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

Program Title: STAWI Addendum to Diversifying Partnerships in WASH (DiP-WASH)

Catalog of Federal Domestic Assistance: 98.001, Foreign Assistance for Programs Overseas

Pursuant to the Foreign Assistance Act of 1961, as amended, the United States Government, as represented by the U.S. Agency for International Development (USAID), the Bureau for Resilience and Food Security and USAID/KEA, is announcing the STAWI Addendum to the Diversifying Partnerships in WASH (Diversifying Partnerships in WASH (DiP-WASH)) hereafter known as the DiP-WASH APS.

Under STAWI, USAID/KEA aims to engage locally based new and underutilized partners to expand and amplify the Agency's work through and with water security. The overall Agency goal is to seek to support partner countries' progress on the Journey to Self-Reliance, achieve sustainable and resilient results, and catalyze more effective partnering for impact. This Addendum disseminates information to prospective Applicants so they may develop and submit Concept Notes in response and ultimately to be considered for USAID funding. This Addendum describes and provides:

- The type of activities for which Concept Notes will be considered;
- Available funding, process and requirements for submitting Concept Notes and Full Applications;
- The Criteria for evaluating Concept Notes; and
- Refers prospective Applicants to relevant documentation and resources.

USAID/KEA anticipates awarding up to 5 grants under STAWI. Issuance of this Addendum does not constitute an award or commitment on the part of the U.S. Government to make an award, nor does it commit the U.S. Government to pay for costs incurred in the preparation and submission of a Concept Note or Application(s). The actual number of assistance awards, if any, is subject to the availability of funds, as well as the viability of eventual full Applications received.

Based on the submitted Concept Note(s), USAID/KEA will determine whether to request a Full Application from an eligible organization. To be competitive under this Addendum to the DiP-WASH APS, Concept Notes and Full Applications must be fully responsive to all directions under the addendum and the overall APS except when specifically noted otherwise in this Addendum.

It is the responsibility of the Applicant to ensure that the entire APS and the STAWI Opportunity has been downloaded from www.grants.gov and 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 APS, please contact the grants.gov Helpdesk at 1-800-518-4726 or via email at support@grants.gov for technical assistance.

Thank you for your interest in USAID programs.

Sincerely,

PETRINA CHRISTIANNA WILLIAMS (affiliate)

Digitally signed by PETRINA CHRISTIANNA WILLIAMS (affiliate)
Date: 2022.05.19 13:16:07 +03'00'

Petrina Williams
Agreement Officer
USAID/KEA/OAA

U.S. AGENCY FOR INTERNATIONAL DEVELOPMENT

ANNOUNCEMENT

CALL FOR CONCEPT NOTES

ADDENDUM No. 72061522APS00001: SUSTAINABLE, TRANSFORMATIONAL AND ACCESSIBLE WATER INTERVENTIONS (STAWI)

UNDER EXISTING DIVERSIFYING PARTNERSHIPS IN WASH (DiP-WASH)
Annual Program Statement No.: 7200AA21APS00004

PLEASE NOTE: This Addendum relates to an existing announcement. All interested organizations should carefully review both this Addendum AND the full announcement here. Important information contained in the full announcement is not repeated in this addendum.

This activity is authorized in accordance with Part 1 of the Foreign Assistance Act of 1961, as amended.

Through the Sustainable, Transformational and Accessible Water Interventions (**STAWI)** Addendum (No. 72061522APS00001) to the Diversifying Partnerships in WASH (DiP-WASH) Annual Program Statement (APS) **No.: 7200AA21APS00004**, the United States Agency for International Development (USAID)/Kenya and East Africa (USAID/KEA) is prioritizing local orientation and local capacity building by soliciting partnerships with locally based new and underutilized partners (which can include conservancies) working in the northern and eastern counties in Kenya through multiple grants to improve water security in recurrent crises areas. The STAWI awardees are expected to contribute to two or more of the objectives under the activity which are:

1. Improve governance of water resources and services;
2. Increase the sustainability of water service delivery;
3. Improve management, efficiency, and equitable access to water used for productive purposes; and
4. Improve collaboration and learning across stakeholders under the leadership and coordination of the STAWI Contract Awardee.

Subject to the availability of funds, USAID/KEA anticipates supporting multiple awards of up to $14.6 million over 5-years. USAID reserves the right to award more or fewer awards than this estimate and is not obligated to make any awards. USAID/KEA expects to receive applications that demonstrate how the proposed approaches and interventions that will contribute to strengthening the resilience capacities of communities to manage water resources for domestic and agriculture/livestock use, prepare for, mitigate and respond to climate change, particularly women and girls; integrate a conflict management to address land issues that may arise; highlight opportunities and best practices for engaging local development organizations led by youth and women.

