opportunities</u>

Challenges and opportunities: "Sequencing, layering and integrating" is an approach that has grown out of experience in other parts of Africa to improve the complementarity and impact of humanitarian and development assistance in crisis-affected regions. SLI can potentially address a number of programming challenges in the Northeast: 1) coordinating with the large number of donors and development partners supporting humanitarian and development programs; 2) advancing the multi-sectoral approach required by both resilience and market development programming; and 3) bringing together donors, private sector actors, and other stakeholders to pursue a market systems approach to economic recovery.

In the context of these challenges, SLI is designed to leverage and complement existing USAID and other donor and private-sector investments with strategic new investments to improve impacts. For example, the SLI approach could help to link humanitarian efforts that build capacities and extend the resources of affected populations with market-oriented economic recovery efforts. It could strategically support multi-sectoral efforts and advance the integration of push and pull interventions by aligning work across multiple IPs. Finally, SLI could guide efforts to promote a systems approach for promoting inclusive market development and sustainable livelihoods. Such a systems approach would aim to leverage the inter-connections across multiple value chains, the socio-cultural system, and local and national politics in an attempt to address the underlying causes of chronic poverty and vulnerability.

The Activity will establish new and/or strengthen existing platforms to facilitate sequencing, layering and integration of activities and interventions. Platforms for donors and implementing partners might focus on raising the awareness of how their respective objectives overlap, where their activities align, the timing of moving in and out of specific areas or interventions, and where there are opportunities for creating efficiencies in activity implementation and monitoring.

Such platforms could help to layer humanitarian and development programming and facilitate donor communication around market development issues. They could promote a common understanding of on-the-ground challenges and responses, and enable USAID and IPs to communicate with one voice to state and local governments. Finally, platforms for market system stakeholders can help align push and pull activities through joint work planning, or by co-locating activities and interventions at the household and market levels. Platforms provide a means for convening a range of private sector and other market system and value chain actors, enabling them to share information, build relationships, and forge partnerships. Proactively engaging women and youth in these platforms can bring them into decision processes and leadership roles.

<u>Performance Objective 4.2. Improve understanding for building resilience and expanding economic opportunities</u>

Challenges and opportunities: To date, there is limited experience and learning on what works and what does not in expanding economic opportunities and building resilience in the Northeast. Systematic learning must address not only about what is happening as a result of activity interventions, but also why in order to improve strategies, activities, and implementation processes. Learning can deepen our understanding of the relationship between market systems development and resilience at different levels, and help to unpack specific challenges for expanding economic opportunities related to conflict, displaced populations, climate variability, gender-based violence, and the integration of young men and women.

Two levels of learning could improve programming in the Northeast. The first could focus on iterative learning at the activity and intervention levels to generate real time information for use by activity managers. This learning can help activity managers and the IP to adapt and improve interventions on a timely basis by contributing to decisions about what should be continued, what should be dropped, what should be improved, or what new activities or interventions might be needed. Rolling work plans could support this process. Iterative learning could be applied not only to activity design, but also to implementation processes, including approaches to SLI that are critical for a holistic response to economic recovery.

A second level of learning could focus on validating or refining the Rural Resilience activity's Theory of Change and related development hypothesis. This process could involve collaboration by relevant stakeholders to bring together information from a range of primary and secondary sources like performance monitoring data, performance evaluations, action research, small studies and analyses, and direct on-the ground observation. Refining the Theory of Change and development hypothesis will not only strengthen future economic recovery interventions in the Northeast, but also contribute to a Theory of Change that brings market systems development, resilience, and conflict mitigation together in future USAID activities and interventions in fragile states.

Learning activities under this Performance Objective will be part and parcel of the MEL system and will build upon USAID's approach to Collaboration, Learning, and Adaptation (CLA). CLA emphasizes the use of information from a range of sources, and active engagement of USAID, implementing partners, and other relevant stakeholders. Feedback loops to USAID, IP managers, key market system actors, and stakeholder platforms will ensure that learning is collaborative and linked to adaptive management.

COMPONENT 4: Illustrative Outcomes

The illustrative outcomes listed below are meant to represent the processes, platforms, and outcomes expected and tracked:

- Improved coordination and complementarity of humanitarian, market development, and resilience programming across USAID offices.
- Improved complementarity of market development and livelihoods programming across donors.
- Joint efforts among USAID implementing partners increased.
- Platforms in place for collaboration, learning and SLI for the stakeholders of the Rural Resilience activity.
- Timely evidence base generated for addressing real-time problems facing the Rural Resilience activity in achieving its objectives, improving market systems approaches and refining the Theory of Change.

8. CROSS-CUTTING ELEMENTS

8.1 Gender and Youth: Social norms related to gender and age strongly influence the structure of opportunities in northeastern Nigeria. These norms not only influence how women, men, and young people access land, finance, natural resources, and assets; but also shape their relationships, behaviors, and incentives for market participation. Women face different risks and have a different base of assets and capacities to manage risks. Women's empowerment – measured in terms of decision-making in production, control over income, ability to access capital, leadership roles, and time use -- is a critical capacity to develop so they can better adapt to shocks and stresses, and access market opportunities. Understanding differences between males and females in the shocks and stresses they face, their role in households and communities, and their access to assets to manage risks and take advantage of opportunities is critical for building resilient pathways out of poverty and vulnerability.

Economically empowering youth is key to achieving economic recovery and address the underlying causes of the conflict in the Northeast. Youth need employment opportunities as an alternative to the pressures to join insurgent groups. Opportunities exist in leveraging the resources and demands of the private sector, and investments by donors and the GON to increase youth skills, especially sustainable agricultural practices, youth education, and access to sources of affordable finance. The design of successful youth integration strategies need to consider the evolving capacities and profound life-cycle events that youth face, and how these transitions vary across the targeted geographic, social, and economic groups.

8.2 Nutrition-sensitive agriculture: Dietary diversity reflects household access to a variety of foods to meet nutrient requirements and improve nutritional status. Vulnerable groups living in poverty often cannot access sufficient nutritious foods. Shocks that lead to severe food shortages and high food prices can quickly plunge already struggling families into destitution. Economic strengthening and livelihoods interventions (like employment generation, vocational training, and microfinance) that effectively target vulnerable populations can build their resilience to shocks, improve food security, and prevent spikes in malnutrition. As the causes of malnutrition are diverse, economic strengthening alone is insufficient to address this issue. Economic and livelihoods interventions must be layered with nutrition, WASH messaging, and other interventions in order to address the multiple drivers of malnutrition.

Nutrition-sensitive agriculture seeks to maximize agriculture's contribution to nutrition. It stresses the multiple benefits derived from enjoying a variety of foods, recognizing the nutritional value of food for good nutrition, health and productivity, and the social significance of the food and agricultural sector for supporting rural livelihoods. Nutrition-sensitive agriculture also entails targeting poor households, promoting gender equity, and providing nutrition education so that household resources are used to improve household members' nutrition, especially that of women and young children. Finally, it involves linking agriculture to sectors that address other causes of malnutrition, namely education, health and social protection.

USAID/Nigeria recently funded a study on the drivers of malnutrition in Nigeria. The Activity will make reference to the report of this study in designing appropriate nutrition-sensitive interventions that will ensure that targeted households have access to sustainable and diverse nutritious food production and consumption all year round.

8.3 Natural resource management: The primary natural resource-related shocks to livelihoods in northeast Nigeria are droughts or floods, depending on the livelihood zone. The natural environment is fragile and has been increasingly degraded, especially in the area immediately surrounding the Lake Chad Basin. This fragility undermines food security and contributes to out-migration. One of the largest water bodies on the continent, water levels in Lake Chad have dramatically decreased since the 1960s. Although exacerbated by climate and weather variability, much of this loss has been driven by unsustainable water withdrawals and poor natural resource management practices. For herders and pastoralists, the scarcity of surface water has added to the difficulties of watering animals, causing them to encroach on land traditionally used for farming. Meanwhile, cultivation has expanded into areas previously used for grazing, encouraging overgrazing in the remaining available pastures.

Previous expansion of irrigated crop production has contributed to the lowering of the water table in some areas. The reduction in the size of Lake Chad, and associated reductions in water-flow have had considerable negative impacts on small-scale fishing throughout the Basin. More than half of the wetlands have been lost due to drought and upstream dams along the Hadejia and Jama'are Rivers, which meet to form the Komadougou River, and flow through Bauchi, Jigawa, Kano, and Yobe States.

Taken together, these conditions have the potential to exacerbate existing social tensions related to the environment and natural resources, or create new ones. Understanding the connections between the environment and the well-being of communities within these landscapes is critical to strengthening resilience to shocks and stresses.

8.4 Social capital, social cohesion, aspiration, and empowerment: The relationship between the social, physical, and economic impacts of the ongoing humanitarian crisis requires an integrated approach to addressing them. A far-reaching effect of the precipitating conflict is on the social fabric. It has been deeply damaged, eroding social relations between citizens and government, ethnic groups, communities, and even among members of extended families.

Divisions have emerged that have altered the social, gender, and demographic order in households and communities, giving place to new grievances. Restoring social cohesion and trust is the most critical precondition for recovery and peace-building, and is perhaps the most challenging.

All recovery and peacebuilding actions should carefully assess and account for their impact on social cohesion and trust. While economic recovery can help to restore social cohesion and citizen trust, deliberate efforts are needed to strengthen social capital, social cohesion, aspirations, and empowerment. Such efforts might involve participatory and inclusive decision-making and intervention design, interventions that address young men's and women's needs and concerns, intergenerational dialogue, and youth participation in local and national governance processes and policy-making. Heightened efforts are needed to engage stakeholders, including political and traditional leaders, who are key in ensuring inclusive, responsive, and accountable local governance that represents the needs and aspirations of people who have been scattered across large areas.

9. THE GRANT FACILITY

The objective of the Grant Facility is to catalyze new investment in viable economic opportunities (market systems, livelihoods, agribusiness, and employment) through grants that stimulate, rather than distort market development and avoid exacerbating conflict dynamics. It is incumbent on the implementing partner to document how it will ensure that the administration of this Grant facility do not undermine, but rather support the financial and market systems in the region. The implementing partner will also articulate succinctly, how the design of the Grant Facility fits into the four components of this Activity described above.

Challenges and opportunities. The Northeast has suffered both from the insurgency and a lack of investment over many years. As a result, the private sector, infrastructure, and public and private services have been woefully underdeveloped, and the public has little trust in these institutions to provide necessary services. A grant facility is envisioned to jump-start (through co-financing) and catalyze investment in market systems and non-farm livelihood development. Co-investment can be particularly important where business relationships and key functions in a value chain have been damaged or disrupted.

Grants of different sizes can serve to catalyze new business opportunities for larger businesses with supply chains dominated by small-scale producers. They might also enable medium-scale entrepreneurs to expand sales of products and services that support agricultural market systems and link to small-scale suppliers. For small-scale entrepreneurs (like micro-enterprise input suppliers, processors, retailers, and traders), they might strengthen their capacity to supply larger entrepreneurs or sell profitability into local markets. Grants could also be used to foster the adoption of new technologies, practices, or business models by building skills and buying down the risks of adoption. Seed grants might enhance access to the equipment, services, trade fairs, and knowledge needed to effectively compete in markets. They could be used to strengthen individual, household, and community capacity for growth. Where relevant and feasible, grants could be used to strengthen existing digital tools and technologies, including mobile money and other digital financial services, in order to reduce transaction costs and ease the sharing of information, payments, products, and services between value chain actors. Grants will be given on a cost-share basis and given with the intention to demonstrate results. Grants could be used to create incentives for private entrepreneurs to adopt innovations or to employ youth and women.

Another approach might be matching grants, provided to communities or groups, which can accelerate both public and private investment in critical community assets and infrastructure (e.g. water, storage, irrigation, feeder roads, and markets). Matching grants might:

- Leverage state or LGA funding for capital investments that support agricultural market systems.
- Improve access, including by women and youth, to improved technologies, mechanization services, agro-processing equipment, and small-scale irrigation.
- Strengthen local systems to improve the quality of and access to veterinary services or agronomic and extension services.
- Enable and incentivize community solutions to infrastructure and access constraints.

The grant mechanism(s) can also be important to learning about how to effectively invest in economic recovery through market systems and livelihood development. While ensuring the effective use of grants will be key, grant management is equally important. The implementing partner will administer and manage a grant-making facility on behalf of USAID/Nigeria to qualifying awardees. This grant administration will entail direct outreach to potential partners to explain the program, issuing grant solicitations, reviewing and pre-screening proposals, awarding grants, monitoring and evaluating recipient performance, and closing out grants. These actions will be undertaken in consultation with and approval from the Agreement Officer, through the Agreement Officer's Representative. Recipients must be chosen through a competitive process.

The implementing partner will provide tailored technical assistance to support grantee activities. This technical assistance component can take many creative and innovative forms, with the goal of advancing USAID's agenda, and achieving activity milestones and targets. Technical assistance is envisioned to support partners to develop grant application materials, in monitoring and evaluation, in supporting access to financial services, and in institutional capacity building to support management of public funds as appropriate. The Activity will also provide a clear strategy to sustain individual projects beyond the cessation of USAID funding. The total grant facility will not exceed $6 million.

Grant Facility: Expected Outcomes:

Grants will be effectively used to:

- Foster startup businesses that contribute to market systems development.
- Address disruptions in linkages between farmers or entrepreneurs and markets, input suppliers, service providers, and other suppliers.
- Incentivize private sector engagement.
- Expand hectares of high-potential crops cultivated in insurgency-affected areas.
- Catalyze adoption of new technologies, practices, and innovative business models.
- Increase inclusion of women and youth in agribusiness and income generation activities.

10. MONITORING, EVALUATION AND LEARNING (MEL)

The approach to monitoring, evaluation, and learning (MEL) will include functions to enable required reporting to USAID, to monitor progress in achieving outcomes and targets, and to ensure the use of monitoring and evaluation information for the adaptive management of activity interventions. The approach will further address the extent to which (and how) the Rural Resilience activity contributes to strengthening transformative changes in market systems; and the resilience of people, households, and communities in complex risk environments.

Monitoring and measuring change in market systems will be informed by frameworks and tools developed in recent years by USAID's Leveraging Economic Activities, the Donor Committee for Enterprise Development, and the Building Effective and Accessible Markets Exchange. Resilience measurement will be informed by state of the art approaches that measure resilience capacities in relation to shock and stresses, and gauge the degree to which they mitigate and moderate the impact of shocks and stresses on a variety of well-being outcomes.

