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Issuance Date:	July 20, 2012
Deadline for submission of Questions:	July 27, 2012 09:00 a.m., Nairobi-Kenya Time
Anticipated date of response to Questions:	August 03, 2012
Closing Date for Application Submission:	August 31, 2012
Closing Time:	09:00 a.m. Nairobi-Kenya Time
Anticipated Announcement and Award Date:	October 15, 2012
Place of Performance:	Kenya

Subject: **Request for Application (RFA) Number RFA-623-12-000005: Kenya Arid Lands Disaster Risk Reduction-WASH Program**

The United States Agency for International Development (USAID) East Africa is seeking applications to fund one organization through a Cooperative Agreement for a two year program entitled *"Kenya Arid Lands Disaster Risk Reduction-WASH Program"* as described in Section I of this RFA. The authority for the RFA is found in the Foreign Assistance Act of 1961, as amended.

This is a full and open competition, under which any type of organization, large or small, commercial (for profit) firms, faith-based, and non-profit organizations in partnerships or consortia from geographical code 935, are eligible to compete. In accordance with the Federal Grants and Cooperative Agreement Act, USAID encourages competition in order to identify and fund the best possible applications to achieve its program objectives.

The Recipient will be responsible for ensuring achievement of the program objectives from the anticipated Cooperative Agreement over period of two (2) years from the time of the award. Please refer to the Program Description for a complete statement of goals and expected results. Subject to the availability of funds, USAID intends to provide approximately $8,000,000 in total funding over 2 years. Approximately $4,000,000 is available and expected to be provided for the first one year of this activity, and additional funding of another $4,000,000 has been requested and is anticipated to become available and allow implementation for an additional one year.

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

An applicant under consideration for an award that has never received funding from USAID will be subject to a pre-award audit to determine fiscal responsibility, ensure adequacy of financial controls and establish an indirect cost rate. USAID reserves the right to fund any or none of the applications submitted and expects at least one award as a result of this solicitation.

Award will be made to the responsible applicant whose application best meets the requirements of this RFA and the selection criteria contained herein. Issuance of this RFA does not constitute an award commitment on the part of the Government, nor does it commit the Government to pay for costs incurred in the preparation and submission of an application. **In addition, final award of any resultant**

agreement cannot be made until funds have been fully appropriated, allocated, and committed through internal USAID procedures. While it is anticipated that these procedures will be successfully completed, potential applicants are hereby notified of these requirements and conditions for award.

This RFA and any future amendments can be downloaded from http://www.grants.gov. Select "Find Grant Opportunities," then click on "Browse by Agency," and select the "U.S. Agency for International Development" and search for the RFA. In the event of an inconsistency between the documents comprising this RFA, it shall be resolved at the discretion of the Agreement Officer.

Any questions concerning this RFA should be submitted in writing to the Procurement Administration Assistant, Charity Igweta, via email at cigweta@usaid.gov with copy to the Agreement Officer, Charles Signer at csigner@usaid.gov by the date stated above. Questions sent to any other e-mail address will not be responded to. The e-mail transmitting the questions must reference the RFA number and title on the subject line of the e-mail. The deadline for submitting questions is **July 27, 2012 09:00 a.m. Nairobi-Kenya Time.** If there are problems in downloading the RFA from the Internet, please contact the Grants.gov help desk at 1.800.518.4726 or support@grants.gov for technical assistance.

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

Applicants shall submit both Technical and Financial Applications of their submissions in separate volumes. Award will be made to the responsible applicant whose application offers the greatest value to the U.S. Government. Please note, however, that technical applications will be significantly more important than cost applications.

If you decide to submit an application, please note that electronic submission is required. Applications must be sent as e-mail attachments to cigweta@usaid.gov and cc: csigner@usaid.gov.

The required method of distribution of USAID RFA's is electronically via Grants.gov which provides a single source for Federal government-wide competitive grant opportunities. This RFA and any future amendments can be downloaded from this website. The World Wide Web Address is http://www.grants.gov. In order to use this method, an applicant must first register on-line with Grants.gov. If you have difficulty registering or accessing the RFA, please contact the Grants.gov Helpdesk at 1-800-518-472 or via e-mail at support@grants.gov for technical assistance.

Applications must be received by the closing date and time indicated at the top of this cover letter. Late applications will not be considered for award. Applications must be directly responsive to the terms and conditions of this RFA.

Sincerely,

Charles Signer
Regional Agreement Officer.

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SECTION I – FUNDING OPPORTUNITY DESCRIPTION

Kenya Arid Lands Disaster Risk Reduction-WASH Program

I. Introduction

The purpose of this Request for Application (RFA) is to disseminate information about the USAID/Kenya and USAID/OFDA's joint Arid Lands Disaster Risk Reduction Program, to ensure that interested parties will have a fair opportunity to submit applications for funding. This RFA describes USAID's assistance to disaster risk reduction in the water sector and explains the process and criteria for evaluating applications.

Issuance of this Request for Application does not constitute an award commitment on the part of the U.S. Government, nor does it commit the US Government to pay for the costs incurred in the submission of a proposal. Further, the U.S. Government reserves the right to reject any or all applications received and to negotiate separately with an applicant if such an action is considered to be in the interest of the U.S. Government.

