DATE: **April 15, 2024**

SUBJECT: **Notice of Funding Opportunity Number (NOFO) 72061524RFA00004, Amendment No. 01, USAID Kenya and East Africa (KEA) Social Behavior Change (SBC) Activity**

Dear Prospective Applicants:

The purpose of Amendment No. 1 to the NOFO is as follows:

1. Extend the submission deadline for questions to Thursday, April 18, 2024;
2. Extend the closing date for submission of concept papers to May 8, 2024; and
3. Provide answers to questions raised by prospective applicants.

This amendment does not obligate USAID to execute an award, nor does it commit USAID to pay any costs incurred in the preparation and submission of applications. Furthermore the U. S. Government reserves the right to reject any and all applications, if such action is considered to be in the best interest of the U. S. Government. All other terms and conditions remain unchanged.

Sincerely,

/s/

Sandra Jansen
Agreement Officer
Office of Acquisition & Assistance
USAID Kenya and East Africa

1. On the **Cover Page**, delete the **dates for deadline for questions and closing date** and replace with the following:

"Deadline for Questions: Thursday, April 18, 2024"

and

"Closing Date: May 8, 2024
Closing Time: 12 noon East Africa Time"

[End of Amendment No. 01]

QUESTIONS AND ANSWERS

1. Section C.1, p.19: Do the eligibility criteria apply to all members of the local entity's team or just the principal applicant?

   USAID Response: The eligibility criteria apply to the principal applicant. However, any partner proposed by the principal applicant will be required at the award stage to meet the requirements for UEI and SAM registration.

2. Should the cost application for the opportunity factor the total funding of up to $14,950,000 as the budget for this activity or just the base amount highlighted amounting to $6,250,000?

   USAID Response: Applicants should not submit a budget in Phase 1 for the concept paper. Only the apparently successful applicant will be required to submit a cost application in Phase 3, which will include both the base amount and opportunity modules for a total of up to $14,950,000.

3. Since it's highlighted that applicant organizations may only submit one concept note, does this apply to both lead applicants and co-applicants/sub-awardees or only to lead applicants?

   USAID Response: A principal applicant may only submit one concept note.

4. Are applicants required to submit a budget at phase 1 alongside the concept paper?

   USAID Response: Applicants should not submit a budget in Phase 1 for the concept paper.

5. Is the budget required at submission of concept stage?

   USAID Response: Applicants should not submit a budget in Phase 1 for the concept paper.

6. Can USAID kindly confirm if applicants need to include profiles for the key positions in the concept?

   USAID Response: Please see instructions and guidance for the preparation and submission of concept papers under Section D.3.b, Phase 1: Concept Paper. For Phase 1, Applicants are requested to only present their technical approach, institutional capacity and experience, and proposed logic framework.

7. Can USAID confirm if a Consortia works directly with or includes a government or County to co-implement. Is that allowable and what are the limits.

   USAID Response: Applicants may propose a partnering strategy that aligns with their proposed technical approach. The Agreement Officer must approve all subawards proposed by the apparently successful recipient either prior to award or during implementation. Requirements for subaward approval are available in USAID's Automated Directives System Chapter 303 under Section 303.3.21 Subawards (https://www.usaid.gov/about-us/agency-policy/series-300/303).

8. Can applicants expect an extension to the concept note submission deadline given festival holidays in between.

   USAID Response: USAID/KEA is extending the concept paper submission deadline to May 8, 2024.

9. Under the guiding principles of the USAID/KEA NOFO, it is a mandatory requirement that in certain 18.geographical focus areas where similar USAID-Supported activities are implemented, the activity shall be implemented in collaboration with the current implementing partner. In that regard the following clarifications are sorted:
   a. At what stage does the implementing partner (s) come on board?
   b. If prior to concept submission, should they form part of the consortium during the application process?
   c. If after successful application, will the modalities of partner engagement/guideline be prescribed by USAID or the winning applicant?

   USAID Response: USAID/KEA will support engagement between the apparently successful applicant and other USAID implementing partners after the award. The applicant should propose a partnership strategy that aligns with its needs and proposed technical approach.