USAID's CLA approach will be used to deliberately engage stakeholders within and beyond USAID in shared learning processes. The results of this learning can guide programming adjustments and identify interventions that are most effective in building resilience capacities and creating pathways out of poverty in the Northeast. While questions will emerge through implementation, possible areas of learning might include effective strategies for: developing competitive and resilient market systems in conflict-affected contexts, for ensuring that inclusive market systems benefit displaced, resettled, and returnee populations; promoting livelihood diversification as a pathway to economic recovery, especially for women; advancing youth economic empowerment and youth-led programming in conflict-affected areas; and increasing financial inclusion, especially for women and young people, to reduce vulnerability, support pathways out of poverty, and promote value chain growth and competitiveness. To improve programming over time, the approach to MEL should consider validating or refining the theory of change and testing the development hypotheses. It should also aim to understand the extent to which USAID interventions are contributing to changes in market systems in fragile, conflict affected areas and enabling households to escape poverty and chronic vulnerability. Combining monitoring and evaluation data with focused learning activities can help to broaden our understanding of these bigger questions.

Draft MEL Plan: The Applicant's submission should include a draft MEL plan that identifies key indicators to track the performance of the Rural Resilience activity in achieving outcomes related to Components 1, 2, 3, and 4 and their contribution to the higher-level results of USAID/Nigeria's FTF initiative. The plan should give particular attention to incorporating indicators to measure the economic empowerment of women and young people; and disaggregate data by sex, age, and status of displacement (in host communities, informal or camp settlements, or returnees).

The draft MEL plan should include:
a) Proposed performance monitoring indicators;
b) A proposed strategy for measuring the systemic changes articulated in the theory of change and in component outcomes;
c) A proposed strategy for collecting, analyzing, and reporting data;

d) A proposed approach to harmonizing USAID monitoring activities;
e) A proposed approach to building upon available data sets;
f) A proposed strategy for integration of climate risk mitigation;
g) A proposed approach to coordinating with an external impact evaluation; and
h) Proposed feedback loops to USAID.

Baseline survey: In order to set realistic targets and evaluate the overall effectiveness of USAID/Nigeria's support to this Award, the draft MEL plan should include plans for conducting a baseline and endline survey. The baseline survey should include conflict dynamics and commence no later than three months after the award, and the endline survey should commence three months prior to the end of the award.

Performance evaluation: The Mission will support an outside entity to conduct a mid-term performance evaluation approximately 30 months after the award and a final performance evaluation near the end of the award. Performance evaluation will be necessary to measure progress over time, verify the development hypothesis, and inform programming.

Impact evaluation: USAID will lead planning for and undertaking external impact evaluation work. This work will be conducted in consultation with the successful implementing partner to ensure a sound design that aligns with the Awardee's implementation plan and contributes to improved impact on development objectives and on conflict dynamics, where possible.

The impact evaluation will measure the change in a development outcome that is attributable to a defined intervention and will require a credible and rigorously defined counterfactual to control for factors other than the intervention that might account for the observed change. Thus, the impact evaluation will be designed to include randomization of participants, households, and/or communities into either ―treatment or ―control groups.

The purpose of the impact evaluation will be primarily to learn more about the effectiveness of various components of the Activity approach and also to measure the change in outcomes that are attributable to it. Potential questions the evaluation will aim to answer will be discussed and mutually agreed upon by the implementing partner and USAID/Nigeria, and will be based on the Feed the Future learning agenda.

As mentioned above, the successful Applicant's completed MEL plan should include a strategy for coordinating activities to support the external evaluation activities.

Indicators: Required FTF and Resilience indicators will be decided upon in consultation with USAID/Nigeria during the work planning stage when the Activity MEL Plan is finalized. Applicants should propose the indicators and illustrative targets (where possible) that they will use to track accomplishments against goals and objectives of their submission (see below for examples of illustrative indicators). The standard indicators provided below are illustrative and intended to point to measurable, tangible outputs and outcomes that the Activity will be accountable to monitor and seek to improve. The FTF standard indicators do not address high-level, impact metrics, and indicators surrounding resilience are still under development. Custom indicators may be used for this purpose. Applicant should link all the indicators to the Activity purpose and components. All indicators will be disaggregated by sex and by age, wherever applicable.

Illustrative FTF indicators (to be determined at the work plan stage)

Illustrative FTF indicators contributing to the goal and purpose

1. Wealth Asset Index Score (GFSS objectives 1 and 2): Target - To be determined (TBD).
2. Prevalence of poverty: Percent people living on less than \$1.90/day PPPL Target - 50 percent decrease over baseline figure.
3. Depth of poverty: Depth of Poverty: Mean percent shortfall relative to the \$1.90/day 2011 PPP poverty line: Target - 50 percent decrease over baseline figure.

Illustrative FTF indicators contributing to components 1, 2, 3, and 4

4. Number of households benefiting directly from USG assistance (EG.3-1): Target - At least 60,000.
5. Value of small-holder incremental sales generated with USG assistance (EG 3.2 19): Target - At least 40 percent increase over baseline figure.
6. Number of full-time equivalent (FTE) jobs created with USG assistance (EG.3-9): Target - 25,000
7. Percentage of citizens in targeted local government units who feel that local government is competently addressing concerns (disaggregated by sex, if possible): Target - TBD.

Illustrative FTF indicators contributing to component 1

8. Number of children under 5 (0-59 months) reached with nutrition-specific interventions through USG assistance (HL.9-1): Target - 120,000.
9. Number of children under 2 (0-23 months) reached with community-level nutrition interventions through USG assistance (HL.9-2): Target - 75,000.

Illustrative FTF indicators contributing to component 2

10. Number of MSMEs including farmers receiving agricultural-related credit as a result of USG assistance (EG.3.2-3): Target - TBD.
11. Value of agricultural loans as a result of USG assistance (EG.3.2-6): Target - TBD.
12. Total quantity of targeted nutrient-rich value chain commodities produced by direct beneficiaries with USG assistance that is set aside for home consumption (EG.3.3-11): Target - TBD.
13. Number of people supported by USG to adapt to the effects of climate change (EG.11-5): Target - 60,000.
14. Number of people using climate information or implementing risk-reducing actions to improve resilience to climate change as supported by USG assistance (EG.11-6): Target - 30,000.
15. Proportion of households participating in group-based savings, micro-finance or lending programs with USG assistance: Target - At least 60,000.

<u>Illustrative FTF indicators contributing to component 3</u>

16. Number of farmers and others who have applied improved technologies or management practices with USG assistance (EG.3.2-17): Target - At least 50,000.
17. Number of hectares of land under improved management practices or technologies that promote improved climate risk reduction and /or natural resources management with USG assistance (EG.3.2-17): Target - TBD.
18. Yield of targeted agricultural commodity among program participants with USG assistance: Target: TBD.
19. Proportion of households with the perceived ability to successfully manage and cope through future shocks and stresses (GFSS Objective 2): Target - At least 60 percent of households.
20. Percentage of female participants in USG-assisted programs designed to increase access to productive economic resources: Target - At least 50 percent of female household members.
21. Percentage of participants in USG-assisted programs designed to increase access to productive economic resources who are youths (15-29): Target - At least 50 percent of household members who are youth.

<u>Illustrative FTF indicators contributing to component 4</u>

22. Number of firms receiving USG assistance for improving business performance (EG.5.2-1): Target - TBD.
23. Number of for-profit private enterprises, producers organizations, water users associations, women's groups, trade and business associations and community-based organizations (CBOs) that applied improved organization-level technologies or management practices with USG assistance (EG.3.2-20): Target - TBD.
24. Number of people trained in climate change adaptation supported by USG assistance (EG.11-1): Target - At least 60,000
25. Value of new private sector capital investment leveraged by the USG to support food security and nutrition (EG.3.2-22): Target - TBD.

[END SECTION A]

SECTION B – FEDERAL AWARD INFORMATION

1. ESTIMATE OF FUNDS AVAILABLE AND NUMBER OF AWARDS CONTEMPLATED

USAID intends to award a single Cooperative Agreement pursuant to this notice of funding opportunity. Subject to funding availability and at the discretion of the Agency, USAID intends to provide **$30 million** in total USAID funding over a five-year period.

2. START DATE AND PERIOD OF PERFORMANCE FOR FEDERAL AWARDS

The anticipated period of performance is five (5) years. The estimated start date will be on or about the date the award is signed.

3. SUBSTANTIAL INVOLVEMENT

Award under this NOFO will be a Cooperative Agreement. Potential applicants should note that USAID policy prohibits the payment of fee/profit to the recipients under assistance instruments.

Consistent with ADS 303.3.11, USAID/Nigeria will be substantially involved in the implementation of the Feed-the-Future Nigeria Rural Resilience activity. 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. The Agreement Officer may delegate the following approvals to the AOR:

(a) Approval of the Recipient's Implementation Plan

USAID will approve annual work plans and the life-of-project exit strategy, and any subsequent revisions. If the AO has delegated authority to the AOR to approve implementation plans, the AOR must review the agreement's terms and conditions to ensure that changes to the terms and conditions are not inadvertently approved by the AOR.

(b) Approval of Specified Key Personnel

USAID may designate as key personnel only those positions that are essential to the successful implementation of the Recipient's program. USAID's policy limits this to a reasonable number of positions, generally no more than five positions or five percent of Recipient employees working under the award, whichever is greater.

(c) Agency and Recipient Collaboration or Joint Participation

When the Recipient's successful accomplishment of program objectives would benefit from USAID's technical knowledge, the AO may authorize the collaboration or joint participation of USAID and the Recipient on the program. There should be sufficient reason for Agency involvement and the involvement should be specifically tailored to support identified elements in the program description. When these conditions are met, the AO may include appropriate levels of substantial involvement such as the following:

i. Collaborative involvement in selection of advisory committee members, if the program will establish an advisory committee that provides advice to the Recipient. USAID may participate as a member of this committee as well. Advisory committees must only deal with programmatic or technical issues and not routine administrative matters.

ii. Concurrence on the substantive provisions of sub-awards. 2 CFR 200.308 already requires the Recipient to obtain the AO's prior approval for the sub-award, transfer, or contracting out of any work under an award. This is generally limited to approving work by a third party under the agreement. If USAID wishes to reserve any further approval rights for sub-awards or contracts, it must clearly spell out such Agency involvement in the substantial involvement provision of the agreement.

iii. Approval of the Recipient's Activity Monitoring, Evaluation, and Learning (MEL) Plan.

iv. Monitor to authorize specified kinds of direction or redirection because of interrelationships with other projects. All such activities must be included in the program description, negotiated in the budget, and made a part of the award.

(d) Agency Authority to Immediately Halt a Construction Activity

The AO may immediately halt a construction activity if identified specifications are not met. In such cases, the AO will attach the identified specifications to the award when it is being executed. Any material changes to the specifications must be treated as an amendment to the award.

An award shall be made only when the Agreement Officer makes a positive determination that the Applicant possesses, or has the ability to obtain, the necessary management competence in planning and carrying out assistance programs and that it will practice mutually agreed upon methods of accountability for funds and other assets provided by USAID. For organizations that are new to USAID, or organizations with outstanding audit findings, it may be necessary to perform a pre-award survey in accordance with ADS 303.3.9 and ADS 591.3.4.2.

4. AUTHORIZED GEOGRAPHIC CODE

The authorized USAID Principal Geographic Code for the procurement of commodities and services under this award is 937, defined as the United States, the recipient country, and developing countries other than advanced developing countries, but excluding any country that is a prohibited source. Procurement of vehicles and pharmaceuticals and other restricted commodities are subject to the limitations in 22 CFR 228, ADS 312, and ADS 310 and may require a waiver or Agreement Officer's approval.

For accurate identification of prohibited sources, please refer to 22 CFR 228 and Automated Directive System (ADS) 310 entitled "Source and Nationality Requirements for Procurement of Commodities and Services Financed by USAID.

5. NATURE OF THE RELATIONSHIP BETWEEN USAID AND THE RECIPIENT

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

6. TITLE TO PROPERTY

Property title under the resultant agreement(s) will vest with the Recipient in accordance with the requirements of 2 CFR 200.313, or with the Cooperating Country consistent with Required as Applicable Standard Provisions contained in the award.

[END SECTION B]

SECTION C: ELIGIBILITY INFORMATION

1. ELIGIBLE APPLICANTS

Eligibility for this NOFO is not restricted however, local organizations are encouraged to apply and international organizations are encouraged to seek local partners.

Qualified U.S. and non-U.S. organizations (other than those from foreign policy restricted countries) are eligible to apply under this NOFO. Potential for-profit Applicants should note that, in accordance with 2 CFR 200.400(g), profit, which is any amount in excess of allowable direct and indirect costs, is not an allowable cost for Recipients of USAID assistance awards, and cannot be part of the activity budget. However, the prohibition against profit does not apply to procurement contracts made under the assistance instrument when the Recipient procures goods and services in accordance with the Procurement Standards found in 2 CFR 200.317 to 326.

USAID welcomes applications from organizations which have not previously received financial assistance from USAID.

Applicants must have established financial management, monitoring and evaluation processes, internal control systems, and policies and procedures that comply with established U.S. Government standards, laws, and regulations. The successful Applicant(s) will be subject to a responsibility determination assessment (possibly including a pre-award survey) by the Agreement Officer (AO).

The Recipient must be a responsible entity. The AO may determine a pre-award survey is required to conduct an examination that will determine whether the prospective Recipient has the necessary organization, experience, accounting and operational controls, and technical skills – or ability to obtain them – in order to achieve the objectives of the program and comply with the terms and conditions of the award.

2. COST SHARING OR MATCHING

No cost-sharing (matching) is required hereunder.

3. OTHER ELIGIBILITY CRITERIA

Application must respond directly to the terms, conditions, and provisions of this NOFO (including all portions of the program description).

All applications received by the deadline will be reviewed for responsiveness and programmatic merit in accordance with the specifications outlined in Section D below. Applications should respond directly to the terms, conditions, specifications and provisions of this NOFO (including all portions of the program description). Applications that do not meet the requirements of this NOFO will not be considered for award.

[END SECTION C]

SECTION D: APPLICATION AND SUBMISSION INFORMATION

1. USAID/NIGERIA POINT OF CONTACT

Name: Chitahka Floore
Title: Agreement Officer
Email: abujasolicitations@usaid.gov
Mail Address: N/A

2. Questions and Answers

Questions regarding this NOFO should be submitted in writing to abujasolicitations@usaid.gov no later than the date and time indicated on the cover letter. Any information given to a prospective applicant concerning this NOFO will be furnished promptly to all other prospective applicants as an amendment to this NOFO, if that information is necessary in submitting applications or if the lack of it would be prejudicial to any other prospective applicant.