USAID anticipates awarding at least one assistance instrument (grants or cooperative agreements – herein referred to as grants) from applications submitted in response to its Arid Lands Disaster Risk Reduction Program Water, Sanitation and Hygiene (WASH) RFA. All applications must be submitted by the above closing date. It is anticipated that grants will be funded for amounts between $4,000,000 and $8,000,000. Due to limited funding levels, proposals for larger grant programs than stipulated are not eligible. Successful programs may be eligible for follow-on awards if additional funding is available, and the program objectives and outcomes continue to be consistent with USAID's priorities.

Funding for this RFA comes from two sources. One half of the funding is through the Senator Paul Simon Water for the Poor Act of 2005—these funds must be utilized to improve human health through the rehabilitation/improvement of existing water sources utilized for drinking water, increasing access to improved drinking water supply, improving hygiene behaviors, and increasing access to improved sanitation. The other half of the funding comes through the Office of U.S. Foreign Disaster Assistance (OFDA). The OFDA funding is flexible, though it must clearly be utilized for either direct emergency response or as "disaster risk reduction" programming and should seek to improve resilience to future drought in arid regions of Kenya and/or reduce the need for future emergency WASH response activities.

II. Authority

This RFA is issued under the authority of the Foreign Assistance Act of 1961, as amended. Awards to U.S. organizations will be in accordance with 22 CFR 226, Mandatory Standard Provisions for U.S. Non-governmental Recipients, and the applicable additional Standard Provisions for U.S. Non-governmental Recipients. Awards to non-U.S. Organizations will be administered in accordance with the USAID Standard Provisions for Non-U.S. Non-governmental Grantee/Recipients. Awards to Public International Organizations will be administered in accordance with the USAID Standard Provisions for Public International Organizations. The mandatory and other applicable standard provisions for all organization types are available on the USAID internet site: (http://www.usaid.gov/pubs/ads).

III. Arid Lands Disaster Risk Reduction WASH Program Scope of Work

1. Objectives

The core objective of the program is to assist the Kenyan government and communities through cooperative agreements to a consortium, or consortiums of, non-governmental organizations (NGOs) that are not for profit and/or Public International Organizations (PIOs) to increase resilience to drought and flash floods while simultaneously increasing access to improved water supply and sanitation services, and improving hygiene behaviors, for poor and vulnerable populations in the arid counties of Turkana, Marsabit (including Moyale District), Garissa, Isiolo, and Wajir in Kenya. Through its investments, USAID proposes the following objectives:

1. Increase water storage capacity in arid lands, through improving natural and artificial storage.
2. Improve WASH conditions at health facilities and nutrition centers frequently utilized during emergency response.
3. Improve access to safe drinking water sources, improve access to and usage of point of use water treatment products, promote good hygiene behaviors and use of sanitation facilities as a means of reducing diarrheal disease in areas with recurrent emergency levels of malnutrition and around areas of improved water storage.

Many unique challenges exist with programming of humanitarian and development aid in arid lands. A delicate balance exists between human populations and the environment and provision of aid and development of natural resources risks altering the balance and producing unintended negative social and environmental consequences. Aid agencies working in arid lands must be very cautious to reduce the chances of producing unintended negative consequences as a result of their actions. Successful applicants will describe their program design processes, starting with a methodology for targeting locations or populations and how risks of causing negative social and environmental problems will be reduced. The process must clearly show how the targeting process will result in programs that will be supportive of sustainable livelihoods and resource use, and will not negatively impact pastoralism, pasture quality, or access to pasturelands. Programs should avoid the creation of new settlements and should focus programming around communities that have long been established, rather than those that are very new.

The focus of the proposed projects should be to reduce vulnerability to drought. However, if proposed drought resilience project locations overlap with areas that are flood prone, programs should also attempt to reduce vulnerability to flash flooding.

Successful applicants will highlight a strong programmatic focus upon and demonstrate a solid technical capacity to improve human health through programs in the water, sanitation, and hygiene promotion (WASH) sector. Programs may include multi-use water sources where livestock or other livelihoods are enhanced by the program, but addressing human health must be a strong focus within any multi-use water source project.

Successful proposals will highlight how the two year timeframe will be utilized efficiently to achieve the greatest outcome. Typically, OFDA programs have a very short duration that limits what can be achieved. Applicants should highlight how they will utilize the 24 month project duration to achieve better outcomes than can typically be achieved with shorter projects.

2. Background

According to the United Nations Department of Economic and Social Affairs, Kenya is classified as a water-scarce country,[1] limited by an annual renewable fresh water supply of only 500[2] cubic meters per capita, and this amount is projected to fall to 245 cubic meters by 2025 due the population increases; available water declining including forest cover reducing and industrialization takes place. In Kenya, Arid and Semi-Arid Lands (ASALs) occupy over 80% of the country. The uneven distribution of rainfall, in addition to temporal and spatial variations, often lead to recurring droughts in the north and east and flooding during the rainy seasons.

There have been many projects targeting drought resilience over recent decades. Many of these projects were successful at a very local level; however, they did not lead to overall resilience to drought. Efforts have often been short-term, during or immediately after a disaster, uncoordinated, and without consideration to impacts upon pastoralism and other sustainable livelihoods.

Arid lands are locations which routinely have insufficient rainfall to support anything but the heartiest of plant life, specially adapted to dry lands. In other words, arid lands by definition are scarce resource environments. Drought is defined as a period of abnormally dry weather sufficiently prolonged from the lack of precipitation to cause a serious hydrologic imbalance.