Unless otherwise stated herein, all terms and conditions of the DiP-WASH APS apply.

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LIST OF ACRONYMS

ADS	Agency Directives System
APS	Annual Program Statement
ASAL	Arid and Semi-Arid Lands
CFR	Code of Federal Regulations
DiP-WASH	Diversifying Partnerships in WASH (DiP-WASH)
EDE	Ending Drought Emergencies
FTF	Feed The Future
FAA	Foreign Assistance Act
GOK	Government of Kenya
ISPP	Increasing Smallholder Productivity and Profitability
JMP	Joint Monitoring Program
KIWASH	USAID/KEA's Kenya Integrated WASH program
LEPs	Locally Established Partners
LMS	Livestock Market System
NPI	New Partners Initiative
NUPs	New Underutilized Partners
NRM	Natural Resource Management
OU	Operating Unit
PREG	Partnership for Resilience and Economic Growth
RAPID	Resilient Arid Lands Partnership Development
SEK	Southeast Kenya Coordination Mechanism
STAWI	Sustainable, Transformational and Accessible Water Interventions
UNICEF	United nations Children's fund
USAID	U.S. Agency for International Development
WASCOs	Water and Sanitation Companies
WSP	Water Service Provider
WHO	World Health Organization
WRM	Water Resource Management
WRUAs	Water Resources User Associations
WSSH	Water security, sanitation and hygiene

SECTION A: PROGRAM DESCRIPTION

Introduction

The U.S. Agency for International Development is issuing this Addendum pursuant to the Foreign Assistance Act (FAA) of 1961, as amended. Any potential resulting award(s) will be subject to 2 CFR 700 and 2 CFR 200 – Uniform Administrative Requirements, Cost Principles, and Audit Requirements for Federal Awards and USAID's Standard Provisions for U.S and Non-U.S. Based organizations per ADS 303.

The purpose of STAWI activity is to strengthen resilience and expand economic opportunities in targeted northern and eastern counties through management of water resources, expansion of sustainable water services, and improved use of water within agriculture and livestock production and market systems. The overall goal is to improve water security in areas of recurrent crises.

Specifically, applications under this activity should address two or more of the four objectives:

1. Improve governance of water resources and services;
2. Increase the sustainability of water service delivery; and
3. Improve management, efficiency, and equitable access to water used for productive purposes; and
4. Improve collaboration and learning across stakeholders under the leadership and coordination of the STAWI Contract Awardee.

USAID seeks to support one or more recipients with a defined plan to achieve these outcomes to be further developed through co-creation and in consultation with USAID. USAID seeks to support an implementing partner(s) whose work plan reflects the priorities of the 2017 U.S. Global Water Strategy, technical approaches[1] to WASH, USAID private sector engagement policy, including using global and local trends in the sector to measure and report progress as well as building and disseminating evidence for advocacy, policy and learning. Given the cross-cutting nature of water resources into the agricultural sector, implementing partner(s) work plan must also align with the 2017 Global Food Security Strategy and the Global Food Security Kenya Country Plan.

USAID encourages a successful partner to draw on global trends and regional and national-level data on access to safe drinking water, water resource management (WRM), and agriculture including land and conflict management issues as they are linked to the Objectives of this activity, and on the results and lessons learned from previous USAID-funded activities. In addition, USAID encourages the recipient to leverage work being supported by other donors and stakeholders, as well as other USAID-funded activities.

DiP-WASH seeks to strategically diversify USAID's WASH, water resources management (WRM) and agriculture partnerships by drawing on specific capacities that will help to close knowledge, capacity, or technical gaps in service to the Objectives of this activity. As such, a successful partner is also encouraged to identify specific capacities that it will bring, and others that may be sourced from other partners. Co-creation activities will emphasize identification of needed capabilities.

Interventions may be implemented across the full range of contexts in which USAID works, including stable, crisis-affected, conflict-affected, and early recovery contexts. Crisis modifiers and shock responsive programming should be considered depending on the context specific to this addendum.

The STAWI opportunity is being released in conjunction with a contract opportunity and the contract awardee will be responsible to consolidate, disseminate and create a learning platform for sharing and applying lessons

[1] USAID's Approach on sanitation and hygiene and technical briefs and resources can be accessed here: https://www.globalwaters.org/what-we-do/sanitation-hygiene

across counties. To facilitate the coordination and learning synthesis and dissemination, the STAWI awardees will be expected to collaborate and coordinate with the contract awardee[2]. USAID also encourages coordination and collaboration among all STAWI awardees, if there are multiple awardees. This interconnectedness and collaboration between the contract awardee and the STAWI awardees, especially new awardees, will provide a channel to develop best practices in how county governments, local and underutilized new (or existing local) APS grantees and a prime contract awardee work together in Kenya.