3. General Content and Form of Application

Preparation of Applications:

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

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

- Name of the organization(s) submitting the application;
- Identification and signature of the primary contact person (by name, title, organization, mailing address, telephone number and email address) and the identification of the alternate contact person (by name, title, organization, mailing address, telephone number and email address);
- Program name
- Notice of Funding Opportunity number
- Name of any proposed sub-recipients or partnerships (identify if any of the organizations are local organizations, per USAID's definition of 'local entity' under ADS 303.

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

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

Applications must comply with the following:

- USAID will not review any pages in excess of the 20-page limit noted in the subsequent sections. Please ensure that applications comply with the page limitations.
- The applications must be written in English language.
- Use standard 8 ½" x 11", single sided, single-spaced, 12 point Times New Roman font, 1" margins, left justification and headers and/or footers on each page including consecutive page numbers, date of submission, and applicant's name.
- 10 point font can be used for graphs and charts. Tables however, must comply with the 12 point Times New Roman requirement.
- Submitted via Microsoft Word or PDF formats, except budget files which must be submitted in Microsoft Excel.
- The estimated start date identified in Section B of this NOFO must be used in the cost application.
- The technical application must be searchable and editable Word or PDF format as appropriate.
- The Cover letter, Cover page, Tabs/dividers, Table of Contents, Acronym list, Executive Summary, and Attachment do not count against the 20-page limitation. Any page in the technical application that contains a table, chart, or graph, not otherwise excluded above, is subject to the page limitation.
- All information from appendices must be referenced in the technical application and summarized and included in the attached section. All critical information from appendices/attachment clearly identified and summarized in the technical application will be evaluated as part of the basis of award.
- Additional documentation beyond the 20-page limit and the referenced attachments will not be read or evaluated by USAID.
- Budget Narrative: Accompanying budget notes/narrative must explain the basis of all unit costs in each line item. The explanation must identify the factors upon which each estimate is based and show the arithmetic in reaching the cost figure.
- The Cost Schedule must include an Excel spreadsheet with all cells unlocked and no hidden formulas or sheets. A PDF version of the Excel spreadsheet may be submitted in addition to the Excel version at the applicant's discretion, however, the official cost application submission is the unlocked Excel version.

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

4. Application Submission Procedures

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

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

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

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

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

There may be a problem with the receipt of *.zip files due to anti-virus software. Therefore, applicants are discouraged from sending files in this format as USAID/Nigeria cannot guarantee their acceptance by the internet server. File size must not exceed 10MB in total file/data size per email.

Uploading to Grants.gov:

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

5. Technical Application Format

The technical application should clearly and concisely outline how the Applicant proposes to achieve the activity purpose to sustainably move people out of chronic vulnerability and poverty through engagement in economic activities and strengthened resilience capacities. It must also describe the Applicant's proposed outcomes under each Component, including cross-cutting priorities. The application must include a Results Framework[1] (based on the Theory of Change). The application must include a detailed description of the management approach for implementing the proposed activity, including a description of the composition and organizational structure of the entire implementation team (including home office support); and describing each team member's role and level of effort.

Unnecessarily elaborate brochures or other presentations beyond those sufficient to present a complete and effective application in response to this NOFO are not desired and may be construed as an indication of the Applicant's lack of cost consciousness. Elaborate art work and expensive visual or other presentation aids are neither necessary nor wanted.

The format and presentation of technical approach is below:

- (a) Cover Page;
- (b) Table of Contents;
- (c) Executive Summary;
- (d) Technical Approach;
- (e) Key Personnel, Staffing Plan, and Management Plan;
- (f) Institutional Capacity and Experience;
- (g) Security Operational Plan; and,
- (h) Attachments:
  - Draft Environmental Mitigation and Monitoring Plan;
  - Draft Activity Monitoring, Evaluation and Learning (MEL) Plan;
  - Organizational Chart(s);
  - Staffing Plan Skills Matrix;
  - Key Personnel Position Descriptions;
  - Key Personnel CV/Resumes; and
  - Past Performance Information.

a. Cover Page (does not count against 20-page limit)

Include the Applicant's name submitting the application and the organization's DUNS number. Major sub-awardees (hereafter referred to as "subs") must be clearly identified, along with their DUNS numbers; major subs are defined as those expected to perform at least 20 percent of the Applicant's total proposed budget, or a prominent part of the technical effort. Include a contact person for the application, including his/her name (both typed and signed), title or position with the organization, address, telephone, and email address. Also state whether the contact person is

[1] The M&E Plan should align with the Results Framework

the authorized representative with authority to negotiate the award, and if not, that person should also be clearly identified. (See Section D.3 above for more requirements).

b. **Table of Contents (does not count against the 20-page limit)**

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

c. **Executive Summary (not to exceed two pages, does not count against the 20-page limit)**

Executive Summary: Briefly describe the proposed technical approach, key personnel and staffing and management plan for how the Activity will be implemented, organized, and managed to achieve purpose and sub-purpose expected outcomes.

d. **Technical Approach - [See Section E.2.a.1]**

Technical Approach must:

- Succinctly describe the Theory of Change that underlies the Applicant's technical approach, and how the proposed approach, activities, and outputs will lead to the proposed outcomes (under each Component).
- Address the issues detailed under Section A - Program Description.
- Include a plan for how to effectively use grants to achieve the higher-level purpose and proposed outcomes.
- Include a narrative related to the MEL plan that shows a clear results framework, proposed indicators and life of activity targets, and detail how they will achieve the activity's expected outcomes. The draft MEL plan shall detail the planned collection, use and visualization of GIS information, and GIS tools/applications for monitoring and communication of results. The draft MEL plan shall demonstrate how such geographically-explicit indicators will be used to analyze activity performance and inform management decisions.
- Describe the technical and managerial resources of the applicant's organization that will be brought to bear in implementing this activity.
- Describe how the overall activity will be managed, including the roles of key and non-key personnel.

e. Key Personnel, Staffing Plan, and Management Plan - [See Section E.2.a.2.]

1. Key Personnel:

The applicant must propose Key Personnel who possess the required qualifications and have the knowledge, skills, and experience required to achieve the program results. ***The five Key Personnel positions consist of a*** **Chief of Party, a Deputy Chief of Party, a Market Systems and Livelihood Specialist, a Financial Services Specialist; and an M&E Manager.**

These positions are considered essential to the work being performed due to their skills and position within the Rural Resilience activity implementation team. Once included in a signed award, Key Personnel may not be replaced by the Recipient without the written approval of the

Agreement Officer. The Recipient must recruit and establish a team of experts and support staff to develop and implement the Activity and to manage its central and local elements including short-term consulting and coordination with stakeholders and partners. Applicants must include as attachments, Position Descriptions, CV/Resumes and letters of commitments for each proposed key personnel. These attachments are not included in the page limitation.

Chief of Party must have the following skills and experience:

- Master's degree or higher in agriculture, economics, or business administration;
- A minimum of ten (10) years of significant international experience and of being a Chief of Party in managing large (preferably $15 million and above) livelihood, agricultural development activities, with knowledge of resilience programming and the African context preferred;
- At least five years of field-based work in a conflict-prone and/or active insurgency environment;
- Demonstrated ability to be collaborative across activities while utilizing strong communication and interpersonal skills, with evidence of the ability to productively interact with a wide range and levels of organizations (government, private sector, other activities, NGOs);
- Demonstrated capacity to manage complex teams, including problem solving skills, and capacity to meet deadlines and deliver quality deliverables to meet objectives; and
- Very strong written and verbal communication skills (proficiency in English).

Deputy Chief of Party must have the following skills and experience:

- Master's degree or higher in agriculture, economics, or business administration;
- Demonstrated expertise and a minimum of five (5) years of Deputy Chief of Party experience in managing large to medium (preferably $10 million and above) livelihood, agricultural development activities with knowledge of resilience programming and the African context preferred;
- At least three (3) years of field-based work in a conflict-prone and/or active insurgency environment;
- Strong technical experience in market system approach to development;
- Demonstrated ability to be collaborative across activities utilizing strong communication and interpersonal skills, with evidence of the ability to productively interact with a wide range and levels of organizations (government, private sector, other activities, NGOs); and
- Strong written and verbal communication skills (proficiency in English).

Market Systems and Livelihood Specialist must have the following skills and experience:

- Master's degree in agriculture, economics, or business administration;
- Minimum of five (5) years of demonstrated experience with USG or other similar development projects focused on market systems and livelihood development, preferably with an understanding of the Nigerian context including gender and youth issues;
- Spoken and written proficiency in English; and
- Demonstrated ability to work and coordinate effectively with a wide variety of stakeholders, including national and local government, donors, community-based organizations, and the private sector;
- Strong technical experience in market system approach to development.

Financial Services Specialist must have the following skills and experience:

- Master's degree or higher in finance, accounting, economics, or business administration;
- Minimum of (5) years of demonstrated experience with USG or other similar development projects focused on financial services, including credit, savings, insurance, payment systems, and remittance services, preferably with an understanding of the formal and informal financial services context in Nigeria;
- Spoken and written proficiency in English;
- Demonstrated ability to work and coordinate effectively with a wide variety of stakeholders, including national and local government, donors, cooperatives, community-based organizations, and the private sector; and
- A combination of technical expertise and management skills that spans the subject areas covered by the Activity.

M&E Manager must have the following skills and experience:

- Master's degree or higher in Monitoring and Evaluation, Agriculture, Statistics, Economics, or Business Administration;
- A minimum of five (5) years of demonstrated experience in managing performance monitoring plans, evaluation, collaboration, learning, and adapting (CLA) approach (preferably with knowledge of USAID's CLA approach), and an understanding of agriculture production, market systems and livelihood programming; and
- At least (5) years of practical experience in using monitoring, evaluation and learning activities to inform activity implementation and results.

2. **Staffing plan.** Long-term personnel are to have the requisite skill set to: (1) implement the innovative approach called for in the Program Description, (2) achieve sustainable results, and (3) coordinate and cooperate with complementary USAID-funded and development partners and GON activities. This skill set must include, but not be limited to:

- Skills in resilience programming and strategies for developing household and market-systems resilience.
- Skills in livelihood promotion focused on human and social capital, but also including aspirations for improving livelihood prospects and the confidence to take on prudent risks to achieve improved livelihoods.
- Expertise in promoting financial services for the poor, including savings, credit, insurance, e-payments, and new product development tailored to the needs of vulnerable populations.
- Expertise in crop and livestock market systems facilitation approaches, including input supply, output markets, and other supporting services (such as veterinarian services and aggregating services, among others).
- Skills in developing local systems that will strengthen livelihoods over time.
- Skills in risk management approaches, including risk transfer (especially covariant risks), and in developing capacities for resilience.
- Expertise in programming that enables the inclusion of women, men, and youth in livelihood and market systems development.
- Collaborative learning and adaptive management, including but not limited to collaboration and coordination with other FTF activities.
- Skills related to workforce development.

- Skills in managing grants to strengthen livelihood opportunities (including on-farm, off-farm, and employment) and increase household income of vulnerable households (including among females, males, and youth).
- Skills in nutrition-sensitive approaches and building partnerships linking livelihoods and nutrition-related themes.
- Skills in promoting natural resource management[2] in the context of northeast Nigeria.
- Skills in developing markets and programming livelihood interventions in conflict-affected settings.

Applicants must attach to their applications, a Staffing Plan Skills Matrix and Organizational Chart. These attachments are not included in the page limitations.

The Staffing Plan and organizational chart for the Activity must include a description of (1) the primary responsibilities of each staff person that will play a major role in the Activity, (2) the authorities that will be delegated to the Chief of Party and the Activity team from the home office of the Applicant (if any), and (3) how the home office of the Applicant will support the in-country staff and Chief of Party. The Staffing Plan and organizational chart must relate directly to the strategies, activities and approaches described in the technical approach of the application, and will include long-term personnel, short-term advisors, and administrative and support staff for the local office, any sub-offices envisioned, and the headquarters office (if applicable). The proposed technical team, management, and support staff must be adequate in number and have the necessary skills and knowledge to achieve results fully with a high level of quality within the contractual time requirements. As the Activity will be implemented in the four northeastern states, Activity offices and personnel shall be located within the four states, which should be reflected in the Staffing Plan and Organizational Chart.

The Applicant must demonstrate how the entire team meets the technical priorities laid out in the Program Description and the skill set described above for long-term personnel. As part of the staffing plan, Applicants are to identify the position titles within the organization chart. Long-term staff with previous regional and Nigerian experience is an added advantage. As part of the staffing plan, the Applicant is to provide a supporting narrative that includes (1) all long-term staff positions, their duties, and their respective levels of effort, (2) the roles and duties of short-term technical staff and their proposed level of effort, (3) the selection process for engaging local Nigerian entities as sub-recipients or partners, and (4) the roles and potential contributions of short-term technical assistance (STTA) to the effective implementation of the activity.

USAID/Nigeria recognizes the need for STTA to complement the skills and enhance the work of local staff. To the maximum extent feasible, Applicants should strive to hire Nigerian citizens in key and non-key positions who demonstrate familiarity with the country's private sector development and agricultural sector, and have the requisite level of skill, language, and socio-cultural expertise.

3. **Management Plan**
The management plan is to include, but are not necessarily limited to, the following:

[2] Annex H

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

f. **Institutional Capacity and Experience - [See Section E.2.a.3.]**

Applicants must provide an overview of the proposed management of the activity, including the number and location of offices, quality and previous experience of the applicant in implementing similar programs in developing countries, especially in Nigeria. Technical consortia that bring together organizations with different technical expertise relevant to the proposed program components are strongly encouraged. Gender and youth expertise on the technical team is essential.

Sub-awards: The Applicant must describe how partnership(s) with sub-awardees 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 activities in the target areas in implementing complementary activities. Applicants must include locations where proposed staff will be based.

Applications are to include a signed letter of commitment from all Consortium partners. They shall also describe the staffing and management plan for review, selection, and oversight of sub-awards made to local partners.

Activity set-up is to 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 is to be self-sufficient and able to respond directly and in English to inquiries of various types from USAID/Nigeria and the GON. All key senior staff must have the ability to communicate at a highly proficient level in English.

g. **Security Operational Plan [See Section E.2.a.4.]**

The Applicant must submit as an attachment, a Security Plan as a part of their application. The Security Plan must be based on a credible threat analysis and risk assessment. The plan must provide a coherent, integrated security plan, which demonstrates that the Applicant has undertaken a thoughtful review of their security needs and includes an analysis of the various elements of a security system showing how threats will be mitigated.