It is important to recognize that arid areas chronically have low levels of rainfall average 300mm per year and have human populations that have adapted to this difficult environment. Pastoralism is a livelihood that has historically succeeded in arid areas of Kenya while other livelihoods have not been successful. These underlying conditions are unchanged and the primary viable livelihood in arid lands remains pastoralism.

The arid lands in Northern Kenya have experienced a reoccurring cycle of drought in recent decades, with droughts occurring in 1991, 1995, 1999, 2004, 2009, and 2011. Considering this pattern, it can be expected that droughts years are likely to occur again in the near future.

A number of factors lead to increased vulnerability in arid lands. These vulnerabilities and increasingly eroded coping mechanisms have resulted in a recurrent and increasing need for humanitarian assistance during droughts.

Underlying causes of vulnerability in arid areas include:

1. Changes in Land Ownership Patterns
2. Conflict and Cross-Border Issues
3. Climate Change/Variation
4. Pastoralist's Lack of Political and Economic Inclusiveness
5. Environmental Degradation
6. Population Growth
7. Lack of Economic Alternatives
8. Inadequate Infrastructure, Poor Access to Basic Services (including access to educational services)

As a result of these vulnerabilities, successive drought, provision of humanitarian assistance, and to establish political representation, many new settlements have been forming in northern Kenya. These

[1] When annual water supplies drop below 1,000 m3 per person, the population faces water scarcity, and below 500 cubic meters "absolute scarcity". This figure does not measure access to potable water supply services.
[2] According to FY 2011 Annual Water Sector Report by the Ministry of Water and Irrigation. This is reduction in the last 7 years from $647m^{3.}$

new settlements are often very small, have limited economic opportunity, seasonal water sources, and few coping mechanisms and are extremely vulnerable to even mild climatic variation. The new settlements may also be resulting in significant degradation of wet season grazing lands which previously were only grazed when surface water sources, such as pans, were supplying water for livestock.

Poverty reduction through supporting sustainable livelihoods and increasing livelihood diversification are key components to increasing resilience to drought in arid lands. However, programs designed to diversify livelihoods must be done very carefully to ensure that they do not disrupt existing livelihoods, particularly those livelihoods of the most poor. Considering the prominent role of pastoralism, most sustainable livelihood diversification activities would have links to, and support, pastoralism.

In addition to difficult natural conditions in arid lands, the country also faces significant deficits in safe water supply and sanitation service coverage. Only 48 % of the rural population has access to improved drinking water supply from a variety of sources.[3] The Joint Monitoring Program (JMP) by WHO and UNICEF that tracks progress towards Millennium Development Goals (MDGs) in 2009 put Kenya at 59% safe water coverage a 2% improvement in 5 years. The 2008-2009 Kenya Demographic and Health Survey (KDHS) found that 35.5% of Kenyan rural population got its drinking water from un improved which is an increase from 31.1% in 2003, 15.2% had access to piped water within the plot or residential areas, 8.0% from protected springs, 8.8% from boreholes.

There are marked urban/rural differentials in the total coverage as well as type of drinking water service available. Urban water supply coverage in Kenya reached 89% in 2002 and this declined to 82% in 2009 (JMP 2009). One of the contributing factors for the drop in water supply in urban areas is the rural urban migration resulting in the increased population in informal settlements. The rural water coverage stands at 48% with very minimal increase indicating a special concerted effort is required to help the country achieve the MDG targets.

About 43% of all households in Kenya have access to an improved sanitation facility, with about 43% coverage in rural areas.[4] Traditional pit toilets are the predominant type of toilet in all rural provinces where they are used (e.g., with the exception of North Eastern Province, where all toilet facilities are rare). In rural areas, the proportion of households with private toilets is almost identical to the proportion with shared toilets. There is little national-scale information about the actual use of these facilities or the adoption of associated hygiene behaviors with the highest health benefits, including hand-washing, feces handling, and point-of-use water treatment. Overall, sanitation has stagnated over the years, with more than 22 million of the population lacking improved sanitation and more than 5 million using open defecation systems according to studies by World Bank's program of Water and Sanitation Program of 2009. This study also revealed that only 5% of Kenyans do practice hand washing with soap explaining why diarrhea is still a major health problem for the country.

3. <u>Problem Statement</u>

The severe natural water resources conditions has had significant consequences on the development of most vulnerable regions in Kenya. The country's ASALs are populated by more than 10 million people, with more than 50% of them living below the poverty line.[5] Basic services are neither adequately

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[3] WHO/UNICEF 2009. Joint Monitoring Programme. Meeting the MDG Drinking Water and Sanitation Targets: A Mid-Term Assessment.

[4] Improved sanitation facilities are defined by the WHO/UNICEF JMP as: Connection to a public sewer; Connection to a septic system; Pour-flush latrine; Simple pit latrine; or Ventilated improved pit latrine

[5] http://www.fao.org/nr/land/sustainable-land-management/farmer-field-school/agro-pastoral-ffs-project-home/ffs/en/

provided nor adapted to the population's needs, and inhabitants have poorer health and lower levels of education than people in the rest of the country. The ratio of livestock to human population continues to decline as pastoralists lose high numbers of animals during extreme climatic events. There has been inadequate public and private investment in infrastructure and economic development in these regions, and overall economic opportunities are severely constrained in many areas due to lack of water resources or water services for income-generating activities.

