USAID | KENYA AND EAST AFRICA
FROM THE AMERICAN PEOPLE

TO: All Interested Applicants

Subject: Amendment 01 - Questions and Answers

Reference: Annual Program Statement Number (APS) No.: 7200AA21APS00004; Addendum No. 72061522APS00001

Date: June 9, 2022

Dear Interested Applicants,

Thank you for submitting questions in response to the referenced opportunity. We are providing our responses to the questions as follows. The response to each question is in **blue font** immediately following the question.

1. I was not able to access this follow-up link looking for more information - DiP-WASH APS No. 7200AA21APS00004. I am looking for more information on this opportunity. Is this funding only for Kenya?

   USAID Response: You may visit the DIP-WASH APS through www.grants.gov and inputting 7200AA21APS00004 in the search field.

   Yes, this is a Kenya specific opportunity. DiP-WASH is itself a global mechanism but funding for it comes through addenda, such as this one, from specific missions targeting specific countries.

2. Would USAID/KEA consider concept notes that are primarily focused on applied research and learning (ie evaluating different approaches)? Or should the primary focus be on the delivery of services / implementation?

   USAID Response: This activity is focused on the goals and objectives laid out in the APS addendum. Learning is included as one component among the four, all of which must be in service to the larger goal and purpose.

3. Will the co-creation process also be competitive (i.e., more concept notes selected than can be funded)?

   USAID Response: No. Co-creation will take place with the candidates selected for funding.

4. For co-creation, if in-person discussions/workshops are required, will USAID cover any of the costs?

   USAID Response: USAID/KEA will host and cover costs for the workshop itself. USAID will not pay for travel or related costs incurred by the selected concept applicants to allow them to attend the workshop(s).

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5. Can government institutions be sub-recipients?

   USAID Response: Yes, see definitions as provided under question 10. Please note that part of onboarding subrecipients for USAID programs requires confirmation from the recipient that a risk assessment has been conducted for the proposed subrecipient(s) and Recipient's proposed mitigations. Please keep this in mind when engaging potential sub-awardees.

6. We have started to compile the requested Concept Note and would like to confirm if the title, "*STAWI Addendum* to Diversifying Partnerships in WASH" implies we are applying to an addendum of STAWI, or STAWI itself. It has been interpreted both ways by members of our staff and, before proceeding, we wanted to clarify.

   USAID Response: STAWI is a Kenya specific opportunity and applicants could have responded to the STAWI RFP, which has now closed. DiP-WASH is a global mechanism but funding for it comes through addenda, such as this one, from specific missions. In other words, the DiP-WASH opportunity is separate from the STAWI opportunity, though the two will work closely together through implementation.

7. USAID programs usually require separation of time and place for their programs. Would the STAWI project allow for a sub grantee (like [Hidden Information]) to implement Church and Community Engagement activities including gospel proclamation activities alongside the core project activities? The answer to this will help us better advise on [Hidden Information] participation in the concept, proposal, and eventual project (if awarded).

   USAID Response: A faith-based organization that applies for or participates in USAID-funded programs or services, including through an award or subaward, may retain its independence and may continue to carry out its mission, including the definition, development, practice, and expression of its religious beliefs, provided that it does not use direct financial assistance from USAID to support or engage in any explicitly religious activities.

8. Please clarify if the cumulative ceiling Award is $ 20 million, or $14.6 million. What is the lower award amount per Award?

   USAID Response: USAID/KEA anticipates awarding up to 5 grants under STAWI. The total estimated shared ceiling budgeted for award(s) to be issued under this activity is $14,600,000. The expected size of each award to be issued will be determined based on the nature of concept notes. See section B of the addendum.

9. Can you clarify that the reference to USAID/Haiti is a typo (under Phase 4, page 17) and instead should read USAID/KEA?

   USAID Response: Confirmed Should read USAID/KEA

10. I would like to kindly confirm the eligibility guidelines for this activity as shared on page 14 of Addendum No. 72061522APS00001 of the Annual Program Statement Number (APS) No.: 7200AA21APS00004. If an organization does not meet the definition of Approach #1 - *new and underutilized partner,* is it eligible to apply as either prime or sub if it meets any of the 3 criteria listed on the same guidelines below?