The Security Plan must include a point of contact to answer questions or provide clarifications regarding security throughout the life of the program. The Applicant is encouraged to acquire professional advice from an expert of its choosing to assist in establishing an overall security plan/system. A sample format for Initial Security Plan is included in this NOFO as Annex #5.

h. Attachments:

- Draft Environmental Mitigation and Monitoring Plan (See Section F.4.d.);
- Draft Activity Monitoring, Evaluation and Learning (MEL) Plan (See Section A.10.);

- Organizational Chart(s), (See Section E.2.2.);
- Staffing Plan Skills Matrix (See Section D.5.e.2);
- Key Personnel Position Descriptions (See Section D.5.e.1.);
- Key Personnel CV/Resumes (See Section D.5.e.1.);
- Past Performance Information (See D.6.h.); and,
- Security Operational Plan.

6. Business (Cost) Application Format

The Business (Cost) Application must be submitted separately from the Technical Application. While no page limit exists for the full cost application, applicants are encouraged to be as concise as possible while still providing the necessary details. The business (cost) application must illustrate the entire period of performance, using the budget format shown in the SF-424A.

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

The Cost Application must contain the following sections (which are further elaborated below this listing with the letters for each requirement):

a) Cover Page (See Section D.3 above for requirements)

b) SF 424 Form(s)

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

Instructions for SF-424	http://www.grants.gov/web/grants/form-instructions/sf-424-instructions.html
Application for Federal Assistance (SF-424)	https://www.grants.gov/web/grants/forms/sf-424-family.html
Instructions for SF-424A	http://www.grants.gov/web/grants/form-instructions/sf-424a-instructions.html
Budget Information (SF-424A)	https://www.grants.gov/web/grants/forms/sf-424-family.html
Instructions for SF-424B	http://www.grants.gov/web/grants/form-instructions/sf-424b-instructions.html
Assurances (SF-424B)	https://www.grants.gov/web/grants/forms/sf-424-family.html

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

c) Required Certifications and Assurances

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

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

d) Budget and Budget Narrative

The Budget must be submitted as one unprotected Excel file (MS Office 2000 or later versions) with visible formulas and references and must be broken out by project year, including an itemization of the federal and non-federal (cost share) amount. Files must not contain any hidden or otherwise inaccessible cells. Budgets with hidden cells lengthen the cost analysis time required to make award, and may result in a rejection of the cost application. The Budget Narrative must contain sufficient detail to allow USAID to understand the proposed costs. The applicant must ensure the budgeted costs address any additional requirements identified in Section F, such as Branding and Marking. The Budget Narrative must be thorough, including sources for costs to support USAID's determination that the proposed costs are fair and reasonable.

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

- Summary Budget, inclusive of all program costs (federal and non-federal), broken out by major budget category and by year for activities implemented by the applicant and any potential sub-applicants for the entire period of the program. See Section H, Annex 1 for Summary Budget Template
- Detailed Budget, including a breakdown by year, sufficient to allow the Agency to determine that the costs represent a realistic and efficient use of funding to implement the applicant's program and are allowable in accordance with the cost principles found in 2 CFR 200 Subpart E.
- Detailed Budgets for each sub-recipient, for all federal funding and cost share, broken out by budget category and by year, for the entire implementation period of the project.

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

1) Salaries and Allowances – Must be proposed consistent with 2 CFR 200.430 Compensation - Personal Services. The applicant's budget must include position title, salary rate, level of effort, and salary escalation factors for each position. Allowances, when proposed, must be broken down by specific type and by position. Applicants must explain all assumptions in the Budget Narrative. The Budget Narrative must demonstrate that the proposed compensation is reasonable for the services rendered and consistent with what is paid for similar work in other activities of the applicant. Applicants must provide their established written policies on personnel compensation. If the applicant's written policies do not address a specific element of compensation that is being proposed, the Budget Narrative must describe the rationale used and supporting market research.

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

3) Travel and Transportation – Provide details to explain the purpose of the trips, the number of trips, the origin and destination, the number of individuals traveling, and the duration of the trips. Per Diem and associated travel costs must be based on the applicant's normal travel policies. When appropriate please provide supporting documentation as an attachment, such as company travel policy, and explain assumptions in the Budget Narrative.

4) Procurement or Rental of Goods (Equipment & Supplies), Services, and Real Property – Must include information on estimated types of equipment, models, supplies and the cost per unit and quantity. The Budget Narrative must include the purpose of the equipment and supplies and the basis for the estimates. The Budget Narrative must support the necessity of any rental costs and reasonableness in light of such factors as: rental costs of comparable property, if any; market conditions in the area; alternatives available; and the type, life expectancy, condition, and value of the property leased.

5) Subawards – Specify the budget for the portion of the program to be passed through to any subrecipients. See 2 CFR 200.330 for assistance in determining whether the sub-tier entity is a subrecipient or contractor. The subrecipient budgets must align with the same requirements as the applicant's budget, including those related to fringe and indirect costs.

6) Construction – If applicable

7) Security Costs: As discussed in Section C of the NOFO, USAID encourages Offerors to seek adequate security to suit their operational needs and appropriate for the areas of operation within Nigeria. The Offeror will provide a security budget for security costs as part of its proposal. Security costs must be clearly identified in the cost proposal in a separate budget line item and must be included as part of the overall Applicant's cost proposal. The Security Plan and budget must delineate and justify for reasonableness all costs and provide a coherent, overall integrated security plan that demonstrates that the Applicant has undertaken a thoughtful review of their security needs and includes an analysis of the various elements of a security system. Applicants must consider any costs foreseen for security, as identified in **Annex #5** "Sample Format for Initial Security Plan" which may include security equipment, security related communication equipment, and guards required for program implementation. The security budget must be complete and include comprehensive budget notes. These costs may be included under "Other Direct Costs" as deemed appropriate

8) Other Direct Costs – This may include other costs not elsewhere specified, such as report preparation costs, passports and visa fees, medical exams and inoculations, as well as any other miscellaneous costs which directly benefit the program proposed by the applicant. The applicant should indicate the subject, venue and duration of any proposed conferences and seminars, and their relationship to the objectives of the program, along with estimates of costs. Otherwise, the narrative should be minimal.

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

Method 1 - Direct Charge Only
Eligibility: Any applicant
Initial Application Requirements: See above on direct costs

Method 2 - Negotiated Indirect Cost Rate Agreement (NICRA)
Eligibility: Any applicant with a NICRA issued by a USG Agency must use that NICRA
Initial Application Requirements: If the applicant has a current NICRA, submit your approved NICRA and the associated disclosed practices. If your NICRA was issued by an Agency other than USAID, provide the contact information for the approving Agency. Additionally, at the Agency's discretion, a provisional rate may be set forth in the award subject to audit and finalization. See USAID's Indirect Cost Rate Guide for Non Profit Organizations for further guidance.

Method 3 - De minimis rate of 10% of modified total direct costs (MTDC)
Eligibility: Any applicant that has never received a NICRA
Initial Application Requirements: Costs must be consistently charged as either indirect or direct costs, but may not be double charged or inconsistently charged as both. If chosen, this methodology once elected must be used consistently for all Federal awards until such time as a non-Federal entity chooses to negotiate an indirect rate, which the non-Federal entity may apply to do at any time. The applicant must describe which cost elements it charges indirectly vs. directly. See 2 CFR 200.414(f) for further information.

Method 4 - Indirect Costs Charged As A Fixed Amount
Eligibility: Non U.S. non-profit organizations without a NICRA may request, but approval is at the discretion of the AO
Initial Application Requirements: Provide the proposed fixed amount and a worksheet that includes the following:

- Total costs incurred by the organization for the previous fiscal year and estimates for the current year.
- Indirect costs (common costs that benefit the day-to-day operations of the organization, including categories such as salaries and expenses of executive officers, personnel administration, and accounting, or that benefit and are identifiable to more than one program or activity, such as depreciation, rental costs, operations and maintenance of

facilities, and telephone expenses) for the previous fiscal year and estimates for the current year

- Proposed method for prorating the indirect costs equitably and consistently across all programs and activities of using a base that measures the benefits of that particular cost to each program or activity to which the cost applies.

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

e) Prior Approvals in accordance with 2 CFR 200.407

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

f) Approval of Subawards

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

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

g) DUNS and Bradstreet and SAM Requirements

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

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

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

DUNS number: http://fedgov.dnb.com/webform
SAM registration: http://www.sam.gov

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

h) **History of Performance**

The applicant must provide information regarding its recent history of performance for all its cost-reimbursement contracts, grants, or cooperative agreements involving similar or related programs, recent and relevant, as follows:

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

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

Applicants should use the format provided in Annex #4: Past Performance Information of the NOFO to document the detailed information as requested. The completed forms should be included in the application's Annex.

i) Branding Strategy and Marking Plan

It is a U.S. Federal statutory and regulatory requirement that all overseas programs, projects, activities, public communications, and commodities that USAID partially or fully funds under an assistance award or sub-award must be appropriately marked with the USAID identity.

Pursuant to ADS 303.3.6.3.f and ADS 320.3.1.2, the apparently successful applicant will be requested to submit a Branding Strategy and Marking Plan that will have to be successfully negotiated before a cooperative agreement will be awarded. These plans shall be prepared in accordance with the guidance in ADS 320.3.1.2, 2 CFR 700.16 and the references therein. ADS Chapter 320 sections concerning "assistance" apply to this NOFO. ADS Chapter 320 sections concerning "acquisition" do not apply to this NOFO. ADS Chapter 320 can be found on the USAID website: http://www.usaid.gov/policy/ads/300/320.

Please note that USAID/Nigeria has waived marking requirements for selected locations in Nigeria. A copy of the waiver notification to USAID/Nigeria Implementing Partners is provided as Annex #7 to this NOFO.

The Branding Strategy and Marking Plan must not be included with the original application but will be provided only after a written request of the Agreement Officer. However, the cost of Branding and Marking must be included in the Cost Application.

USAID/Nigeria does not intend to make an award without an approved Branding Strategy and Marking Plan.

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

PRE-AWARD TERMS

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

   a. Applicants recommended for an assistance award must submit and negotiate a "Branding Strategy," describing how the program, project, or activity is named and positioned, and how it is promoted and communicated to beneficiaries and host country citizens.

   b. The request for a Branding Strategy, by the Agreement Officer from the applicant, confers no rights to the applicant and constitutes no USAID commitment to an award.

   c. Failure to submit and negotiate a Branding Strategy within the time frame specified by the Agreement Officer will make the applicant ineligible for an award.

d. The applicant must include all estimated costs associated with branding and marking USAID programs, such as plaques, stickers, banners, press events, materials, and so forth, in the budget portion of the application. These costs are subject to the revision and negotiation with the Agreement Officer and will be incorporated into the Total Estimated Amount of the grant, cooperative agreement or other assistance instrument.

e. The Branding Strategy must include, at a minimum, all of the following:

1. All estimated costs associated with branding and marking USAID programs, such as plaques, stickers, banners, press events, materials, and so forth.

2. The intended name of the program, project, or activity.

   i. USAID requires the applicant to use the "USAID Identity," comprised of the USAID logo and brandmark, with the tagline "from the American people" as found on the USAID Web site at http://www.usaid.gov/branding, unless Section VI of the RFA or APS states that the USAID Administrator has approved the use of an additional or substitute logo, seal, or tagline.

   ii. USAID prefers local language translations of the phrase "made possible by (or with) the generous support of the American People" next to the USAID Identity when acknowledging contributions.

   iii. It is acceptable to cobrand the title with the USAID Identity and the applicant's identity.

   iv. If branding in the above manner is inappropriate or not possible, the applicant must explain how USAID's involvement will be showcased during publicity for the program or project.

   v. USAID prefers to fund projects that do not have a separate logo or identity that competes with the USAID Identity. If there is a plan to develop a separate logo to consistently identify this program, the applicant must attach a copy of the proposed logos. Section VI of the RFA or APS will state if an Administrator approved the use of an additional or substitute logo, seal, or tagline.

(3) The intended primary and secondary audiences for this project or program, including direct beneficiaries and any special target segments.

(4) Planned communication or program materials used to explain or market the program to beneficiaries.

(a) Describe the main program message.

(ii) Provide plans for training materials, posters, pamphlets, public service announcement, billboards, Web sites, and so forth, as appropriate.

(iii) Provide any plans to announce and promote publicly this program or project to host country citizens, such as media releases, press conferences, public events, and so forth. Applicant must incorporate the USAID Identity and the message, "USAID is from the American People."

(iv) Provide any additional ideas to increase awareness that the American people support this project or program.

(5) Information on any direct involvement from host-country government or ministry, including any planned acknowledgement of the host-country government.

(6) Any other groups whose logo or identity the applicant will use on program materials and related materials. Indicate if they are a donor or why they will be visibly acknowledged, and if they will receive the same prominence as USAID.

f. The Agreement Officer will review the Branding Strategy to ensure the above information is adequately included and consistent with the stated objectives of the award, the applicant's cost data submissions, and the performance plan. Per ADS 320.3.4, a special determination signed by the USAID Administrator in December 2014 authorized the Feed the Future initiative to issue its own naming, marking and branding guidance for use by USAID and its implementing partners. It is the first (and currently only) Presidential Initiative to receive this exception. Per this determination, USAID contracts, grants and cooperative agreements awarded on or after January 1, 2015, which are funded by the USG's Feed the Future initiative must include the Feed the Future logo in addition to USAID's identity on communication products. The Applicant is required to comply (and ensure compliance by partners) with USAID's branding and marking requirements set forth in 2 CFR 700.16 with Feed the Future specific guidance located at feedthefuture.gov.

g. If the applicant receives an assistance award, the Branding Strategy will be included in and made a part of the resulting grant or cooperative agreement.

(END OF PRE-AWARD TERM)

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

a. Applicants recommended for an assistance award must submit and negotiate a "Marking Plan," detailing the public communications, commodities, and program materials, and other items that will visibly bear the "USAID Identity," which comprises of the USAID logo and brandmark, with the tagline "from the American people." The USAID Identity is the official marking for the Agency, and is found on the USAID Web site at http://www.usaid.gov/branding. Section VI of the RFA or APS will state if an Administrator approved the use of an additional or substitute logo, seal, or tagline.

b. The request for a Marking Plan, by the Agreement Officer from the applicant, confers no rights to the applicant and constitutes no USAID commitment to an award.

c. Failure to submit and negotiate a Marking Plan within the time frame specified by the Agreement Officer will make the applicant ineligible for an award.

d. The applicant must include all estimated costs associated with branding and marking USAID programs, such as plaques, stickers, banners, press events, materials, and so forth, in the budget portion of the application. These costs are subject to the revision and negotiation with the Agreement Officer and will be incorporated into the Total Estimated Amount of the grant, cooperative agreement or other assistance instrument.