Drought is chronic, occurring with increasing frequency and severity, and conflicts and household food insecurity are common features in significant areas of the country. The gravity of recent droughts reflects a weakening of the traditional coping mechanisms by which people have traditionally sustained themselves, as a result of shorter recovery periods between droughts and gradual erosion of the asset base. Because of drought frequency and long-standing food insecurity in ASAL areas, Kenya has been a large recipient of U.S. and other donor foreign disaster assistance and food aid over many years totaling more than $767 million since 2002.

Lack of convenient water supply access has severe gender implications, as the time-intensive pursuit of water collection often prevents women from taking up income-generating opportunities or girls from attending school. Similarly, the impacts of water-related disease are often borne by female members of the family, since they are the primary caretakers of children and the ill.

Sanitation also remains a major challenge in the country and lags significantly behind water supply coverage. There is a marked lack of awareness about and adoption of adequate hygiene behaviors which limits increased demand for sanitation facilities. In the rural areas, an especially difficult challenge is providing sanitation access among the pastoral communities living in Kenya's ASAL districts.

The lack of potable drinking water, limited sanitation facilities, and poor hygiene behavior is a major cause of water-related illness and death in the region. The national prevalence of diarrheal disease among children under three in the last two weeks (a common measure of morbidity) reached 30% in 2003 and this increased to 49% in 2008 (KDHS, 2009 Report) . Girls' school attendance is likewise impacted, as lack of gender-segregated sanitation facilities often presents cultural and safety challenges to adolescent girls who might otherwise attend school.

Finally, it should be noted that rural water supply in Kenya is rarely used exclusively for domestic purposes, and most systems (surface or groundwater) provide water not only for drinking, cooking, washing and other household uses, but also for small-scale agriculture, livestock, and other economic enterprises. New rural water provision schemes often do not build in measures that take a diversity of needs and uses into account, and miss opportunities to meet more than one objective through cost-effective multiple-use systems. Well-conceived multiple-use water systems can in fact contribute greatly to long-term system sustainability by increasing revenue generated from water use and raising incomes to permit long-term maintenance of the system, and ensuring ecological sustainability that takes into account all demands on the community water source.

Support to new and innovative activities for improved access to water supply, sanitation and hygiene will help support overall development objectives. Strategic investments in the sector will build on what has been done before, complement the efforts of other development partners in arid lands, and increase the long-term development impacts of water-related investments made through USAID's disaster relief and food security programs in the target geographic areas.

4. USAID Activities

Currently, USAID/Kenya support to the water sector is integrated within the development programs in the ASAL and other food insecure areas, implemented through several Private and Voluntary Organization (PVO) partners.

USAID/Kenya is focused on improving access to safe water, improved sanitation services, hygiene promotion; increasing community capacity to manage and better use water resources, Currently the Mission has a number programs and some of them target arid areas of northern Kenya and one such is being implemented by the Millennium Water alliance (MWA) Consortium. Millennium Water Program (MWP) is a two year WASH intervention by the mission implemented by Millennium Water Alliance (MWA) consortium targeting 87,500 people across the country. This is a consortium six international NGOs i.e. Care, CRS, Life water International, Food for the Hungry, Living Water International all of which apart from Living water are working in ASAL areas. Some of these arid areas are Marsabit, Moyale, Garissa and Tana River areas. Some of the activities include boreholes, pipeline supply system, sand dams and sanitation facilities.

Under Feed the Future (FtF) USAID Kenya has a strong WASH component, and it is expected that the successful applicant will demonstrate clear understanding of FtF and how they will collaborate with FtF projects in the target regions. The FtF Strategy shows clear linkages to WASH programs and has one of its intermediate results focused on WASH.

USAID/Kenya has had other WASH projects that have recently ended. These projects were located in Narok and Lamu and implemented by World Concern Development Organization (WCDO) and the Adventist Development Relief Agency (ADRA). Both programs enabled the mission to support more than 200,000 people access to improved WASH services. The AIDS Population and Health Integrated Assistance – Plus(APHIA Plus) implemented by a consortium led by the African Medical & Research Foundation (AMREF) has a strong WASH component and it is expected the successful implementing partner will coordinate closely to leverage on what the United States Government (USG) is doing in this program.

Beyond these activities, USAID is also implementing several humanitarian water and sanitation activities in the drought-affected areas in the northern and eastern parts of Kenya through the Office of Foreign Disaster Assistance (OFDA), including water point rehabilitation and some development of new water points, in Garissa, Wajir, Marsabit, Tana River, and Mandera Districts.

Longer-term development or sector reform objectives are not the primary focus of OFDA or either Title II emergency or development programs. In Kenya, OFDA is focused on saving lives in the short-term and addressing acute and chronic drought and food insecurity. Water-related investments under these programs have been short-term and limited to the most vulnerable areas of the country, and have responded to program objectives and criteria specifically related to mitigating disasters, and addressing food insecurity and chronic malnutrition (based on the requirements of the specific funding sources available).

In addition to these water supply and sanitation activities, USAID/K and other USG agencies are also investing in other sectors with direct or indirect linkages to water resources or service delivery, including natural resources management, economic growth, education, and health, with some existing activities in the ASALs. The Department of Defense’s Combined Joint Task Force-Horn of Africa (CJTF-HOA) is investigating opportunities to assist Kenya and other countries in the Horn with water resource development activities, including contributing to the development of a regional water resources database.