In publishing STAWI addendum, **USAID/KEA is soliciting concept notes from interested organizations according to the review attributes listed in the DiP-WASH Announcement here**.

A. Background

Despite ongoing economic progress, Kenyans continue to face risks of shocks and stresses that threaten their well-being and ability to sustainably escape poverty. In the extreme, this has resulted in recurrent, large-scale humanitarian emergencies that threaten the lives and livelihoods of the most vulnerable, negatively impacting national and regional economies, and costing billions of dollars in humanitarian spending. Sustainably reducing poverty not only requires enabling people to escape poverty, but also strengthening the resilience of households, communities, systems, and governments. The Government of Kenya has the Kenya Water Act, 2016 and the Agriculture Sector Transformation and Growth Strategy (2019-2029). These institutional frameworks also align with the GOK's Ending Drought Emergencies (EDE) Common Program Framework.

Access to water underpins economic growth and livelihoods across sectors. About 75 percent of Kenyans derive all or part of their livelihoods from agriculture and livestock, both dependent on water; however, agricultural productivity has stagnated in recent years amid continuing population growth. This poses critical challenges to food security in the country as between 1 and 4 million people receive food aid annually. Kenya also continues to face challenges in providing sustainable access to drinking water services, with only 59 percent of Kenyans having access to basic drinking water services (WHO/UNICEF JMP 2019)[3].

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

Development Challenges

Kenya faces significant challenges in ensuring safe and sustainable water resources for communities in areas of recurrent crises to meet basic human, economic and ecosystem needs, while managing risks from droughts and floods. These challenges include:

Weak governance and institutional capacities. A weak governance structure with systemic corruption has resulted in frequent conflicts between upstream populations -- who are involved in water intensive agricultural production and irrigated agriculture -- and those situated downstream (households, agro-pastoral and pastoral households) who are often adversely affected by low water availability. Women have limited agency and lack a voice in water management and governance. In addition, county governments lack the capacity, knowledge and resources to effectively deliver and manage services amidst devolution processes.

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[2] STAWI Contract Opportunity: STAWI RFP

[3] Updated global estimates for WASH in households: https://washdata.org/

Low sustainability and reliability of water service delivery due to lack of professionalized maintenance, inability to regularly collect sufficient revenues, unclear institutional arrangements and responsibilities, and a lack of accountability for rural services.

Lack of access to water for multiple livelihood uses: Development of improved water sources have traditionally been designed to supply water for drinking and other domestic purposes. However, with erratic rainfall, pastoralists, and agro-pastoralists lack water for their livestock, which is their main source of livelihood.

Climate change. Climate variability affects water resources management and availability for both domestic and agricultural activities. The country experiences water scarcity with the condition being more severe in Arid and Semi-Arid Lands (ASALs). Severe droughts and flooding which is expected to increase in magnitude and frequency as a result of climate change will impact water availability and diminish water quality, with implications for irrigation and domestic water supply and sanitation, which combined account for 87 percent of current use.

Gender Inequality. Women provide 70 percent of labor in agricultural food production - however, their role in agricultural value chains remains invisible. Women are consistently underpaid across all sectors where women are paid KSH68 for every KSH100 paid to men. Women bear a bigger burden of unpaid care work, and on average spend about 2.5 times more time than men do. Women, young adolescent girls, and children are the worst hit during disasters. Young girls get married off for bride wealth as a coping mechanism and are more vulnerable to harmful gender norms. Women are the most dependent on natural resources, but their role in natural resource management (NRM) is limited. Production and market systems in Kenya are traditionally gender blind, based on a false assumption of a level playing field, and thus fail to recognize and accommodate underlying gender inequalities that impact women's abilities to compete with men for productive resources and opportunities.

Poor or no information technology. There is a lack of information technology infrastructure to help with understanding climate variability, ground water cycle, financing and improved service delivery.

Access to rights of land ownership. Water is a land based natural resource, which contributes directly to the socio-economic wellbeing of its people. Sustainable use of water resources depends on the rights of ownership based on the land governance systems set in place. It is necessary to control the rights of ownership and facilitate secure access to land to ensure sustainable water resource use.

Conflict over natural resources. The arid and semi-arid counties of Kenya are home to a significant population of pastoralists and agro-pastoralists who make their living out of livestock keeping and rely heavily on natural resources particularly water which is a determinant factor in their mobility and overall resource management. Weak governance has resulted in erosion of traditional natural resource governance systems. In some instances, interventions to solve water scarcity problems in the form of emergency water development have unintentionally worsened the situation. Inappropriately sited permanent water points such boreholes have encouraged settlement, broken down complex grazing patterns and resulted in degradation of the pasture and water resources, scarcity of resources and increased conflicts.