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

(1) A description of the public communications, commodities, and program materials that the applicant plans to produce and which will bear the USAID. Identity as part of the award, including:

(i) Program, project, or activity sites funded by USAID, including visible infrastructure projects or other sites physical in nature;

(ii) Technical assistance, studies, reports, papers, publications, audiovisual productions, public service announcements, Web sites/Internet activities, promotional, informational, media, or communications products funded by USAID;

(iii) Commodities, equipment, supplies, and other materials funded by USAID, including commodities or equipment provided under humanitarian assistance or disaster relief programs; and

(iv) It is acceptable to cobrand the title with the USAID Identity and the applicant's identity.

(v) Events financed by USAID, such as training courses, conferences, seminars, exhibitions, fairs, workshops, press conferences and other public activities. If the USAID Identity cannot be displayed, the recipient is encouraged to otherwise acknowledge USAID and the support of the American people.

(2) A table on the program deliverables with the following details:

(i) The program deliverables that the applicant plans to mark with the USAID Identity;

(ii) The type of marking and what materials the applicant will use to mark the program deliverables;

(iii) When in the performance period the applicant will mark the program deliverables, and where the applicant will place the marking;

(iv) What program deliverables the applicant does not plan to mark with the USAID Identity, and

(v) The rationale for not marking program deliverables.

(3) Any requests for an exemption from USAID marking requirements, and an explanation of why the exemption would apply. The applicant may request an exemption if USAID marking requirements would:

(i) Compromise the intrinsic independence or neutrality of a program or materials where independence or neutrality is an inherent aspect of the program and materials. The applicant must identify the USAID Development Objective, Interim Result, or program goal furthered by an appearance of neutrality, or state why an aspect of the award is presumptively neutral. Identify by category or deliverable item, examples of material for which an exemption is sought.

(ii) Diminish the credibility of audits, reports, analyses, studies, or policy recommendations whose data or findings must be seen as independent. The applicant must explain why each particular deliverable must be seen as credible.

(iii) Undercut host-country government "ownership" of constitutions, laws, regulations, policies, studies, assessments, reports, publications, surveys or audits, public service announcements, or other communications. The applicant must explain why each particular item or product is better positioned as host-country government item or product.

(iv) Impair the functionality of an item. The applicant must explain how marking the item or commodity would impair its functionality.

(v) Incur substantial costs or be impractical. The applicant must explain why marking would not be cost beneficial or practical.

(vi) Offend local cultural or social norms, or be considered inappropriate. The applicant must identify the relevant norm, and explain why marking would violate that norm or otherwise be inappropriate.

(vii) Conflict with international law. The applicant must identify the applicable international law violated by the marking.

f. The Agreement Officer will consider the Marking Plan's adequacy and reasonableness and will approve or disapprove any exemption requests. The Marking Plan will be reviewed to ensure the above information is adequately included and consistent with the stated objectives of the award, the applicant's cost data submissions, and the performance plan.

g. If the applicant receives an assistance award, the Marking Plan, including any approved exemptions will be included in and made a part of the resulting grant or cooperative agreement, and will apply for the term of the award unless provided otherwise.

(END OF PRE-AWARD TERM)

j) Funding Restrictions

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

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

Applicant will be reimbursed only for costs that benefit the program description and are allocable, allowable and reasonable. Pre-award costs may be reimbursed under the resulting award, but only with the prior specific written approval of the Agreement Officer.

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

PRE-AWARD TERMS

k) Conflict Of Interest Pre-Award Term (August 2018)
a. Personal Conflict of Interest

1. An actual or appearance of a conflict of interest exists when an applicant organization or an employee of the organization has a relationship with an Agency official involved in the competitive award decision-making process that could affect that Agency official's impartiality. The term "conflict of interest" includes situations in which financial or other personal considerations may compromise, or have the appearance of compromising, the obligations and duties of a USAID employee or recipient employee.

2. The applicant must provide conflict of interest disclosures when it submits an SF-424. Should the applicant discover a previously undisclosed conflict of interest after submitting the application, the applicant must disclose the conflict of interest to the AO no later than ten (10) calendar days following discovery.

b. Organizational Conflict of Interest

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

(END OF PRE-AWARD TERM)

[END SECTION D]

SECTION E: APPLICATION REVIEW INFORMATION

1. Criteria

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

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

2. Review and Selection Process

a) Merit Review Criteria

1. Technical Approach - [See Section D.5.d]

The application must clearly:

- Address requirements of the NOFO.
- Describe the Theory of Change that underlies the Applicant's technical approach that will lead to the desired outcomes for each Component.
- Address issues detailed in Program Description.
- Include a realistic plan for grant mechanisms usage in the achievement of higher-level purpose and proposed outcomes.
- Describe how the Applicant will measure systemic change, monitor both the direct and indirect results and apply lessons learned.
- Include sufficient technical and managerial resources that are capable of implementing and achieving the results of the NOFO.
- Describe plausible management of the overall activity and the roles of key and non-key personnel.
- Outline the extent to which GIS technology and geographic data are included in the Draft activity MEL plan.

2. Key personnel, Staffing Plan, & Management Plan - [See Section D.5.e]

2.1. Key Personnel

Key Personnel must possess the required qualifications and have the knowledge, skills, and experience required in Section D.5.e.1. ***The five Key Personnel positions consist of one*** **Chief of Party, one Deputy Chief of Party, one Market Systems and Livelihood Specialist, one**

Financial Services Specialist; and one M&E Manager.

2.2. **Staffing plan**

Applicant must clearly address all the requirements listed in Section D.5.e.2 and clearly demonstrate that the applicant have appropriate staffing to achieve the intended results of the NOFO. Consideration will also be given to; how the Staffing Plan and organizational chart relates directly to the strategies, activities and approaches described in the technical approach of the application, the Applicant's demonstration of a feasible teaming approach that meets the technical priorities laid out in the Program Description and the skill set described for long-term personnel, and usage of local staff.

2.3. **Management Plan**

The management plan must address all the requirements that are listed in Section D.5.e.3. Consideration will also be given to:

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

3. **Institutional Capacity and Experience - [Section D.5.f]**

Applicant must clearly address all the requirements listed in Section D.5.f and demonstrate capacity and experience, in the following areas:

a) Institutional experience implementing similar program;
b) Institutional capacity of the Applicant and any proposed partners or sub-awardees to achieve the goal and objectives of this activity; and
c) If applicable, clarify what the proposed partner organization's institutional responsibilities are, and how these responsibilities complement and complete one another.

4. **Security Operational Plan - [See Section D.5.g]**

The security plan, accompanied by a corresponding budget, will be reviewed together with the technical and cost proposals, and must clearly demonstrate that the security needs to successfully implement the scope of work, as presented in the Applicant's technical approach, have been addressed/considered. Consideration will be given to the extent to which the Applicant articulate how a security assessment will inform programming in areas prone to security threats and ensure that U.S. government funds are only expended in areas controlled by the Nigerian government.

b) **Business Review**

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

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

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

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

Besides the Technical Evaluation Criteria, the application will be assessed for cost effectiveness and realism and must therefore address the following:

1. **Cost Effectiveness and Realism:** The proposed costs must be realistic, reasonable, complete, and allowable. The costs must be realistic for the effort and consistent with the technical components of the application.

2. **Adequacy of Budget Detail and Financial Feasibility:** The proposed budget must be sufficient to support the proposed activities, and all proposed costs must be adequately supported by notes highlighting the key assumptions used in their determination. USAID reserves the right to determine the resulting level of funding for the Cooperative Agreement.

[END OF SECTION E]

SECTION F: FEDERAL AWARD ADMINISTRATION INFORMATION

1. Federal Award Notices

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

b. The Agreement Officer is the only individual who may legally commit the Government to the expenditure of public funds.

c. No costs chargeable to the proposed Agreement(s) may be incurred before the receipt of either a fully executed Agreement or a specific, written authorization from the Agreement Officer.

d. Following selection for award and successful negotiations with the apparently successful Applicant, an electronic copy of the notice of the award signed by the Agreement Officer will be sent to the successful Applicant, which serves as the authorizing document. The Agreement Officer will only do so after making a positive responsibility determination that the Applicant possesses, or has the ability to obtain, the necessary management competence in planning and carrying out assistance programs and that it will practice mutually agreed upon methods of accountability for funds and other assets provided by USAID.

e. The award will be issued to the contact as specified in the application as the Authorized Individual in accordance with the requirements in the Representations and Certifications. USAID reserves the right to perform a pre-award survey which may include, but is not limited to:

   (a) Interviews with individuals to establish their ability to perform agreement duties under the project conditions;

   (b) A review of the prime Recipient's financial condition, business and personnel procedures, etc.; and

   (c) Site visits to the prime Recipient's institution.

2. Administrative & National Policy Requirements

No deviations are currently contemplated to the standard provisions for the grant(s) or cooperative agreement(s) contemplated by this NOFO.

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

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

- For Non US organizations: Standard Provisions for Non-U.S. Non-governmental Organizations. While 2 CFR 200 does not directly apply to non-U.S. applicants, the Agreement Officer will use the standards of 2 CFR 200 in the administration of the award.

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

3. Reporting Requirements

(a) The Recipient shall comply with the Standard Provision set forth in Annex #2 of this Agreement entitled "Marking and Public Communications Under USAID-Funded Assistance (August 2013)." All reports shall be in English.

(b) All written documentation (correspondence, reports, information sheets, etc.) for submission under this Cooperative Agreement must be in English. At a minimum, all documents must be provided in MS Word (or MS Excel or MS PowerPoint) and PDF (unlocked) formats.

(c) All reporting and data must be synchronized with the United States Government (USG) fiscal year. FYI, quarterly periods are from October 1 – December 31; January 1 – March 31; April 1 – June 30; and, July 1 – September 30. Thus, quarterly reports are due on: January 31, April 30, July 31 and October 31, respectively.

(d) In addition to discussing the achievements of the activity, challenges and potential solutions, the report will present semi-annual results (October – March) on the USAID indicators against the targets for that year. This should also include an explanation for any indicator values falling above and below target.

(e) The fourth quarter (July-September) report due on October 31 will be utilized by the USAID Mission as an annual report. The report should contain more information than the normal quarterly report, as USAID/Nigeria needs the information to fulfill its own annual reporting in November. In addition to the regular information (listed below), the fourth quarter report should discuss the achievements of the entire year and should contain a table displaying the indicators the partner is responsible for reporting on and the indicator values for the year, along with prior year values and future year targets. It should also include explanations for any indicator values falling above or below target.

A. Financial Reporting:

Financial Reports will be submitted following relevant guidance contained in the award Standard Provisions.

Financial reporting will, at a minimum, require annual submission of the SF-425. Additional requirements, if any, will depend on the payment provisions of the award, which cannot be determined until after award. Financial reporting requirements and instructions will be specified in the award.

(a) Reporting of Expenditures

(i) Financial reporting requirements must be in accordance with 2 CFR 700.7 and 2 CFR 200.327 regarding advance payments. Standard Form (SF) –270 or SF-1034 must be used to Request Advance payments. Either paper copies or electronic copies (scanned PDF document) may be submitted, but not both.

(ii) SF-425 shall be used to report actual expenditures and shall be submitted within 30 calendar days from the end of each quarter, except that the final report shall be submitted within 90 calendar days from the estimated completion date of this Agreement. The Recipient shall submit the SF-425 form in the following manner:

- An original copy to the Payment Office;
- A copy to the AOR;
- A copy to the Agreement Officer

(iii) Electronic copies of the SF-425 can be found at:

https://www.grants.gov/web/grants/forms/post-award-reporting-forms.html#sortby=1

b) Reporting of Foreign Taxes

The Recipient must comply with the Standard Provision set forth in the resulting Agreement entitled "Reporting of Host Government Taxes."

B. Performance Reporting

(a) <u>Performance Reports</u>

(i) The Recipient must submit a quarterly and annual program performance reports to the AOR, with a copy to the Agreement Officer, and USAID/Nigeria Monitoring and Evaluation Unit at e-mail: abujaprog-me@usaid.gov. Electronic submissions are preferred over hard copy.

(ii) The due date for these program performance reports is not later than 30 days after the end of each reporting period. At a minimum, the report must include:

- A comparison of actual accomplishments/results, both for the reporting period and cumulatively, with the established goals and objectives, and expected results; the findings of the investigator; or both. Data (both qualitative and quantitative) must be presented using established baseline data and indicators, and be supported by a brief narrative. This should include reporting on specific processes and activities that were planned for the period to support the relevant stakeholders. Whenever appropriate and the output of programs or activities can be readily quantified, such quantitative data should be related to cost data for computation of unit costs;

- Reasons why established goals were not met (if applicable), the impact on the program objective(s), and how the impact has been/will be addressed; and

- Other pertinent information including, when appropriate, success stories (if available) which illustrate the direct positive effects of the program; how unforeseen circumstances affected overall performance compared to original assumptions (if applicable), how activities were accordingly adjusted or re-targeted; and analysis and explanation of cost overruns or high unit costs.

(iii) Additional guidance on the format and content of quarterly reports is contained in Annex #6 to this NOFO.

(b) Notification

The Recipient will submit to the AOR and AO the notification, as follows: (1) Developments which have a significant impact on the activities supported by this Award; and (2) Problems, delays, or adverse conditions which materially impair the ability to meet the objectives of this Cooperative Agreement. This notification will include a statement of the action taken or contemplated, and any assistance needed to resolve the problem.

(c) Final Report

The Recipient must submit a final report to the AOR, with copies to the Agreement Officer, USAID Development Experience Clearinghouse at e-mail: DocSubmit@usaid.gov, and USAID/Nigeria Monitoring and Evaluation Unit at e-mail: abujaprog-me@usaid.gov. The final report must be submitted no later than 90 calendar days after the expiration or termination of the award. The final report shall also consolidate activities and analyses of all partners into one document and their activities and progress towards results. The final performance report must contain the following information:

(i) A comparison of actual accomplishments with the goals and objectives established for the period, the findings of the investigator, or both. Whenever appropriate and the output of programs or activities can be readily quantified, such quantitative data should be related to cost data for computation of unit costs.

(ii) Final data, compared to baseline data, for all indicators included in the monitoring and evaluation plan award activities. This section should include disaggregated data by gender, historically disenfranchised groups and other relevant groups identified.

(iii) A summary of problems/obstacles encountered during the implementation, and how those obstacles were addressed and overcome if appropriate.