Water supply, sanitation and hygiene investments could be an important complement to many existing USAID programs. For example:

- Much of the USAID/K education portfolio is currently focused in the North Eastern and Coast Provinces, with the objective of achieving equitable access to quality education from this historically marginalized area. To realize this goal and to ensure that children have an environment that is conducive to teaching and learning, under the NEP School Infrastructure Project USAID is providing water and sanitation facilities. Through a system of grants and school improvement initiatives. The Education for Marginalized Children in Kenya (EMACK) program is also providing water and sanitation facilities for schools in all four districts of the North Eastern Province.

- USAID's Natural Resource Management program has activities in five drought-affected districts of Rift Valley, Coast and Eastern Provinces that enhance livelihoods and promote sustainable management of natural resources. Activities in Isiolo, Marsabit and Samburu districts include supporting community wildlife management, nature-based businesses and eco-tourism, conflict resolution (including over water resources), and range management. In addition to the above interventions, the SO5 also promotes participatory forest management and agroforestry on the coast and in Laikipia district.

- In addition to its PL 480 Title II development programs operating in ASALs, USAID's Rural Incomes Strategic Objective also includes a Kenya Drylands Livestock Development Program (KDLDP) that covers four districts in North Eastern and Coast provinces including Garissa, Wajir, Mandera, Ijara and Tana River districts. The project focuses on improving livestock marketing opportunities for pastoral populations, increased livestock health service provision and strengthening local associations to enhance their effectiveness in providing livestock marketing and trade services to their members. KDLDP offers significant potential for promoting prudent and efficient utilization of natural resources—including water, through organized community groups, including among others, pastoralists at watering points.

- Finally, USAID/Kenya's Democracy and Governance program has a small conflict mitigation projects in North Eastern Province and coordinates closely with USAID East Africa on cross-border conflict interventions.

5. Government and Other Donor Activities

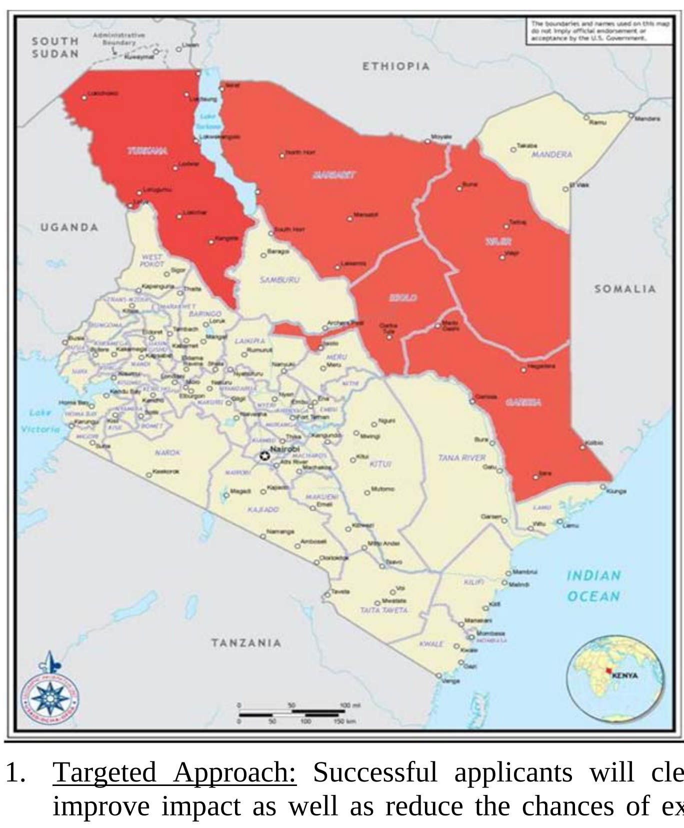
The Government of Kenya's water policy emphasizes enhancing the role of private sector providers (PSP) as well as community management for sustainable services; improving coordination of institutions in the sector by the Ministry of Water and Irrigation; and reviewing the legal framework to provide legal reforms in support of the changing needs of the water sector. It has a very strong focus on empowering communities in managing water and sanitation and on strengthening decentralized water governance structures such as registered Water User Associations (WUAs), community water/sanitation committees and Regional Water Boards. This includes support for attaining legal status for these institutions, accessing sustainable financing, and increasing accountability for service delivery.

Other donors and development partners with activities in the water/sanitation sector include, but are not limited to: UNICEF, the European Commission/ECHO, Oxfam, Catholic Relief Services, World Vision International, Action Against Hunger, the World Bank/Government of Kenya Office of the President Special Programs Arid Lands Resource Management Project, German Agro-Action, DFID, Irish Government/Concern Universal, and the Japanese Government. Among other activities, UNICEF works with schools in Northern Kenya and North East, including supporting a 4km pipeline for water supply and connection of water mains to schools in Mandera district. Rotary International works through Adventist Development and Relief Agency (ADRA) in the Kitui area in strengthening community water point management. German Agro-Action operates in the Makueni and Machakos districts, where they construct shallow wells, primary school roof catchments and construct/expand storage tank capacity. World Vision works in Turkana and the Makueni districts, rehabilitating boreholes and constructing shallow wells, sub-surface dams, gravity water supplies, and the extension of pumped water supplies. Oxfam works in the Wajir district on water trucking and borehole, storage and distribution system rehabilitation. Catholic Relief Services/Kenya, in the Tana River district, works on the construction of shallow wells serving a population of 10,000 people, the construction of pans with infiltration galleries, production wells fitted with hand pumps, and the construction of sub-surface dams fitted with production wells and hand pumps.