Theory of Change

The Activity asserts that: **IF** governance and management of water resources and services is improved, sustainability of water service delivery is increased, and management, efficiency and equitable access to water used for productive purposes is improved, **THEN**, counties and communities will have increased ability to safeguard sustainable access to adequate quantities and quality water, leading to the goal of improved water security.

B. Purpose

The main purpose of STAWI is to improve water security in areas of recurrent crises. USAID/KEA aims to increase the ability of counties and communities to safeguard sustainable access to adequate quantities and quality of water for sustaining livelihoods, human well-being, and socio-economic development.

For this activity, the STAWI awardees are expected to advance this purpose through county level interventions. STAWI activity awardees are not expected to contribute to interventions at the national level. The STAWI awardees must support and engage communities and civil society, particularly women and girls and youth, in developing political will and technical capacities in advancing the objectives of STAWI.

USAID/KEA posits that a focus on locally led, managed and owned development is a sure pathway to accelerating self-reliance, and contributing to transformational change in water resources management and improved water service delivery.

C. Coordination and Complementarity

STAWI awardees are expected to propose interventions and approaches that demonstrate collaboration with other USAID activities, including but not limited to:

- STAWI Contract award(s) managed by the USAID/KEA
- Future awards managed by the USAID/KEA

Additionally, the proposed interventions and approaches are encouraged to build on the work done to date in northern and southeast Kenya including, but not limited to the following:

- USAID/KEA's Partnership for Resilience and Economic Growth (PREG)
- USAID/KEA's Southeast Kenya Coordination Mechanism (SEK)
- USAID/KEA's Resilient Arid Lands Partnership Development (RAPID)
- USAID/KEA's Increasing Smallholder Productivity and Profitability (ISPP)
- USAID/KEA's Livestock Market Systems (LMS)
- USAID/KEA's Nawiri program
- USAID/KEA's Kenya Integrated WASH (KIWASH)

D. Programmatic and Geographic Focus

STAWI will target two resilience zones within Kenya, where vulnerability to recurrent crises is high. In the targeted arid counties, investments will aim to build resilience to shocks and reduce humanitarian assistance caseloads. In the targeted semi-arid counties, investments will aim to strengthen resilience so as to avert a return to dependence on humanitarian assistance. It is expected that the activity will work in the following counties listed below. The APS application may focus interventions in one or more of these counties.

Northern Kenya (arid)	**Eastern (semi-arid)**
• Garissa • Isiolo • Marsabit • Samburu • Turkana • Wajir	• Kitui • Makueni • Taita Taveta

Improving water security will depend on achieving four previously stated interrelated objectives:

1. Improve governance of water resources and services,
2. Increase sustainability of water service delivery,
3. Improve management, efficiency, and equitable access to water used for productive purposes, and
4. Improve collaboration and learning across stakeholders under the leadership and coordination of the STAWI Contract Awardee.

The Activity must undertake a set of integrated approaches and interventions that will achieve one or more of the outcomes and expected results. Across the four objectives, the applicant is expected to demonstrate how the proposed approaches and interventions will strengthen resilience capacities of communities, particularly women and girls; and address relevant land issues that may arise. The Applicant is also expected to highlight interventions that engage youth and offer lessons for how digital solutions (ICT) can be used to improve water governance and service delivery. Additionally, where relevant, the outcome activities should galvanize local development organizations led by youth and women to influence decision making on government policies, plans and budgets as well as behavior change at the household level.

Objective 1: Improve governance of water resources and services
In Kenya, management of water resources remains a national level function, given the cross-county nature of basins. However, water service delivery is managed at the county level. Water resources are increasingly under pressure with climate change and humanitarian crises. Poorly managed water resources and climate variability impact many water sources in terms of both quantity and quality. Water resources management is also impacted by land issues and property rights. The ability to plan, monitor and coordinate water resources management activities at the sub-county level through Water Resource Users Associations (WRUAs) can improve allocation and facilitate development of regulations and guidelines for use including protection of watersheds. Engaging civil society can be useful to create demand and accountability for improved services and resource management as well as increased understanding of climate change impacts.