(iv) Reasons why established goals were not met, if appropriate.

(v) Other pertinent information including, when appropriate, analysis and explanation of cost overruns or high unit costs.

(vi) Significance of these activities for overall elections and political processes development worldwide.

(vii) Lessons learned best practices, and other findings along with recommendations for future programming under each of the program results.

C. Annual Work Plan

(a) Not later than 45 days after the effective date of this Cooperative Agreement, the Recipient must submit to the USAID Agreement Officer's Representative (AOR) an electronic copy of the annual work plan covering the first year of this Agreement, delineated by quarterly periods. The first annual work plan must include the first-year indicators and benchmarks which the Recipient proposes to utilize to measure and monitor progress toward achievement of results, as reflected in, and consistent with, the Activity Monitoring, Evaluation and Learning Plan, pending completion of the baseline survey. The work plan must include: the activities planned to be conducted, the site(s) where they will be conducted, benchmarks/milestones and annual performance targets, pending completion of the baseline survey; the outputs/outcomes which the Recipient expects to achieve; and the inputs planned to be provided by the Recipient, during the work plan period. Included shall be an explanation of how those inputs are expected to achieve the outputs/outcomes and benchmarks/milestones.

The work plan will also consider whether boys and girls or women and men are involved or affected differently by the context or work to be undertaken, and if so, whether the difference is potentially significant for managing toward sustainable program impact. The Recipient will describe and use appropriate gender-sensitive methodologies and will maintain gender integration and balance in all activities, targeting women and girls when necessary to achieve that balance.

The annual work plan will describe activities to be conducted at a greater level of detail than the activity description and application in response to the activity description, but must be clearly cross-referenced with the applicable sections in the activity description. Also included in the work plan will be an explanation of how those achievements are expected to contribute to the IR-level results. An estimated budget and a pipeline analysis, identifying the anticipated inputs, must also be included.

The Recipient will prepare the work plan in consultation with and with inputs from the advisory committee (if applicable), partners and beneficiaries of this activity, and also describe how the program plans to work with the Government of Nigeria, other USG-funded activities in-country, as well as other donors and in-country partners.

USAID will review the first-year work plan and provide comments/suggestions within 30 calendar days of receipt. The Recipient must then submit the final work plan to the USAID AOR for approval not later than 15 calendar days from receipt of USAID's comments/suggestions. In the event that the Recipient receives no comments/suggestions from the AOR within 30 calendar days from the submission of the first-year work plan, the work plan will be considered approved. The Recipient must also submit a copy of the final first-year work plan to the Agreement Officer.

(b) The Recipient must submit subsequent annual work plans to the USAID AOR not later than 30 calendar days prior to the start of the next Agreement year. These subsequent annual work plans will include updates of the performance indicators and benchmarks which the Recipient proposes to utilize in the coming year. The work plan must be delineated by quarterly periods. USAID will review the annual work plan and provide comments/suggestions within 30 calendar days of receipt. The Recipient will then submit the final annual work plan to the USAID AOR for approval not later than 15 calendar days from receipt of USAID’s comments/ suggestions. In the event that the Recipient receives no comments/suggestions from the AOR within 30 calendar days from the submission of the annual work plan, the work plan will be considered approved. The Recipient must also submit a copy of the final annual work plan to the Agreement Officer.

(c) The Recipient will submit any significant work plan changes or revisions to the USAID AOR with a copy to the Agreement Officer, and shall obtain the USAID AOR's approval prior to implementing or undertaking such changes or revisions.

(d) Annual work plans and changes/revisions thereto must be within the scope of the Program Description of the award. The Program Description will take precedence over the work plans and any changes/revisions thereto, in the event of any conflicts or inconsistencies between the Program Description and the work plan and any changes/revisions thereto. Any changes to the Program Description must be approved by the Agreement Officer by means of a modification to the award.

The work plan for year 1 will be for the period that extends from the activity start date through to September 30, 2019, so that afterwards, the work plan period will correspond with the same time period as the USG fiscal year, October 1 to September 30. In the final year, the work plan must be for a partial year that reflects the end date of the activity.

4. Environmental Compliance

The Activity must adhere to the provisions in Title 22 of the Code of Federal Regulations, Part 216 (22 CFR 216); applicable Nigeria environmental laws and procedures; and the approved USAID Initial Environmental Examination (IEE). Additionally, the Activity must follow

USAID's procedures on climate risk management, which will also help to address long-term sustainability of this U.S. government investment.

(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, requires that the potential environmental impacts of USAID-financed activities are identified prior to a final decision to proceed and that appropriate environmental safeguards are adopted for all activities. The Recipient's environmental compliance obligations under these regulations and procedures are specified in the following paragraphs of this NOFO.

(b) The Rural Resilience activity may include "quick impact projects" that could have a significant impact on the environment or constitute major action requiring further environmental review. Pursuant to 22 CFR 216.2c USAID Environmental Procedures, a Negative Determination with Conditions applies, given that the proposed activity may have an effect on the natural or physical environment. If the Recipient chooses to issue sub-grants to host country organizations, it is anticipated that these interventions under such arrangement could have adverse environmental impacts, and so the Recipient must use an environmental review checklist in screening grant proposals to determine if this is the case.

(c) 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.

(d) An Initial Environmental Examination (IEE) has been approved for the FY2013-FY2019 USAID/Nigeria Economic Growth and Environment Program. The IEE covers activities expected to be implemented under this award. 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 interventions to be funded under this award, including the development of an Environmental Mitigation and Monitoring Plan (EMMP).

(e) As part of its initial work plan, and all annual work plans thereafter, the Recipient, in collaboration with the USAID Agreement Officer's Representative and Mission Environmental Officer, shall review all ongoing and planned interventions under this award to determine if they are within the scope of the approved Regulation 216 environmental documentation.

(f) If the Recipient plans any new interventions 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 interventions shall be undertaken prior to receiving written USAID approval of environmental documentation amendments.

(g) Any ongoing interventions 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.

(h) Unless the approved Regulation 216 documentation contains a complete EMMP, the Recipient shall prepare an EMMP describing how the Recipient will, in specific terms, implement all IEE and/or Environmental Analysis (EA) conditions that apply to proposed activities within the scope of the award. The EMMP shall include monitoring the implementation of the conditions and their effectiveness. The EMMP template can be found via this link: http://usaidgems.org/compliance.htm

(i) The Recipient must integrate a completed EMMP into the initial work plan and budget.

(j) The Recipient must integrate an EMMP into subsequent Annual Work Plans, making any necessary adjustments to activity implementation in order to minimize adverse impacts to the environment.

(k) USAID anticipates that environmental compliance and achieving optimal development outcomes for the proposed activities will require environmental management expertise. Applicants should therefore include as part of their application their approach to achieving environmental compliance and management, to include:

- The Applicant's approach to developing and implementing an environmental review process for a sub-grant fund and/or an EMMP.

- The Applicant's approach to providing necessary environmental management expertise, including examples of past experience of environmental management of similar activities.

- The Applicant's illustrative budget for implementing the environmental compliance activities. For the purposes of this NOFO, Applicants should reflect illustrative costs for environmental compliance implementation and monitoring in their cost application.

5. Quarterly Environmental Mitigation & Monitoring Review Report

The Recipient must submit a quarterly Environmental Mitigation and Monitoring Review Report (EMMR) to the AOR, with a copy to the Agreement Officer. The EMMR template can be found via this link: http://usaidgems.org/compliance.htm

6. Activity Monitoring, Evaluation and Learning (MEL) Plan

A comprehensive Activity Monitoring, Evaluation and Learning (MEL) Plan must be submitted for AOR approval for the complete award period within 45 calendar days of Agreement signature. The MEL Plan will include an executive summary. AOR approval or request for modifications will be within 15 calendar days, thereafter. The Recipient will then have 15 calendar days to incorporate the modifications and resubmit the plan for AOR final approval. AOR approval will be within 15 calendar days.

The Recipient will identify indicators for each identified result. An indicator can be used to measure progress in more than one result. Targets for each indicator shall also be included in the MEL Plan for the life of the activity.

The MEL Plan must be consistent with USAID/Nigeria's approved Mission Performance Management Plan. The implementing partner is expected, to the extent practicable, to include indicators which reflect the level of participation by typically disenfranchised groups, such as women, youth, persons with disabilities, and internally displaced persons. Results will be disaggregated by location, sex, ethnicity and age wherever possible and relevant. This will be the core information for all monitoring and evaluation exercises. To complement this information, additional data, assessments, relevant anecdotes and comments should contextualize the indicators when reported.

The MEL Plan must clearly indicate the data gathering methodology, instruments, timeframe and other relevant elements of the evaluation system.

The MEL Plan will take into consideration the following criteria, and in the case of at least one indicator per Lower Level Result, explain how these criteria are met: a) Integrity; b) Precision; c) Reliability; and d) Timeliness.

The Recipient must include an Annual MEL Plan Report as part of its Fourth Quarterly Report, providing findings and results on indicators and the achievement of activity objectives by fiscal year. Additionally, the Recipient shall organize a presentation of the MEL Plan results for key partners, including USAID/Nigeria, which will take place as agreed upon with the USAID/Nigeria designated AOR.

7. Other Requirements

a. Climate Risk Management

Recipient may be required to complete an initial climate risk management (CRM) screening in accordance with the Mandatory Reference for ADS Chapter 201: CRM for USAID Projects and Activities (ADS Guidance) consisting of a climate risk screening table and associated brief narrative. Only activities that receive a rating of "Moderate" or "High" will require completion of all columns in the CRM Table (as outlined in the ADS Guidance). USAID will provide Climate Risk Screening and Management Tools to support this process.

More information is available at:
https://www.climatelinks.org/integration/climate-risk-management/resources and the World Bank Climate Knowledge Portal http://sdwebx.worldbank.org/climateportal/.

b. Development Experience Clearinghouse Requirements

For information concerning submission requirements of copies of reports and other information to USAID's Development Experience Clearinghouse (DEC), refer to the Standard Provisions entitled "Submissions to the Development Experience Clearinghouse and Publications (June 2012)" for U.S. NGOs and "Submission to the Development Experience Clearinghouse and Data Rights (June 2012)" for Non-U.S. NGOs.

c. **Final Property Inventory Report**

The Mission Agreement Officer will determine how program income, if anticipated to be generated under the award(s), will be treated (see 2 CFR 200.307 or, for non-U.S. organizations, see the Standard Provision "Program Income").

d. **Security Reporting**

As part of the overall security requirements, the Recipient must report any security threats and/or incidents verbally / by telephone, immediately to the following USAID/Nigeria representatives:

- Security & Safety Specialist and any other USAID/Nigeria EXO designated official(s);
- Executive Officer (EXO); and
- Agreement Officer Representative (AOR) or Alternate AOR in the AOR's absence.

Subsequently, a written report shall be submitted in accordance with approved procedures delineated below. The Recipient shall develop a list of specific steps to track any potential/identified threats, which will be part of its overall security system. All sub-awardees will be required by the Recipient to report any threats/incidents to the Recipient, who will immediately after, notify the above listed USAID/Nigeria representatives.

(a) Security Reporting Responsibilities

USAID requires appropriate security reports be submitted to the Nigeria Safety & Security Specialist, Executive Office; AOR and other USAID/Nigeria officials as directed by USAID Executive Office. The type and frequency of these reports may vary with the activity scope, location, and criticality. The Recipient shall report an Initial Threat Assessment and subsequent changes as often as the situation requires (weekly, bi-weekly, monthly etc.). The Recipient is also required to notify USAID of any security-related incident in a timely manner according to the following guidelines:

(b) Incident Reporting

There are various types of Incident Reporting: Serious Incident Report (SIR); Incident Report (IR); Situation Report (SITREP); and any other security-related report that may be required by USAID.

(i) Serious Incident Report (SIR)

- An incident that involves the death, injury, kidnapping of implementing partner (IP) personnel and/or damage to IP property;
- An incident that has critically damaged the funded program, such as fire, catastrophic flood, etc.;
- Initial SIR must be reported orally immediately, and within four (4) hours of the incident occurrence/discovery;
- A complete SIR must be filed in writing/email within 24 hours of the incident;
- Updated written SIR will continue to be filed in a timely basis (daily, weekly) as long as the situation exists. The timeline will be adjusted as required by USAID-Nigeria Safety & Security Office; and
- Final Report SIR will summarize the incident, the subsequent happenings and the final resolution.

(ii) Incident Report (IR)

- An incident involving accidents, potential harm, suspicious persons or acts, threats or harassing actions against personnel or the program.

- IR should be initially reported orally immediately, followed up with a written report filed as soon as possible (within 24 hours). After the incident is evaluated, a complete detailed written report must be submitted to USAID- Nigeria, not later than 72 hours after the incident.

(iii) Situation Report (SITREP)

- A report that a significant, but not critical action or activity, has taken place that has impacted, or may impact, on the well-being of the personnel or the success of the program.

- This report may describe trends, second-hand information that may have bearing on the activity, or impact on future operations.

- There is no predetermined reporting timeline. The report will be issued as needed and required by USAID Nigeria Safety & Security Office.

Telephonic communication is the preferred method to provide the initial information of an incident. A written report by e-mail must follow as soon as possible within the above described guidelines and it shall be as detailed as possible. The report shall follow the format approved in the original Security Plan but at a minimum it shall contain the name of the IP or sub-awardee, name of the victim(s), date, time, a description of what happened, where the incident occurred, and any other relevant details surrounding the incident. If this is an ongoing incident, progress reports should be submitted in accordance with the guidelines provided in order to keep USAID/Nigeria security personnel apprised of the situation.

e. **Special Agreement Requirements**

Applicants must carefully consider the following special provisions to be incorporated in the resulting agreement:

(1) Security Conditions**:** The Recipient must be aware of security conditions in Nigeria, and by entering into an agreement, assumes full responsibility for the safety of its employees. Prior to commencing work, the Recipient shall ensure that it has adequate procedures in place to advise its employees of situations or changed conditions that could adversely affect their security. In order to keep abreast of security conditions in Nigeria, the Recipient shall seek information from all available sources, including the USAID Nigeria EXO/Safety & Security Office (SSO), for all areas in which its employees work or travel. The Recipient acknowledges that security conditions are subject to change at any moment, that USAID cannot guarantee the accuracy of any information that it may provide to the Recipient and that USAID assumes no responsibility for the reliability of such information. The Recipient has sole responsibility for approving all travel plans for its employees and/or their dependents traveling to post if allowed by the Recipient's personnel internal policies. The Recipient will also be responsible for immediately notifying USAID Nigeria and the U.S. Embassy American Citizen Services section in the event a U.S. citizen employee does not return from travel as expected or does not report to work. In the event that USAID requests the Recipient to do so, the Recipient's Chief of Party (COP) shall assume responsibility for contacting all of its employees. The Recipient shall provide to the USAID Nigeria EXO/SSO the name, current address, and current home and/or cellular telephone number of the COP and of an alternate designated employee. The Recipient will be responsible for ensuring that the information on file in the USAID Nigeria EXO/SSO is up-to-date so that in an emergency, the COP or alternate representative can be reached immediately and he/she can rapidly contact all other affected employees.