A lead group for program coordination in the water sector is the Water Environmental Sanitation Coordination (WESCOORD), a working group of the Kenya Food Security Steering Group, comprising development partners and over 40 NGOs in the water sector and co-chaired by UNICEF and the Ministry of Water and Irrigation (MOWI). As such, it is essential that applicants under this RFA liaise closely with WESCOORD and MOWI to ensure that their proposed interventions are geographically targeted on high priority areas and that coordination is well established.

6. Geographic Priorities

Specific geographic regions within Kenya will be targeted for all activities funded under this RFA with FY12funds. The area eligible for consideration is the arid districts of Turkana, Isiolo, Marsabit (including Moyale), Wajir, and Garissa (see map below marked RED).



7. Activities and results to be achieved

Activities funded under this RFA will support FtF and Increase Food Security of Vulnerable Populations.

As indicated above, all activities to be supported with these funds must directly address the critical water, sanitation, and hygiene needs of the people of the arid counties of Kenya. Activities should go beyond immediate service delivery goals and strategically target water sector interventions that lay a foundation for longer-term, sustainable development in target geographic areas. The following general areas of activity will be eligible for funding under this program. In all cases, applicants are encouraged to partner with a wide variety of institutions in the public, private, and NGOs sectors to achieve program objectives.

1. Targeted Approach: Successful applicants will clearly describe a targeting strategy which will improve impact as well as reduce the chances of exacerbating social and environmental problems. Some example concepts to help in developing a targeting strategy follow (these activities do not have

to be completed at the time of application; however, applicants should explain their proposed process and ensure that no infrastructure construction is started until the targeting strategy is completed):

A. Mapping and coordination.
   1. Utilize existing data on water resources and overlay seasonal availability of water at each water source.
   2. Map major pastoral migration routes, markets, and pastureland.
   3. Map areas which experience flash flooding.
   4. Map areas with alluvial aquifers or a high groundwater table.
   5. Map areas with rock formations which could be utilized for water harvesting.
   6. Map natural water storage structures and potential areas for artificial water storage (sand dams, perched aquifers, recharge catchments, rock catchments, check dams, etc.)
   7. Mapping activities should cover a large geographic area, such as a county, to ensure a strong understanding of the big picture of how resources are utilized by all groups and for what purposes.
   8. Maximize coordination of all those programs in arid lands through participation with all relevant government ministries and existing sectorial coordination platforms (health, water, nutrition, food, agriculture, and livestock).
   9. Map potential links with projects of other actors.

B. Identify and develop/improve strategic water sources in support of sustainable livelihoods and improved health
   1. Increase access to water supply and sanitation services in poor and needy communities located near strategic water sources (without exacerbating social and environmental problems).
   2. Decrease the prevalence of water-related diseases through appropriate household hygiene interventions in communities near strategic water sources; and promote sustainable management of water resources' quantity and quality.
   3. Improve the resiliency of vulnerable livelihoods in Kenya to future climatic shocks.
   4. Utilize natural formations to increase water storage and availability.

2. <u>Past Experience:</u> In addition to describing a clear targeting strategy, successful applicants will highlight their strengths with regard to the key objectives. Highlighting previous experience with utilizing natural formations, and enhancing natural formations, to improve water storage, improve groundwater recharge, and reduce flash flooding. Successful applicants will also highlight strengths at achieving results in reducing the diarrheal disease burden of populations in arid lands through improving water quality, excreta management, and improved hygiene behaviors.

3. <u>Sustainable Service Access:</u> Applications should include small-scale infrastructure activities that focus upon increasing water storage, naturally and artificially, improving groundwater recharge, and/or improving existing water supply systems. Programs to improve operation and management of systems and access to spare parts and technical assistance may be proposed. Development of new infrastructure as well as rehabilitation of existing systems may be proposed. Proposed sanitation service provision interventions should take a demand-driven approach in both the selection of technologies and program implementation mechanisms.

4. <u>Health Promotion:</u> In order to achieve desired health impacts of these investments, water supply and sanitation infrastructure interventions should be complemented as appropriate by hygiene behavior-change promotion activities. Efforts that address water quality are also encouraged (including water sources protection; safe water transport, storage and handling; and/or point-of-use water treatment approaches).

5. Livelihoods and Multiple-Use: All water supply and sanitation infrastructure investments under this RFA are required to provide for increased service access for domestic purposes. At the same time, applicants are also encouraged to propose strategic, innovative and integrated approaches that build on domestic service access and address a wider range of needs for water supply and sanitation to enhance resiliency, build food security and increase incomes.

6. Governance and Enabling Environment: Activities will be supported at appropriate geographic scales that strengthen Kenyan water sector governance for water supply and sanitation service delivery, hygiene/health impacts, and to reduce vulnerability of chronically drought-affected areas. This may include work to sustainably empower community stakeholders, build local technical capacity, and/or develop mechanisms to resolve disputes related to water supply and sanitation service provision.

7. Gender and other Cross Cutting issues; Successful applicant will have to demonstrate how they will handle gender and other cross cutting issues. Women and men have different needs and priorities and are affected in different ways by water and sanitation issues arising from their differing activities and responsibilities in collecting, handling, managing, storing and treating water and sanitation resources and facilities[6]. Women are normally responsible for hygiene, sanitation and collection of water in households. Women and girls spend a great deal of time walking long distances to access water sources/points. Girls are then more likely to leave school to go and search for water hence miss out on other opportunities such as basic education. The Mission recognizes that an understanding of women's views and priorities are essential in the development of WASH projects. Involving women from the start to the project implantation including operation and maintenance of the project facilities will enhance sustainability of the project while building their self-esteem to participate and be involved in community leadership and decision-making.