Illustrative activities include:

- Capacity strengthening of WRUAs to improve water quantity and quality, resolve water user conflicts and promote efficient management and use of water
- Promotion of small-scale water source protection activities (e.g. infiltration areas, tree planting, livestock barriers) which may also include catchment conservation measures
- Influencing and enforcing regulations and permits rights that encourage improved allocation for multiple uses
- Building off of/expanding on USAID efforts at the community/conservancy/ward level to improve planning and mitigation measures for shocks and stresses.
- Collaborating with local development organizations led by women and youth, and civil society groups to advocate for improved water services (including on behalf of underserved/marginalized communities)

Objective 2: Increase sustainability of water service delivery
In the target counties, there is a need for greater access to water for households, crop production as well as livestock drinking troughs, but distances make infrastructure investments that reach small and dispersed populations costly. In rural communities and areas with low population density, formal services provided by Water and Sanitation Companies (WASCOs) are not available due to systemic corruption. In areas serviced by WASCOs, the companies face challenges expanding coverage. To ensure the sustainability of services including quality and efficiency, technical assistance on operations and maintenance, business management skills, finance, customer service and billing are required. Increasing the technical capacity of the workforce also requires the full participation and involvement of women.

Illustrative activities include:

- Funding small-scale, private sector, maintenance providers with promising models
- Technical skills-based training to deliver professional services on preventative, operations and maintenance
- Supporting rural WSPs to plan around the multiple uses of water and appropriately allocate and collect payments
- Training and mentoring for women to engage in the sector as professionals and business actors
- Engaging local and prominent influencer groups to promote accountability in delivering quality services

Objective 3: Improve management, efficiency, and equitable access to water used for productive purposes

The agriculture sector faces significant challenges due to water scarcity and increasing pressure of climate change and competing household needs and demands. Farmers, pastoralists, agro-pastoralists and value-addition enterprises are all negatively affected in terms of reduced productivity and income. Understanding the role that the private sector can play in addressing last-mile needs for water of actors engaged in productive activities is critical to the challenges. Equally important is recognizing the variations in productive purposes across the counties of the north and southeast from livestock herding to horticulture production and distribution to processing and input supply as well as the under-development of the private sector in targeted counties. Although, in the past, community management structures have failed to deliver sustainable water services, evidence consistently shows that this failure, at least in part, is derived from designs that do not take account of the local institutional arrangements and socio-economic context, local ownership, and the 'socio-technical' interface. Communities continue to have an important role to play in the management and use of water for productive purposes, especially in places where utilities and the formal private sector have limited reach.

Illustrative activities include:

- An inclusive co-creation process, involving local providers and users of water, designed and implemented to identify priorities and ensure community ownership of interventions.
- A community knowledge effort designed and implemented to capture 1) the demand for water across different socioeconomic groups within community livelihood systems, 2) gender and power dynamics around the provision and use of water for productive purposes, 3) impacts of climate variability and change on local livelihood systems and potential strategies for diversifying risk, and 4) knowledge of the institutional arrangements and socio-economic context of water management for productive purposes
- Models for water delivery and/or use that are technically feasible, demonstrate effective demand and show promise for sustainability are developed and scaled
- Layering STAWI with ongoing FTF and other USAID/KEA investments to support the adoption of climate-smart/water-efficient technologies for crops, livestock and agro-processing
- Business skills training for local youth in managing for productive purposes
- Efforts to reduce conflict over land and water resources for productive purposes.

Objective 4: Improve collaboration and learning across stakeholders under the leadership and guidance of the STAWI Contract

STAWI will be implemented across counties with varying characteristics (geographic, socio-economic, shocks/stressors, priorities, capacity), political will of the private sector, public sector, development partners and county governments and approaches to improve water security. To this end, STAWI will require strong platforms for collaboration and joint learning among partners - contract implementing partners, county governments, STAWI awardees and communities -- with rapid feedback loops to inform decision making and drive improvements in water security programming.

Illustrative activities include:

- Platforms for cross-county collaboration and exchange of experiences by service providers and relevant stakeholders to improve implementation.
- Co-monitoring and joint learning across partners with rapid feedback loops to decision making, adaptive management and ongoing program improvements.
- Dialogues, forums, or other platforms to bring community perspectives on WRM and water security/resilience into county policies and planning.
- Co-creation of a learning agenda by communities, counties, STAWI awardees and other stakeholders to support planning, decision making and policy actions.
- Documentation and sharing replicable and scalable models for strengthening water resources management and improving service providers efficiency in conflict and climate risk areas.

[END OF SECTION A: PROGRAM DESCRIPTION]

SECTION B: FEDERAL AWARD INFORMATION

Issuance of the STAWI Addendum does not constitute an award commitment on the part of the U.S. Government, nor do those commit the U.S. Government to pay for any costs incurred in the preparation or submission of questions, comments, suggestions, Concept Notes, and/or Full Application. Applicants submit Concept Notes/Applications at their own risk, and all preparation and submission costs are at their expense.