The Recipient will be requested to notify the USAID/Nigeria Agreement Officer's Representative (AOR) and EXO/SSO about any changes of the individual listed in the security plan as in charge of security.

Once the agreement is awarded, the Recipient shall be required to submit a list of all personnel involved in the implementation of the activity, including subawardees' personnel. This is defined as all personnel of the Recipient and subawardees for whom at least a portion of their compensation is paid out of the activity budget. The required list shall be submitted to the AOR and EXO/SSO no later than 30 days after the start date of the agreement and must be updated every quarter after the start date of the agreement and/or if a change of personnel happens.

(2) Security Protocol: The Recipient shall develop a security plan to safeguard all activity operations and to comply with all United States Government regulations and Nigerian law. The plan is to be implemented and maintained by all subcontractors (and/or sub-grantees). The security plan will be reviewed by the Agreement Officer in consultation with USAID/Nigeria's EXO/SSO.

The plan shall include:

- Procedures for reporting and addressing security threats;

- Procedures for reporting any deaths related to the activity;
- Procedures for reporting and addressing any persons missing or kidnapping incidents;
- Name and contact information of security contact person for the head office and regional office(s); and
- An internal "cascade" list for communicating with staff, which should be updated/ maintained by the Recipient. The Recipient shall provide the name, address and telephone numbers of the COP and their designee to USAID as principal contacts in case of security situations/emergencies. The Recipient will be responsible for passing information to their staff.

(3) Life Support and Security Services: The Recipient will be responsible for maintaining the security of its personnel, materials and equipment. All employees of the Recipient must meet the requirements of their work-site, which may include, but not limited to background checks, security/restricted area clearances, drug-free workplace, safety training and/or any other IP safety and security requirements.

The Applicant will provide USAID/Nigeria a Security Plan and budget for security costs as part of its application as further detailed in Section IV of this NOFO. The Security Plan and budget shall delineate and justify for reasonableness all costs and provide a coherent, overall integrated security plan that demonstrates that the Applicant has undertaken a thoughtful review of their security needs and includes analyses of the various elements of a security system.

***(4) Allowable Reimbursement for Security Training*:** USAID award recipients that would like to seek reimbursement for sending employees to security-related training will need to first seek approval from their AOR. Provided the cost associated with attending the identified training does not exceed the small purchase threshold outlined in their award, they will not need to notify their AO, although copying them on the correspondence seeking approval for attendance and reimbursement is recommended.

The request to attend and be reimbursed for the training will need to follow the usual Procurement Justification process. The request should identify who would be attending, the associated cost, and a justification. A justification with language similar to the following should suffice:

> *In Nigeria the ability to provide aid is being hampered by the rising security threats faced by humanitarian and development workers and the increasing difficulties they face in accessing affected populations. Security training is needed to train aid workers on how to help prevent incidents from happening and learning strategies to stay safe so services can be delivered. A good training program covering such topics as situational awareness, personal security, crisis and hostage management, defensive driving, first aid, and carjacking will provide Implementing Partners with the skills they need to work in potentially adverse areas of the country.*

The AOR will respond to requests for training within two (2) business days of receiving the request. Once the approval is received from the AOR, the requestor may proceed with taking the training.

Once the training has been completed, reimbursement is requested in the manner outlined in the organization's normal reimbursement process. If an awardee has a training line item in their approved budget, they are free to proceed without seeking approval from their AOR. If an award recipient is willing to absorb the cost of the training and does not intend to seek reimbursement, there is no need for them to notify their AOR.

f. **Conflict Mitigation Measures**

This Activity will assess risks resulting from bringing resources into communities that may have ongoing conflict dynamics, related to the activities in the scope of this activity, or may develop due to the activity. The Activity will use a conflict lens in the design of interventions, first, to "do no harm" second, to mitigate rather than fuel conflict; and third, to create a positive peace-building environment.

Rural conflicts are prevalent in Nigeria and are often linked to competition over natural resources, like pasture and water. A conflict assessment will be conducted at the start of the activity to understand local conflict dynamics related to the scope of the activity and flexibility in incorporating recommendations that will mitigate violent conflict into the activity. This assessment will enable the implementation team to understand and address the underlying causes of conflict-related violence, and identify and support opportunities for peace building. The implementer will conduct an overarching conflict assessment in collaboration with the FMARD, at the start of the Activity to understand local conflict dynamics. The Office of Economic Growth and Environment will work with the Office of Peace and Democratic Governance to ensure that work plans respond to conflict dynamics as interventions are deployed.

Care will be taken in supporting the spread of agriculture, particularly irrigated crop production, as most suitable land is often riparian and wetland adjacent areas that are crucial grazing at certain times in migrations. The conversion of these lands into farming areas is an historic agro-pastoral point of tension in the region. The local, state, federal and regional local pastoral corridors and grazing allowances should be observed and negotiated, if needed, at the community level to not exacerbate matters.

Greater emphasis will be placed on the changing dynamics of livestock keeping in the target areas, including: (i) most households, even those that practice crop agriculture, are dependent on livestock, (ii) livestock losses were suffered by both farmers and pastoralists, (iii) significant losses and insecurity have changed the nature of herding, with farmers and smaller pastoralists contracting hired herders to keep and move with livestock, (iv) herders tend to gather together in large herds when the security situation is unstable, (v) there is a relationship between criminal and insurgent groups and large herds related to levying taxes, livestock thefts, and ancillary businesses associated with various actors integrated into or following herds.

[END OF SECTION F]

SECTION G: FEDERAL AWARDING AGENCY CONTACT(S)

The Agency contacts for this NOFO:

Ms. Cheryl Hodge-Snead
Agreement Officer
Office of Acquisition &Assistance (OAA)
USAID/Nigeria
Email: chodge-snead@usaid.gov

And

Mr. Kingsley Ebule
Senior Acquisition & Assistance Specialist
Office of Acquisition & Assistance (OAA)
USAID/Nigeria
Email: kebule@usaid.gov

[END SECTION G]

SECTION H: OTHER INFORMATION

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

Applications with Proprietary Data

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

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

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

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

[END SECTION H]

PART III – LIST OF DOCUMENTS, EXHIBITS AND OTHER ATTACHMENTS

SECTION J - DOCUMENT, EXHIBITS AND OTHER ATTACHMENTS

Hard copies of the following documents are attached to this RFA Solicitation document via the link below:
https://drive.google.com/drive/folders/18f7kWKZnYxdJWhwACok1P__eF0PgSoYB?usp=sharing
Note: To see/download the attachments, copy the link and paste on Google Chrome. Some of the NOFO forms may be accessed electronically at: http://www.usaid.gov/forms/

ATTACHMENT NUMBER	TITLE
J.1	Mission Local Compensation Plan
J.2	Certification Regarding Trafficking in Persons Compliance Plan
J.3	N/A
J.4	Personnel Matrix Template
J.5	OMB Standard Form LLL – Disclosure for Lobbying http://forms.sc.egov.usda.gov/efcommon/eFileServices/eFormsAdmin/SFLLL_ 9707V01.pdf
J.6	FTF Indicator Handbook (https://www.agrilinks.org/sites/default/files/ftf-indicator-handbook-march-2018-508.pdf)
J.7	Nigeria_CDCS_2015-2020
J.8	Nigeria Diaspora Study: Opportunities for Increasing the Development Impact of Nigeria's Diaspora October 2017
J.9	USAID/Nigeria Diaspora Engagement Study and Strategy. 2017.
J.10	SPRING. 2018. Assessing Drivers of Malnutrition in Nigeria: A Report on Findings from Kebbi, Niger, Benue, and Cross River to Inform Food Security Investments. Arlington, VA: Strengthening Partnerships, Results, and Innovations in Nutrition Globally (SPRING) project.
J.11	IFPRI Report_Agricultural Mechanization Patterns in Nigeria

J.12	Nigeria: In-depth Assessment of Extension and Advisory Services Developing Local Extension Capacity (DLEC) Project March 2017.
J.13	DCA_One-Pager_Financial_Partner
J.14	The U.S. Government's Global Food Security Strategy
J.15	USAID Gender Equality Policy
J.16	Brookings_Youth Unemployment in Nigeria_A Situation Analysis
J.17	Youth_in_Development_Policy
J.18	What We Know About Exit Strategies – Sept 2005
J.19	Agriculture Promotion Policy (2016-2020) https://fscluster.org/sites/default/files/documents/2016-nigeria-agric-sector-policy-roadmap_june-15-2016_final1.pdf
J.20	Market Development for the Niger Delta - MADE, Nigeria - Poverty and Gender Assessment
J.21	Cadre Harmonisé for Identifying Risk Areas and Vulnerable Populations in Sixteen (16) States of Nigeria
J.22	Niger Strategic Resilience Assessment (2016)
J.23	Resilience and Conflict in Nigeria: Analysis of dynamics and programming leverage points (2017)
J.24	Building Resilience to Recurrent Crisis - USAID Policy and Program Guidance

[END OF SECTION J]

ANNEX 1 – ILLUSTRATIVE SUMMARY BUDGET FORMAT

Category	**Year 1 Example Yr. 1 through Yr 5**							
	Base/ Units	**Rate/ Unit Cost**	**1-Year Total**	**2-Year Total**	**3-Year Total**	**4-Year Total**	**5-Year Total**	**Grand Total Amount**
Personnel a) Long Term Expatriate Staff b) Local Professionals b) Local Support Staff c) Home Office								$
Personnel Total								
Fringe Benefits a) Long Term Expatriate Staff b) Local Professionals b) Local Support Staff c) Home Office								$
Travel a) Entitlement Travel b) Programmatic Travel								$
Equipment a) Above $5,000 b) Below $5,000								$
Supplies								$
Contractual								$
Grants Facility								$
Other Direct Costs (as applicable) Examples - a) Security Costs b) Consultants i) International/Regional ii) Local c) Allowances i) Long Term Expat ii)Short Term Expat d) Participant Training (including Tuition and Travel costs if any)								$
Total Direct Charges								$
Indirect Charges								$
a) Overhead b) G&A								$
Total Estimated Amount								$

ANNEX 2 - STANDARD PROVISIONS

(Note: the full text of these provisions may be found at: https://www.usaid.gov/ads/policy/300/303maa and https://www.usaid.gov/ads/policy/300/303mab). The actual Standard Provisions included in the award will be dependent on the organization that is selected. The award will include the latest Mandatory Provisions for either U.S. or non-U.S. Nongovernmental organizations**.** The award will also contain the following "required as applicable" Standard Provisions:

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

Required	Standard Provision
Yes	RAA1. NEGOTIATED INDIRECT COST RATES - PREDETERMINED (DECEMBER 2014)
Yes	RAA2. NEGOTIATED INDIRECT COST RATES - PROVISIONAL (Nonprofit) (DECEMBER 2014)
Yes	RAA3. NEGOTIATED INDIRECT COST RATE - PROVISIONAL (Profit) (DECEMBER 2014)
Yes	RAA4. EXCHANGE VISITORS AND PARTICIPANT TRAINING (JUNE 2012)
Not Required	RAA5. VOLUNTARY POPULATION PLANNING ACTIVITIES – SUPPLEMENTAL REQUIREMENTS (JANUARY 2009)
Not Required	RAA6. PROTECTION OF THE INDIVIDUAL AS A RESEARCH SUBJECT (APRIL 1998)
Not Required	RAA7. CARE OF LABORATORY ANIMALS (MARCH 2004)
Yes	RAA8. TITLE TO AND CARE OF PROPERTY (COOPERATING COUNTRY TITLE) (NOVEMBER 1985)
Yes	RAA9. COST SHARING (MATCHING) (FEBRUARY 2012)
Yes	RAA10. PROHIBITION OF ASSISTANCE TO DRUG TRAFFICKERS (JUNE 1999)
Not Required	RAA11. INVESTMENT PROMOTION (NOVEMBER 2003)
Yes	RAA12. REPORTING HOST GOVERNMENT TAXES (DECEMBER 2014)
Yes	RAA13. FOREIGN GOVERNMENT DELEGATIONS TO INTERNATIONAL CONFERENCES (JUNE 2012)
Not Required	RAA14. CONSCIENCE CLAUSE IMPLEMENTATION (ASSISTANCE) (FEBRUARY 2012)
Not Required	RAA15. CONDOMS (ASSISTANCE) (SEPTEMBER 2014)

Yes	RAA16. PROHIBITION ON THE PROMOTION OR ADVOCACY OF THE LEGALIZATION OR PRACTICE OF PROSTITUTION OR SEX TRAFFICKING (ASSISTANCE) (SEPTEMBER 2014)
Yes	RAA17. USAID DISABILITY POLICY - ASSISTANCE (DECEMBER 2004)
Yes	RAA18. STANDARDS FOR ACCESSIBILITY FOR THE DISABLED IN USAID ASSISTANCE AWARDS INVOLVING CONSTRUCTION (SEPTEMBER 2004)
Yes	RAA19. STATEMENT FOR IMPLEMENTERS OF ANTI-TRAFFICKING ACTIVITIES ON LACK OF SUPPORT FOR PROSTITUTION (JUNE 2012)
Not Required	RAA20. ELIGIBILITY OF SUBRECIPIENTS OF ANTI-TRAFFICKING FUNDS (JUNE 2012)
Not Required	RAA21. PROHIBITION ON THE USE OF ANTI-TRAFFICKING FUNDS TO PROMOTE, SUPPORT, OR ADVOCATE FOR THE LEGALIZATION OR PRACTICE OF PROSTITUTION (JUNE 2012)
Yes	RAA22. UNIVERSAL IDENTIFIER AND SYSTEM OF AWARD MANAGEMENT (July 2015)
Yes	RAA23. REPORTING SUBAWARDS AND EXECUTIVE COMPENSATION (DECEMBER 2014)
Not Required	RAA24. PATENT REPORTING PROCEDURES (DECEMBER 2014)
Yes	RAA25. ACCESS TO USAID FACILITIES AND USAID'S INFORMATION SYSTEMS (AUGUST 2013)
Yes	RAA26. CONTRACT PROVISION FOR DBA INSURANCE UNDER RECIPIENT PROCUREMENTS (DECEMBER 2014)
Yes	RAA27. AWARD TERM AND CONDITION FOR RECIPIENT INTEGRITY AND PERFORMANCE MATTERS (April 2016)
Not Required	RAA28. PROTECTING LIFE IN GLOBAL HEALTH ASSISTANCE (MAY 2017)