10. While WASH and menstrual hygiene has been outlined as a health sector challenge, how key is it with respect to this SBC opportunity? (none of the counties mentioned under page 15 or counties on the map on page 16 seem to cover WASH).

    USAID Response: WASH and menstrual hygiene are covered within Family Health.

11. In case there are 2-3 projects/organizations shortlisted during Phase 3, is there a possibility of the award being divided between the winners? Is there a possibility the winners will be asked to work together as a consortium?

    USAID Response: USAID intends to award one (1) Cooperative Agreement pursuant to this notice of funding opportunity. However, USAID reserves the right to make multiple awards or no award(s) at all through this opportunity.

12. If successful, does the USAID plan to scale the program or replicate it in other countries? Should/can the capacity building be focused on that?

    USAID Response: The place of performance for this activity is Kenya.

13. Is a private sector entity allowed to be the lead applicant for this opportunity?

    USAID Response: Applicants must meet the eligibility criteria listed under Section C of the NOFO.

14. Regarding the budget, can you please explain further how the ceiling budget, baseline budget, and option packages are intended to work? Our current interpretation is that we should plan to request funds that respond to the real-time evolution of health needs, but if that is correct, the current allocation requires more than half of the funds to be used in that way. Clarification would be helpful.

    USAID Response: Applicants should not submit a budget in Phase 1 for the concept paper. Only the apparently successful applicant will be required to submit a cost application in Phase 3 and will receive from the Agreement Officer additional and specific details on the full cost application submission.

    The ceiling amount of the anticipated award will be up to $14,950,000. The base amount for the anticipated 5-year award is expected to be approximately $6.25 million. The opportunity modules (valued at up to $8.7 million) will enable USAID to respond to unforeseen windows of opportunity that emerge over the course of implementation. Potential windows of opportunity may include buy-ins to the Activity from malaria, HIV, FP/RH, MNCH, TB, and GHS. These opportunity modules are intended to support the expansion of programming to additional health sector areas and geographic scope, as well as increase the scale of implementation.

15. Can you please explain further what unfunded means? This unfunded budget allocation for the opportunity modules is not guaranteed. The opportunity modules will enable USAID to respond to unforeseen windows of opportunity that emerge over the course of implementation. Potential windows of opportunity may include buy-ins to the Activity from malaria, HIV, FP/RH, MNCH, TB, and GHS. These opportunity modules are intended to support the expansion of programming to additional health sector areas and geographic scope, as well as increase the scale of implementation. USAID/KEA may invoke the opportunity modules to implement additional interventions at any point in the life of the activity.

    USAID Response: Subject to funding availability and at the discretion of the Agency, USAID intends to provide up to $14,950,000 in total funding over a five-year period. The base amount of the award will be approximately $6.25 million and additional funding of up to $8.7 million may become available based on windows of opportunity that emerge over the course of implementation.

16. Can you also please further explain how we should budget for capacity strengthening? Applicants may budget up to 10 per cent of the base amount of the award (and of each opportunity module) for the purpose of strengthening the capacity of the recipient organization and/or its partners. If the Applicant anticipates budgeting for local capacity strengthening, it must provide a plan on how it intends to use the funds and what the expected outcomes will be. See Section D. Application Review Information, Sub-section 3b. Detailed Preparation and Submission Guidance, Phase 2 - Oral Presentations for further guidance.

    USAID Response: Applicants should not submit a budget in Phase 1 for the concept paper. Only the apparently successful applicant will be required to submit a cost application in Phase 3 and will receive from the Agreement Officer additional and specific details on the full cost application submission.

    If the applicant anticipates the need to support capacity strengthening of itself and/or its partners, it may budget up to 10 percent of the base amount and of the opportunity modules for capacity strengthening activities. If the applicant intends to budget organizational capacity strengthening activities, it must describe the plan on how the funds will be used and the expected outcomes in the oral presentation in Phase 2 as well as the cost application in Phase 3.

17. Given your comments on capacity strengthening, can you clarify whether there is a preference within this process for a commercial or not-for-profit organisation?