A. Estimate of Funds Available and Number of Awards Contemplated

USAID/KEA anticipates awarding up to 5 award(s) under the STAWI Addendum to the DiP-WASH APS. The actual number of assistance awards, if any, under this activity is subject to the availability of funds and the interests and requirements of USAID/KEA, as well as the viability of eventual Applications received.

Subject to the availability of funds, 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. All terms and conditions of the USAID DiP-WASH APS apply.

B. Start Date and Period of Performance for Federal Award(s)

The period of performance is five years from the date of award.

C. Type of Instrument

Awards that result from STAWI will take the form of a grant (including but not limited to a fixed-amount award). USAID reserves the right to determine the type of award after merit review of Concept paper or full application or no awards at all through this APS.

[END OF SECTION B: FEDERAL AWARD INFORMATION]

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 one of the following Partnership Approach:

Approach #1: Direct Awards to New and Underutilized Partners

Under NPI Approach #1, only partners meeting the criteria defined above for new and underutilized partners (NUPs)18 will be eligible, both as Prime recipients and as sub-recipients. Modality #1 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.

Please refer to the DiP-WASH APS for additional information on eligibility requirements.

[END OF SECTION C: ELIGIBILITY INFORMATION]

SECTION D: APPLICATION AND SUBMISSION INFORMATION

A. Agency Point of Contact

For any questions regarding STAWI activity, contact Ms. Petrina Williams at pwilliams@usaid.gov with a copy to Milly Warobi, at mwarobi@usaid.gov by the date and time listed on the cover page.

USAID/KEA will furnish promptly to all prospective Applicants, as an amendment to this Addendum, any information concerning this opportunity given to a particular prospective Applicant, if that information is necessary in submitting Applications, or if the lack of it would be prejudicial to any other prospective Applicant.

If an award is made, the Agreement Officer (AO) will appoint an Agreement Officer's Representative (AOR) at that time to provide technical and administrative oversight of the specific award during implementation.

B. Content and Format of Concept Submission

The application process for the STAWI activity will happen in four phases:

1. An open call for a brief (5-page) Concept Note;
2. Review of concept notes by USAID as outlined below;
3. In-person and/or virtual co-creation discussions and/or workshop(s) with selected Concept Note(s), by invitation only: and
4. Submission and review of Full Application(s), by invitation only.

USAID/KEA will be responsible for the review of Concept Notes and Full Applications and management of any subsequent awards issued under this activity. Additional information about each phase of the Application and Review process is provided below.

Phase 1: Concept Note Submission
All concept notes must be prepared and submitted in English using the provided templates (see Attachments 1 and 2). Respondents are asked to download the template from grants.gov in Word format, provide their responses in that document, and email a PDF saved copy of the document to pwilliams@usaid.gov with a copy mwarobi@usaid.gov with the file name saved as: **"CONCEPT NOTE AND BUDGET – ADDENDUM # 72061522APS00001**." **Concept notes must be five (5) pages or less**, double-spaced with 12 point Times New Roman font and one-inch margins on the electronic equivalent of 8.5 x 11 inch paper. Content above five pages will not be reviewed. Concept notes submitted after the deadline will not be reviewed.

After a concept note is received, USAID/KEA reserves the right to request supplementary information or pose clarifying questions to any applicant. Requesting supplementary information or posing clarifying questions to one applicant does not obligate USAID to do so with all applicants, nor does it guarantee invitation to submit a full application. USAID will host a two-week Q&A period, where prospective applicants are invited to ask questions until the deadline posted on the cover letter. Questions regarding the substance and objectives of the **STAWI** activity should be directed to pwilliams@usaid.gov with a copy to mwarobi@usaid.gov by the time and date listed on the cover page. One week after the closure of the Q&A submission period, USAID/KEA will post written responses on www.grants.gov.

Phase 2: Concept Note Review
Concept notes will be reviewed based on the proposed approach, feasibility and alignment with the above-referenced purpose of the STAWI activity. Additionally, concepts should be consistent with USAID legal and policy restrictions, including those set forth in USAID's Automated Directives System (ADS) and in the Foreign Assistance Act of 1961.

All terms and conditions of the FY 2020 DiP-WASH APS apply.

The purpose of the initial review and related communication is to determine whether USAID wishes to engage in further discussions regarding the proposed approach and activities. The initial review and communication will result in one of three outcomes:
● A decision to forego further consideration of the approach proposed in the Concept Note;
● An invitation to engage in more in-depth and specific co-creation discussions aimed at further developing the proposed approach and determining whether to request a Full Application.

USAID/KEA anticipates notifying authors of concept notes within 60 days of submission if the Mission wishes to engage in further discussions/co-creation, maintain the application in a pool for potential future engagement, or if Mission will not pursue further collaboration under the STAWI activity based on the submitted concept note.