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

Required	Standard Provision
Yes	RAA1. ADVANCE PAYMENT AND REFUNDS (DECEMBER 2014)
Yes	RAA2. REIMBURSEMENT PAYMENT AND REFUNDS (DECEMBER 2014)
Not Required	RAA3. INDIRECT COSTS – NEGOTIATED INDIRECT COST RATE AGREEMENT (NICRA) (DECEMBER 2014)
Yes	RAA4. INDIRECT COSTS – CHARGED AS A FIXED AMOUNT (NONPROFIT) (JUNE 2012)

Yes	RAA5. UNIVERSAL IDENTIFIER AND SYSTEM OF AWARD MANAGEMENT (July 2015)
Yes	RAA6. REPORTING SUBAWARDS AND EXECUTIVE COMPENSATION (DECEMBER 2014)
Yes	RAA7. SUBAWARDS (DECEMBER 2014)
Yes	RAA8. TRAVEL AND INTERNATIONAL AIR TRANSPORTATION (DECEMBER 2014)
Yes	RAA9. OCEAN SHIPMENT OF GOODS (JUNE 2012)
Yes	RAA10. REPORTING HOST GOVERNMENT TAXES (JUNE 2012)
Yes	RAA11. PATENT RIGHTS (JUNE 2012)
Yes	RAA12. EXCHANGE VISITORS AND PARTICIPANT TRAINING (JUNE 2012)
Not Required	RAA13. INVESTMENT PROMOTION (NOVEMBER 2003)
Yes	RAA 14. COST SHARE (JUNE 2012)
Yes	RAA15. PROGRAM INCOME (DECEMBER 2014)
Yes	RAA16. FOREIGN GOVERNMENT DELEGATIONS TO INTERNATIONAL CONFERENCES (JUNE 2012)
Yes	RAA17. STANDARDS FOR ACCESSIBILITY FOR THE DISABLED IN USAID ASSISTANCE AWARDS INVOLVING CONSTRUCTION (SEPTEMBER 2004)
Not Required	RAA18. PROTECTION OF HUMAN RESEARCH SUBJECTS (JUNE 2012)
Yes	RAA19. STATEMENT FOR IMPLEMENTERS OF ANTI-TRAFFICKING ACTIVITIES ON LACK OF SUPPORT FOR PROSTITUTION (JUNE 2012)
Yes	RAA20. ELIGIBILITY OF SUBRECIPIENTS OF ANTI-TRAFFICKING FUNDS (JUNE 2012)
Yes	RAA21. PROHIBITION ON THE USE OF ANTI-TRAFFICKING FUNDS TO PROMOTE, SUPPORT, OR ADVOCATE FOR THE LEGALIZATION OR PRACTICE OF PROSTITUTION (JUNE 2012)
Not Required	RAA22. VOLUNTARY POPULATION PLANNING ACTIVITIES – SUPPLEMENTAL REQUIREMENTS (JANUARY 2009)
Not Required	RAA23. CONSCIENCE CLAUSE IMPLEMENTATION (ASSISTANCE) (FEBRUARY 2012)
Not Required	RAA24. CONDOMS (ASSISTANCE) (SEPTEMBER 2014)

Not Required	RAA25. PROHIBITION ON THE PROMOTION OR ADVOCACY OF THE LEGALIZATION OR PRACTICE OF PROSTITUTION OR SEX TRAFFICKING(ASSISTANCE) (SEPTEMBER 2014)
Not Required	RAA26. LIMITATION ON SUBAWARDS TO NON-LOCAL ENTITIES (JULY 2014)
Yes	RAA27. CONTRACT PROVISION FOR DBA INSURANCE UNDER RECIPIENT PROCUREMENTS (DECEMBER 2014)
Yes	RAA28. CONTRACT AWARD TERM AND CONDITION FOR RECIPIENT INTEGRITY AND PERFORMANCE MATTERS (April 2016)
Not Required	RAA29. PROTECTING LIFE IN GLOBAL HEALTH ASSISTANCE (MAY 2017).

ANNEX 3 - ABBREVIATIONS AND ACRONYMS

ADS	Automated Directive System
AO	Agreement Officer
AOR	Agreement Officer's Representative
APS	Annual Program Statement
BH	Boko Haram
CBOs	Civil Based Organizations
CDCS	Country Development Cooperation Strategy
CFR	Code of Federal Regulations
CLA	Collaboration, Learning and Adaptation
COP	Chief of Party
CRM	Climate Risk Management
DEC	Development Experience Clearinghouse
DFID	Department for International Development
DCOP	Deputy Chief of Party
DCA	Development Credit Authority
DO	Development Objective
DUNS	Data Universal Numbering System
EA	Environmental Analysis
ECPN	Engaging Communities for Peace in Nigeria
EGE	Economic Growth & Environment
EMMP	Environmental Mitigation and Monitoring Plan
EMMR	Environmental Mitigation and Monitoring Review Report
ERW	Explosive Remnants of War
EU	European Union
EXO	Executive Officer
FFP	Food for Peace
FMARD	Federal Ministry of Agriculture and Rural Development
FTE	Full-Time Equivalent
FTF	Feed the Future
GDP	Gross Domestic Product
GFSA	Global Food Security Act
GFSS	Global Food Security Strategy
GIS	Geographic Information Technology
GIZ	Deutsche Gesellschaft für Internationale Zusammenarbeit
GON	Government of Nigeria
HL	Health
IDPs	Internally Displaced People
IEE	Initial Environmental Examination
IMC	Interfaith Mediation Centre
IP	Implementing Partner

IR	Incident Report
ISIS-WA	Islamic State in West Africa
LGAs	Local Government Areas
MEL	Monitoring, Evaluation, and Learning
M&E	Monitoring and Evaluation
MTDC	Modified Total Direct Costs
NE	Northeast
NGOs	Non-Governmental Organizations
NICRA	Negotiated Indirect Cost Rate Agreement
NOFO	Notice of Funding Opportunity
OAA	Office of Acquisition and Assistance
OFAC	Office of Foreign Assets Control
OFDA	Office of Foreign Disaster Assistance
OMB's	Office of Management and Budget
OTI	Office of Transition Initiatives
PCNI	Presidential Committee on Northeast Initiatives
PDG	Office of Peace and Democratic Governance
RFA	Request for Proposal
RPBA	Recovery and Peacebuilding Assessments
SAM	System for Award Management
SC	Selection Committee
SF	Standard Form
SIR	Serious Incident Report
SITREP	Situation Report
SLI	Sequencing, Layering, Integrating
SSO	Safety & Security Office
STTA	Short-Term Technical Assistance
TBD	To be determined
TOLERANCE	Training of Leaders on Religious and National Coexistence
UN	United Nation
UNDP	United Nation Development Programme
U.S.	United States
USAID	United States Agency for International Development
USG	United States Government
WASH	Water, Sanitation, and Hygiene
WFP	World Food Programme

ANNEX #4: Past Performance Information

Name of Applicant: ___________________________

Name of Evaluator: ___________________________

1.	**Award Number:**
2.	**Contractor/Recipient (Name and Address):**
3.	**Type of Award:**
4.	**Complexity of Work: Difficult ____Routine ______**
5.	**Description of the work performed, location, and relevancy of work:**
6.	**Dollar Value of Work : ________________ Status: Active __Completed ___**
7.	**Date of Award: __________** **Award Completion Date (including extensions): ___________**
8.	**Type and Extent of Subawards:**
9.	**Name, Address, Telephone Number, and E-mail Address of the Awarding Contracting/Agreement Officer and/or the Contracting/Agreement Officer ’s Representative (and other references as applicable):**

Based on your knowledge of the proposed applicant, please rate the applicant performance in the following areas:

1. **How well applicant performed.**

Comments:

2. **The relevancy of the work performed under the program.**

Comments:

3. **Instances of good performance.**

Comments:

4. **Instances of poor performance.**

Comments:

5. **Significant achievement.**

Comments:

6. **Significant problems.**

Comments:

7. **Any indications of excellent or exceptional performance in the most critical areas.**

Comments:
____

8. **Overall Rating:** Overall, how would you rate the applicant's performance?

- ❑ Exceptional
- ❑ Very good
- ❑ Satisfactory
- ❑ Marginal
- ❑ Unsatisfactory

Additional comments:

ANNEX #5: Sample Format for Initial Security Plan

INTRODUCTION

The items contained herein are to be considered a baseline in the development of a Security Plan. As this guidance was developed for use across the Agency, it cannot take into account all "on-the-ground" situations. Thus, developers should consider the augmentation of their security plans to meet specific threats and possible emergencies posed by the environment.

Each USAID partner will look at its security posture differently. The plan must include:

1) An opening statement of management responsibilities with a brief description that summarizes the corporate, company, and or organizational philosophy regarding security in general (high profile, low profile etc.) and specifically towards this program/project.

2) A description/summary with an overview of the particular program/project. The plan must also indicate the intended method of managing the "safety and security program" i.e. in house by a security manager or contracted to a third party.

3) A Threat Analysis and a Risk Assessment conducted by a competent authority, preferably a professional Security Expert. This product must cover all facets of the Applicant's operations (i.e. lodging, office, transportation, operational area, etc.)

   - Current and previous security situation (to include crime, insurgent activity, kidnappings, police and military operations, etc.) in the area(s) of proposed program/project activities, the company's offices, and employee living areas.
   - Previous security incidents that involved the company and/or its personnel or other organizations in the vicinity previous and current threats against the company and/or its personnel.

4) Location(s) of proposed program/project offices and activities.

5) Period of Performance of the award.

6) The company's current security plan (if applicable) including perimeter security (i.e. "11' high, l' foot thick, concrete and brick wall, with razor wire on top totaling approx. 13' that surrounds the facility/ies, CCTV system, 10' high metal entry/exit door manned by a *24/7* armed guard, with cabin, etc).

7) For requests of vehicles:
   - Number of vehicles requested
   - Vendor that will be utilized
   - Frequency of travel utilizing vehicles
   - Terrain
   - Driver Training Plan

- Passenger orientation and driver training plan.

Note: Armored vehicles have different handling characteristics and drivers and perspective passengers should be trained in evasive driving techniques as well as handling the particular type of vehicle in emergency situations.

8) A security point of contact in case for questions or clarifications.

9) Planned methods to mitigate the threats, including evidence of an assessment or evaluation of alternative security precautions. These may include but not be limited to: Issuance and use of two-way radios and/or other communication networks, upgrading buildings, deploying guards and/or guard force, CCTV system, or purchasing additional vehicles as recommended by security experts, assessing the manner in which the FAV is envisaged to be used in terms of safety etc.

10) A cost breakdown along with comprehensive budget narrative. Initial funding request should be identified broken out by line item and incremental funding identified capturing annual cost and overall funding limit for the life of the award.

Please note that the above items are not an all-inclusive list; there may be additional relevant information or items to be considered. Therefore, when submitting a Security Plan, all relevant and necessary information must be addressed/explained.

SECURITY COUNTERMEASURES

The following topics are not part of an all-inclusive list, but represent a guidance of the elements the developer should consider to protect life and property from attack, theft, or environmental loss. If any of the topics is not considered relevant for the specific program/project, a short statement outlining why the topic is not relevant to the plan should be included.

Physical Security for the Program/Project Office(s) and/or personnel residences

- Facility Location(s) – provide pertinent security information for each facility and/or residences
- Site Plan(s) / photographs
- Perimeter
  - Barriers (bollards/vehicle control/personnel access control/ditch)
  - Perimeter wall (anti-climb/construction)
  - Visitor and package/mail screening
  - CCTV coverage and data storage – method to monitor and security of the storage medium.
  - Lighting
  - Setback
- 'Hardline' protection
  - Wall construction
  - Man-passable openings
  - Doors and Locks

    - Windows and Shatter Resistant Window Film (SRWF)
    - Access control procedures
    - Eliminating climbable platforms if applicable
- Interior
    - SRWF
    - CCTV (archiving)
    - Imminent Danger Notification System type alarm
    - Safe room - procedures
    - Room locks
    - Emergency procedures posted, drilled, and documented

<u>Guard Force Considerations for the Program/Project Office(s) and/or personnel residences</u>

- Guard Force
    - Guard force duties
    - Staffing per shift
    - Equipment that will be issued (armed/unarmed etc.)
    - Shift hours (avoid 12 hour shifts)
    - Pre-hire screening
    - Documented training (rules of engagement, firearms, first aid etc.)

<u>Infrastructure</u>

- Power
    - Generator (back-up power) size
    - Fuel delivery and storage

- Other Considerations
    - Potable water source and emergency supply
    - Environmental factors (flood/seismic)
    - Proximity to emergency response
    - Fire safety, smoke and carbon-monoxide alarms
    - Emergency food stores

SAFETY & SECURITY POLICIES AND PLANS

Corporate, company, and or organizational policies and plans that are specific to the program/project should be addressed.

<u>Policies</u>

- Incident reporting (SIR, IR, SR, etc.)
- Weapons on the premises/
- Premises access
- Pre-hire staff vetting
- Branding (USAID and other)
- ID issuance and display
- Medical treatment

- Movement on foot and vehicular
- Vehicle accident
- Night letters and other threats to staff
- Visitors access procedures
- Safeguarding sensitive information
- Travel policies including local, field and international.
- Compliance with licenses under Nigeria laws.

Plans

- Communications plan (including emergency cascade phone list)
- Fire in/on the premises
- Bomb threat
- Emergency Evacuation from premises
- Emergency Evacuation area/country
- Personal Recovery/Kidnapping release plan
- Emergency Action Plan

STAFF TRAINING

Training should be addressed at the outset of the program/project with scheduled refresher training included. Additionally, all training should be documented and recorded. Drills to establish the level of comprehension should also be considered.

Operational Security

  - Cell phone
  - Travel
  - Handling of sensitive information
  - Public

- Environmental Awareness/Cultural Sensitivity
- First Aid – what supplies and capabilities will be on premises
- Driving/Passenger
- Counterintelligence

ANNEX #6: USAID/Nigeria Quarterly Reporting Standard Format for all IPs

ANNEX #7: Branding and Marking Requirement Waiver

[END OF ANNEXES]

[END OF NOFO]