8. Environmental Compliance: USAID's SO7 programmatic Initial Environmental Examination (IEE) and Request for Categorical Exclusion (IEE/CatEx for 615-0007 Increased Rural Household Incomes) was approved by the Africa Bureau Environmental Officer on May 7, 2009. The document identifies activities that are categorically excluded from initial environmental examination as no environmental impacts are expected as a result of these activities. In addition, the IEE makes a threshold "Negative Determination with Conditions" for selected activities that promote or support i) increased productivity of targeted agricultural sub-sectors, ii) development and strengthening of financial markets, iii) development of small-scale technologies for micro-entrepreneurs to increase productivity and profitability, iv) small-scale construction, v) small-scale water development, vi) bio-safety systems and the use of bio-technology, vii) the use of pesticides, viii) the generation, handling and disposal of hazardous agro-veterinary waste and ix) sub-grants. Furthermore, the document describes procedures for undertaking environmental screening and review of proposed activities and for monitoring compliance with 'Conditions'.

   The Program Team will ensure that the implementing partner is thoroughly familiar with the content of the IEE as well the Water Quality Assurance Plan that was developed last year and will adhere to its (IEE) guidance and stipulations throughout the life of this award. The implementing partner will undertake environmental screening of all proposed activities early in the life of the award to identify any potential environmental concerns. The screening will apply to the activities proposed for

[6] http://www.inclusivewash.org.au/gender-women-and-girls- Side stream or mainstream leaflet; www.unicef.org/wash

financing by the principal contractor, and by any subsidiary collaborators and/or sub-contractors. The program team will ensure activities remain Categorical Exclusions or within the bounds of the 'Negative Determination with Conditions' as described in the IEE. Any plans that are required to mitigate any negative environmental impact will be developed at the work planning stage and will be presented to USAID for approval prior to committing funds for such activities.

SECTION II – BASIC AWARD INFORMATION

1) ESTIMATED FUNDING: Subject to the availability of funds, USAID intends to provide approximately **$8 Million** in total funding for the **Kenya Arid Lands Disaster Risk Reduction-WASH Program.** USAID may make one or more award(s) without discussions to responsible applicant(s) whose application(s) offer the greatest value to the U.S. Government. To the extent they are necessary, negotiations will be conducted with the Apparently Successful Applicant(s). Award(s) will be made to the responsible applicant(s) whose application(s) offers the greatest value, cost and other factors considered. **USAID reserves the right to fund any or none of the applications submitted.**

2) PERFORMANCE PERIOD: The anticipated program start date is **October 15, 2012** for a two year period through **September 14, 2014.**

3) AWARD TYPE: USAID anticipates the award will be a **Cooperative Agreement. Substantial Involvement** under the award is expected to be as follows:

   i. Approval of Recipient's Implementation Plans ("Work Plans").
   ii. Approval of Recipient's Specified Key Personnel.
   iii. Agency and Recipient Collaboration or Joint Participation. This will include concurrence on the provision of sub-awards and M&E plans and redirection of the program as/when appropriate.
   iv. Agency authority to immediately halt construction activity.

4) AUTHORIZED GEOGRAPHIC CODE: The Authorized Geographic Code is 935 for the procurement of goods and services.

5) BRANDING STRATEGY AND MARKING PLAN: The successful applicant(s) will be required to submit a Branding Strategy and Marking Plan to be evaluated and approved by the Agreement Officer with concurrence from the Agreement Officer's Representative (AOR). A Branding Implementation Strategy and Marking Plan shall be in accordance with USAID Branding and Marking plan as required per ADS 320. Please refer to ADS 320, (**http://www.usaid.gov/policy/ads/300/**) specifically 320.3.3.3 for more information. The Recipient shall comply with the requirements of the USAID "Graphic Standards Manual" available at www.usaid.gov/branding, or any successor branding policy. Pending formal Mission guidance, activity with a government entity will be branded, as appropriate, for the program's stabilization goals (USAID Graphic Standards Manual 4.10).

[END OF SECTION II]

SECTION III – ELIGIBILITY INFORMATION

1) USAID policy encourages competition in the award of Grants and Cooperative Agreements. In response to this RFA, any U.S. or non-U. S. organizations, non-profit, or for-profit entity is eligible to apply.

2) USAID encourages applications from potential new partners.

[END OF SECTION III]

SECTION IV - APPLICATION AND SUBMISSION INFORMATION

SUBMISSION AND PREPARATION GUIDELINES

ELECTRONIC SUBMISSION OF APPLICATIONS VIA E-MAIL IS REQUIRED.

Please submit your applications to all of the e-mail addresses below by **08:00 am, Nairobi, Kenya Time, August 31, 2012.** Receipt by either one of these two addresses by the deadline for submission will constitute timely receipt of your application. RECEIPT TIME IS WHEN THE APPLICATION IS RECEIVED BY THE USAID/EAST AFRICA INTERNET SERVER. Paper copies of the applications are not required. The addresses for the receipt of applications are: Procurement Administrative Assistant, Charity Igweta at cigweta@usaid.gov and cc: Regional Agreement Officer, Charles Signer at csigner@usaid.gov. Applications which are submitted late or do not follow the instructions contained herein run the risk of not being considered in the review process.