Additional Considerations:
In addition to aligning with the USG Global Water Strategy, applicants should ensure that their concept note is aligned with other relevant USAID strategies, policies, and priorities, such as the USAID Youth in Development Policy, USAID Policy on Promoting the Rights of Indigenous People, USAID LGBT Vision for Action, USAID Education Policy, USG International Basic Education Strategy, USAID Environment and Natural Resources Management Framework, Strategy on Democracy, Human Rights and Governance, USG Global Food Security Strategy, USG Feed the Future Initiative, and Gender Equality and Female Empowerment Policy.

Proposed activities should reflect best practices highlighted in USAID's series of technical guidance briefs on WASH Programming.

NOTE: At a minimum, Concept Notes should include illustrative indicators used to track progress, quality, and impact (custom or standard F indicators as applicable), note any technical frameworks that should shape the approach to monitoring, evaluation, or learning, and include at least one illustrative learning priority. At the full application stage, additional guidance will be provided.

Applicants are advised to refer to both the umbrella APS and this addendum in preparing concept notes and full applications, as applicable.

Phase 3: Co-Creation Process (Shared Responsibility, Collaboration, and Communication)

Please see the DiP-WASH Umbrella APS for information on co-creation, shared responsibility, collaboration, and communication that is applicable to STAWI.

Subject to the availability of funds, USAID/KEA will invite a subset of the most highly-qualified concept note applicants to engage in a round of co-creation with USAID/KEA prior to submission of full applications. The aim of the co-creation phase is to further define activity objectives, design interventions, align timelines, and finalize budgets. Through discussions, both the applicant(s) and USAID/KEA may identify additional resources, partners, or strategies necessary to successfully implement the activity. This process may involve extensive discussions with USAID/Washington, USAID Mission staff, or other experts, within or outside of USAID. Co-creation may happen in-person or virtually, through video conference, and phone calls.

By applying to STAWI, applicants agree to allow USAID/KEA the right to share concept notes with appropriate external partners for the purposes of evaluation or co-creation. All parties privy to the contents of submitted concept notes, whether within or outside of USAID, will be required to keep contents in confidence. Additional information about the co-creation process can be found in the “Co-Creation” section of the umbrella DiP-WASH APS and through USAID’s Co-creation Toolkits.

If USAID/KEA decides to continue with the proposed activities following the co-creation phase, USAID/KEA may request a full application from applicants, inclusive of all modifications, expansions, discussions, etc. resulting from the co-creation phase and will provide a full application template for completion.

Phase 4: Full Application
USAID/KEA will only accept full applications from applicants invited to continue in the application process. It is expected that full applications will expand upon their concept note and incorporate any discussions, ideas, plans, feedback or changes from USAID/Haiti and other partners discussed during the co-creation phase. The request for application will have further details on that process. **Note: USAID/KEA’s Request for Application (RFA) should not be interpreted as a commitment of funds.**

QUESTIONS

Questions regarding the substance and outcomes of STAWI should be directed to Ms. Petrina Williams at pwilliams@usaid.gov with a copy to mwarobi@usaid.gov. Questions regarding the substance and terms of the DiP-WASH APS umbrella should be directed to DiP-WASHAPS@usaid.gov and the subject line “Question - DiP-WASH APS Umbrella”.

[END OF SECTION D: APPLICATION AND SUBMISSION INFORMATION]

SECTION E: APPLICATION REVIEW INFORMATION

A. Review of Concept Notes and Full Application

Once a Concept Note has been submitted in response to the STAWI Addendum, USAID will conduct an initial review of the Concept Note using the criteria outlined in the Merit Review Criteria and Considerations section below.

The purpose of the initial review and related communication is to determine whether USAID wishes to engage in further discussions regarding the proposed approach and activities. The initial review and communication will result in one of three outcomes:

- A decision to forego further consideration of the approach proposed in the Concept Note;
- An invitation to engage in more in-depth and specific co-creation discussions aimed at further developing the proposed approach and determining whether to request a Full Application.

B. Merit Review Criteria and Considerations

USAID/KEA will use the following criteria to assess Concept Notes and Full Applications in response to STAWI. Any Concept Note/Full Application submitted to this activity should propose an approach that satisfies these criteria and exhibits the characteristics set forth below. Concept Notes will be assessed according to the following merit review criteria using an adjectival rating system. *Very Good, Satisfactory, and Marginal. The Criteria 1-4 below are all of equal importance.*

Criterion 1 - Technical Approach

Extent to which the approaches articulated in the Concept Note or other response (a) offer a credible, evidence-based development hypothesis for the Objectives or Intermediate Objectives they seek to address and (b) demonstrate credible approaches to addressing the DiP-WASH Principles (sustainability; use of systems approaches; understanding of local context; equity and inclusion; and leveraging) as relevant.
NOTE: At a minimum, Concept Note/Applications should demonstrate considerations for disability, gender, and crisis or conflict-sensitivity.