1. **Local entities**, including government institutions.
2. **Locally established partners.** Unlike local entities, locally established partners (LEPs) must demonstrate viability apart from USAID funding by showing that they have received at least as much in non-U.S. Government funding as they have received from USAID in the previous five years.
3. **Non-local organizations**. While the Agency's Acquisitions & Assistance Strategy and Journey to Self-Reliance framework prioritize engagement with local partners, Mission/Operating Unit (OU) objectives may require a broader focus. This direct award option includes U.S. small businesses, as well as any other U.S.-based or international NUPs that could play a unique role in a given sector or context, such as U.S. higher education institutions.

Is meeting the new and underutilized partner criteria the overall determiner of eligibility and the other 3 criteria below only applicable if Approach # 1 is met?

USAID Response: All organizations applying as primes or subrecipients must meet the definition of NUPs. The other criteria apply if the NUPs definition is met. Section C is revised as provided below:

SECTION C: ELIGIBILITY INFORMATION

A. Eligible Applicants

USAID defines "Implementing Partners" as U.S. and non-U.S. non-governmental organizations that can design and implement assistance activities outside the United States. All Implementing Partners must be legally registered entities under applicable law and eligible under the relevant laws to receive funding from a foreign source. Individuals, unregistered, or informal organizations are not eligible to be Implementing Partners. NPI provides further details on eligibility, depending on the approach to partnership.

All eligible interested organizations are restricted to submitting only one Concept Note as the Prime Applicant at any given time. If more than one Concept Note is received with the same Prime Applicant, USAID will seek written clarification from the relevant entity regarding which Concept Note should be considered for review. If clarification is not resolved within five (5) business days, all Concept Notes submitted by the Applicant will be deemed ineligible.

Note: Please note that Applicants can serve as sub-awardees or supporting partners on multiple Concept Notes.

Concept Notes must utilize the following Partnership Approach:

Direct Awards to New and Underutilized Partners
Only applicants that meet the definition of new and underutilized partners (NUPs) **and** local entities or Locally Established Partners provided below, will be eligible, as Prime Recipients. Proposed Sub-recipients must meet the definitions of new and underutilized partners **and** meet one or more of the below definitions. This modality focuses on empowering partners with strong ties to local and national communities and relies heavily on these partners during co-creation processes to offer innovative ideas and solutions to WASH and WRM challenges.

1. **Local entities**, including government institutions.
2. **Locally established partners**. Unlike local entities, locally established partners (LEPs) must demonstrate viability apart from USAID funding by showing that they have received at least as much in non-U.S. Government funding as they have received from USAID in the previous five years.
3. **Non-local organizations.** While the Agency's Acquisitions & Assistance Strategy and Journey to Self-Reliance framework prioritize engagement with local partners, Mission/Operating Unit (OU) objectives may require a broader focus. This direct award option includes U.S. small

businesses, as well as any other U.S.-based or international NUPs that could play a unique role in a given sector or context, such as U.S. higher education institutions.

Definitions:
New or Underutilized Partner: An organization that has received less than $25 million in direct or indirect awards from USAID over the past five years.

Local Entity: An organization that:
1. Is legally organized under the laws of a country that is receiving assistance from USAID;
2. Has its principal place of business or operations in a country that is receiving assistance from USAID;
3. Is majority-owned by individuals who are citizens or lawful permanent residents of a country that is receiving assistance from USAID; and,
4. Is managed by a governing body, the majority of whom are citizens or lawful permanent residents of the country, that is receiving assistance from USAID.

Locally Established Partner (LEP): A U.S. or international organization that works through locally-led operations and programming models. LEPs:

1. Have maintained continuous operations in-country for at least five years and materially demonstrate a long-term presence in a country through adherence or alignment to the following:
    a. Local staff should comprise at least 50% of office personnel,
    b. Maintenance of a dedicated local office,
    c. Registration with the appropriate local authorities,
    d. A local bank account, and
    e. A portfolio of locally-implemented programs.

2. Have demonstrated links to the local community, including:
    a. If the organization has a governing body or board of directors, then it must include a majority of local citizens (i.e. in the host country, this is not required);
    b. A letter of support from a local organization to attest to its work; and
    c. Other criteria that an organization proposes to demonstrate its local roots.

[END OF SECTION C: ELIGIBILITY INFORMATION]

[END OF AMENDMENT 01]