    USAID Response: Applicants must meet the eligibility criteria listed under Section C of the NOFO. There is no preference with regard to type of organization. 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 Section E of the NOFO, subject to a risk assessment.

18. Since the prime in this project is already expected to be a local organization with sufficient capacity and skills to deliver to the USAID's highest expectations, what type of capacity development are we expected to offer? Can it be the training offered to the local organization by the global headquarters or does it need to be external to the bidding organization – e.g., investing in the capacity of the local health workers' skills or networks? Or investing in the skills/capacity of the local academia? In other words, can the capacity building be still focused on the prime in this project – or do we have to plan for external/environmental focus instead?

    USAID Response: The applicant should propose a local capacity strengthening plan that aligns with its needs and proposed technical approach.

19. Apart from the M&E proposed by the applicant will USAID be contracting a separate agency/partner for an independent impact evaluation?

    USAID Response: USAID/KEA does not anticipate contracting an independent impact evaluation at this time.

20. Which of the different health issues listed in the NOFO does USAID Kenya/ EA have the most and least experience with? Also, with which health issues has USAID Kenya/EA, the Kenyan Government and other stakeholders have the most and the least success with – i.e., where do you see the current listed programs (A4A, DREAMS, etc.) working well and where they are yet to see positive changes?"

    USAID Response: USAID/KEA has made investments in all health areas listed in the NOFO in collaboration with the Kenyan Government and other stakeholders. USAID/KEA project documents are publicly available on the USAID Development Experience

Clearinghouse at dec.usaid.gov.

21. Is there a hierarchy of priorities in terms of which issues should be addressed in Y1 or Y2 of the program vs Y4 and Y5? (EG: HIV/AIDS over WASH?) Along the same lines, is the expectation that all issues will be addressed in parallel in Y1-Y5 or there are priorities that will have to be addressed immediately and secondary priorities later in the grant life/program?

    USAID Response: Priorities will be identified annually during the workplan development process between the apparently successful applicant, USAID/KEA, GOK, and other stakeholders.

22. Regarding the 'Circle of Care' chart, can you please share where you think the focus should be between Motivation, Adherence and Interaction, based on experience and learnings?

    USAID Response: Applicants are encouraged to review available literature and data to inform their proposed technical approach.

23. What are the specific outcomes you would like to influence across the different priority health issues selected in Year 1,2,3,4,5?

    USAID Response: Applicants are encouraged to review available literature and data and propose outcomes that are aligned to their proposed technical approach as well as the SBC results framework presented in the NOFO .

24. It is noted that the recipient must work within USAID funded national and sub-national areas and a certain number of counties. Is there a specific reach number within population expected, or is it upon the applicant to propose within the design?

    USAID Response: Applicants may propose targets based on their understanding of the context and their proposed technical approach.

25. Is there a guidance/preference on the distribution between scaling best practices and existing USAID funded programs and v/s developing and piloting new approaches?

    USAID Response: Applicants should propose a technical approach that would lead to

achievement of objectives and results.

26. Are there specific learning questions that the USAID team would like to answer through this program and associated research? Do you feel there are knowledge gaps that are important to consider for design and implementation of the program?

    USAID Response: Applicants may propose learning questions that align with their proposed technical approach.

27. What do you believe is the balance between system issues (including health worker training and supply-chain challenges) and individual behaviour change? Where do you think the bulk of the initiative's efforts should focus? As a local organization we understand the depth of system issues but also the deep work needed to change behaviour and we are interested in your views on the appropriate balance.

    USAID Response: Close collaboration between this activity and USAID-funded partners should address both "systems level issues" and "individual behavior change". At the basic level, system level SBC targets strengthening of GOK systems, structures, and policies that would improve coordination, collaboration, learning and technical capacity to design, implement, and monitor SBC interventions. Applicants are encouraged to review available literature and data and propose a technical approach that would lead to achievement of objectives and results.

28. Can you please share further information about your target audiences (eg Demographics, Socioeconomics, Psychographics) and their barriers and triggers to adopt the desired behaviors? We have noted the focus on youth and vulnerable/marginalized populations – but any specific beyond that would be appreciated.