Criterion 2 - Institutional Capability

Extent to which the Applicant demonstrates institutional capacity to (a) perform proposed activities, (b) build and manage relationships with host country stakeholders and with the U.S. Government, and (c) assemble high-quality technical teams.

Criterion 3 - Staffing Plan

Extent to which the proposed personnel (a) have the skills and resources necessary for successful implementation of the proposed activities and (b) include a plan for increasing diversity, equity and inclusion at every stage of program design and implementation.

Criterion 4 - Local Capacity Development

Extent to which the Concept Note's proposed forms of engagement increase the likelihood that local and locally established partners or the affected communities themselves will be able to continue the program's activities and/or maintain its achievements without funding from USAID (on a scale of 1 - 3; 1 represents none/minimal advancement, and 3 represents significant advancement): The use of the proposed form of engagement is likely to achieve 1) No or minimal chance of sustainment; 2) Some chance of sustainment; or 3) Significant chance of sustainment.

C. Additional Considerations

In addition to aligning with the USG Global Water Strategy, and the USAID/KEA CDCS, applicants should ensure that their concept note is aligned with other relevant USAID strategies, policies, and priorities, such as the USAID Youth in Development Policy, USAID Policy on Promoting the Rights of Indigenous People, USAID LGBT Vision for Action, USAID Education Policy, USG International Basic Education Strategy, USAID Environment and Natural Resources Management Framework, Strategy on Democracy, Human Rights and Governance, USG Global Food Security Strategy, USG Feed the Future Initiative, and Gender Equality and Female Empowerment Policy.

Proposed activities should reflect best practices highlighted in USAID's series of technical guidance briefs on WASH Programming.

[END OF SECTION E: APPLICATION REVIEW INFORMATION]

SECTION F: FEDERAL AWARD AND ADMINISTRATION INFORMATION

D. Federal Award Notices

The USAID Agreement Officer (AO) is the only individual who may legally commit the U.S, Government to the expenditure of public funds. Applicants are prohibited from charging or incurring costs to the proposed award prior to receipt of either a fully executed award or a specific, written authorization from the AO. USAID will administer awards in accordance with Parts 700 and 200 of Title 2 of the CFR, and Standard Provisions for U.S./non-U.S. organizations.

B. Type Of Award

USAID/KEA has a number of assistance award types to choose when providing funds under STAWI to successful Applicants. The type of award and terms and conditions included therein depends upon the type of recipient organization, programmatic factors, and other due-diligence matters (including responsibility determinations.)

C. Additional Information On Award Administration

- ADS Chapter 201 Program Cycle Operational Policy: https://www.usaid.gov/sites/default/files/documents/1870/201.pdf
- ADS Chapter 204 Environmental Procedures: https://www.usaid.gov/sites/default/files/documents/1865/204.pdf
- ADS Chapter 205 - Integrating Gender Equality and Female Empowerment in USAID's Program Cycle: https://www.usaid.gov/sites/default/files/documents/1870/205.pdf
- ADS Chapter 303 Standard Provisions for Non-U.S. Non-governmental Organizations: https://www.usaid.gov/sites/default/files/documents/1868/303mab.pdf
- ADS Chapter 303 Standard Provisions for U.S. organizations: https://www.usaid.gov/sites/default/files/documents/1868/303maa.pdf
- ADS Chapter 318 Intellectual Property Rights: https://www.usaid.gov/sites/default/files/documents/1876/318.pdf
- ADS Chapter 579 USAID Development Data: https://www.usaid.gov/sites/default/files/documents/1868/579.pdf
- Grant and Contract Process: https://www.usaid.gov/work-usaid/get-grant-or-contract/grant-and-contract-process
- USAID Graphic Standards Manual and Partner Co-branding Guide: https://www.usaid.gov/sites/default/files/documents/1869/USAID_GSM_03_05_2019.pdf

[END OF SECTION F: FEDERAL AWARD AND ADMINISTRATION INFORMATION]

SECTION G: FEDERAL AWARDING AGENCY CONTACT(S)

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

SECTION H: OTHER INFORMATION

A. U.S. Government Rights

USAID reserves the right to fund any or none of the Concept Notes/Full Applications submitted under this addendum to the DiP-WASH APS.

B. List of Attachments

- ATTACHMENT 1: Concept Note Template
- ATTACHMENT 2: Budget Template

[END OF SECTION H: OTHER INFORMATION]

[END OF ADDENDUM No.72061522APS00001]