    USAID Response: Applicants may propose targets based on their understanding of the context and their proposed technical approach.

29. Are there any programmatic learnings from similar SBC programs in Kenya and/or the region that you think could be useful to share with us at this stage? Along the same lines, would you be able to share with us any results of the formative research conducted as part of the Agency for All program, DREAMS program, and any other listed in the RFP?

USAID Response: USAID/KEA project documents are publicly available on the USAID Development Experience Clearinghouse at dec.usaid.gov.

30. Can you further detail the rationale between the two modalities mentioned in the NOFO? What are the criteria for deciding which activities to implement and which ones to support?

    USAID Response: The rationale to implement SBC activities sub-nationally alongside and in collaboration with USAID-funded service delivery mechanisms or not implement SBC activities sub-nationally but support USAID-supported service delivery mechanisms to design and implement SBC activities will, be determined during the workplan development process between the apparently successful applicant, USAID/KEA, implementing partners, GOK, and other stakeholders.

31. Regarding program implementation, are there specific conditions/ mandatories to bear (EG: Specific partners to work with? Supply-side services to integrate?)

    USAID Response: Applicants should propose a technical approach that would lead to achievement of objectives and results.

32. You list a significant number of partners with whom you are already working. Is it a programme requirement that we work with your existing partners or is it also possible to present alternative models for communications activation (not execution of healthcare services)?

    USAID Response: USAID/KEA will support engagement between the apparently successful applicant and other USAID implementing partners after the award. Applicants may propose engagement with other stakeholders based on their proposed technical approach.

33. While this opportunity focuses on SBC and service delivery (demand side), are there plans to complement strategies proposed by addition of a supply side? (To enable thinking around metrics and level of change, results framework)

    USAID Response: "Supply side" interventions are the purview of USAID-funded service delivery partners. Project outputs from these partners are available on the USAID Development Experience Clearinghouse at dec.usaid.gov.

34. There are quite a few mentions of the community engagement in the implementation of the programme. Based on your knowledge and experience, is your preference for engaging with the existing network of grassroots organizations or for forming new organizations in a limited number of localities to experiment with new approaches? Does this engagement need to be formalized?

    USAID Response: USAID/KEA's preference is to strengthen existing systems through this activity, including "existing network of grassroots organizations". Applicants should propose a technical approach that would lead to achievement of objectives and results.

35. Would the winning organization(s) be interacting with one main office at the USAID or with multiple teams/offices engaged in the integrated delivery on the USAID goals in Kenya?

    USAID Response: The apparently successful applicant's primary point of contact for the activity will be the Agreement Officer in USAID/KEA's Office of Acquisition and Assistance and the Agreement Officer's Representative in the Health Population, and Nutrition Office.

36. Do you expect the winning organization(s) to engage in an active advocacy programme with the Government of Kenya?

    USAID Response: Applicants should propose a technical approach that would lead to achievement of objectives and results.

37. How would support to the various SBC campaigns be structured:
    Does the government initiate requests to the awarded entity?
    Would we need to work on multiple simultaneous campaigns with different government agencies?
    Do we have any say in how working groups are formed and which partners are invited to the decision-making table?
    Who approves the campaign direction?
    Who holds the media budget?
    Who is responsible for contracting media partners?

    USAID Response: Applicants should propose a technical approach that would lead to

achievement of objectives and results.

38. Can USAID kindly confirm if there are any priority counties in Kenya to implement the SBC Activity as mentioned in the NOFO?

    USAID Response: As per the NOFO (Geographical Scope), USAID/KEA will support activities at the national and sub-national levels in Kenya. The prioritization of counties will be as per the '*Map of USAID/KEA focus counties by health area*' and will be identified during the work plan development process between the apparently successful applicant, USAID/KEA, GOK, and other stakeholders.

39. The NOFO covers several disease program areas- can USAID kindly confirm if applicants are expected to cover all the disease areas or selected conditions.

    USAID Response: Applicants should propose a technical approach that would lead to achievement of objectives and results for all disease areas given that potential windows of opportunity may include buy-ins to the Activity from malaria, HIV, FP/RH, MNCH, TB, and GHS.