All applications received by the deadline will be reviewed for responsiveness to the specifications outlined in these guidelines and the application format. Applications should take into account the evaluation criteria provided in **Section V** and must include the **Representations and Certifications** provided in this Section below. In the event Representations and Certifications are not submitted with the application, they must be completed before final award is made. **Please note that technical and cost applications should be kept separate.**

Applicants should retain for their records one copy of the application and all enclosures which accompany their application. Erasures or other changes must be initialed by the person signing the application. To facilitate the competitive review of the applications, USAID will consider only applications conforming to the format prescribed below.

A. Technical Application Format

Applications must be submitted electronically in MS Word and .Pdf (Adobe Acrobat) versions. In case of any conflicts between the MS Word and .Pdf versions of the application, the .Pdf version will govern as it will be the version presented to the Technical Evaluation Panel.

Applicants are advised that any pages exceeding any of the prescribed limits below will not be considered for evaluation.

Applications must be legible and must *not* require **MAGNIFICATION** (!). Please be kind to the evaluators and keep the technical application clear, concise, easy to follow, while also in complete compliance with the instructions herein.

Applications will be evaluated by a USAID Technical Evaluation Committee (TEC). Additional discussions with applicants may take place if the applications submitted do not adequately describe the activities to be funded and/or there are one or more points to be clarified or modified based on the recommendations of the TEC.

THE TECHNICAL APPLICATION HAS A STRICT TWENTY FIVE (25) PAGE LIMIT.

The technical application should clearly and concisely outline how the Applicant proposes to meet the critical needs identified in the objective(s) and how the Applicant will achieve its expected results. The application must include a detailed description of the management approach for implementing the proposed program, which includes specifying the composition and organizational structure of the entire implementation team (including home office support); describing each team member's role and level of effort.

The technical applications submitted should be in the following format:

I. Table of Contents listing all page numbers and attachments.

II. Executive Summary

III. Program Description

a) Goal and Objectives
b) Proposed Outcomes
c) Technical Approach
d) Expected Impact

IV. Management Plan (including partnership arrangements where applicable)

V. Implementation Schedule (including milestones)

VI. Annexes

a) Curriculum Vitae for Key Personnel – Maximum five people
b) Performance Monitoring Plan
c) Relevant Past Performance Information (Recipient and Key Partner Organizations, if applicable)

<u>ANNEXES SHOULD BE SUBMITTED WITHIN THE STRICT 25 PAGE LIMIT INDICATED ANNEXES ALSO HAVE PAGE LIMITS SPECIFIED BELOW</u>

ANNEX I. CVS OF KEY PERSONNEL - FIVE (5) PAGES MAXIMUM

Detailed descriptions of proposed <u>Key personnel</u> whom the Applicant wishes to provide CVs to a maximum of five people.
The Applicant shall list the proposed Key Personnel in a staffing plan that also includes all other specific titled technical or professional positions titles at a minimum. As an annex, include Key Personnel Résumés /Curriculum Vitae, their individual signed availability statements, and complete contact information for no less than three references for each.

The Applicant's proposal must describe the extent and nature of the proposed key personnel's academic qualifications, experience in implementing similar projects, include years of professional development experience.

ANNEX II. FIRST 12-MONTH WORKPLAN – TWO (2) PAGES MAXIMUM

The applicant must submit a 12-months work plan which displays expected activities and performance targets (as specified in the Performance Management and Evaluation Plan) and results required under each objective. The work plan will describe activities to be conducted at a greater level of detail than in the Program Description, but shall be cross-referenced with the applicable sections in the Program

Description. All work plan activities must be within the Program Description and shall not change the Program Description.

ANNEX III. PAST PERFORMANCE REFERENCES AND INFORMATION – ONE (1) PAGE MAXIMUM

Please provide a list of relevant U.S. Government and/or privately-funded contracts, grants, cooperative agreements, etc., and the name, address, and telephone number of the Agreement Officer or other contact person, who we may contact if we need to. A short narrative description of accomplishments under these should be provided. References do not necessarily need to be from USAID.

Applications should not exceed 25 pages single spaced typed pages (including Annexes). All applications should be submitted in English with a font size of 12-Times new Roman only.

B. <u>Cost Application Format</u>

The cost application is to be submitted via a separate e-mail from the technical application. This is due to the strict page limitations for the technical application. Certain documents are required to be submitted by an applicant in order for the Agreement Officer to make a determination of responsibility. However, it is USAID policy not to burden applicants with undue reporting requirements if that information is readily available through other sources. A cost application consists of:

- The **SF-424**, Application for Federal Assistance; **SF-424A**, Budget Information – Non-Construction Program; and **SF-424B**, Assurances – Non-Construction Programs. These forms may be downloaded from the following website: http://www.grants.gov/agencies/aapproved_standard_forms.jsp);
- a summary budget;
- a detailed/itemized budget;
- a budget narrative explaining costs to be incurred; and
- other administrative documentation as required.

The following sections describe the documentation that applicants for an Assistance award must submit to USAID prior to award. While there is no page limit for this portion, applicants are encouraged to be as concise as possible, but still provide the necessary detail to address the following:

The required budget format is attached to this RFA package and embedded below (please double click on the Figure 1 icon):

Budget Template.xlsx

Figure 1 – RFA Illustrative Budget Template

Please be sure that the budget includes at least the following elements:

- the breakdown of all costs associated with the program according to costs of, if applicable, headquarters, regional and/or country offices;
- the breakdown of all costs in the program, in the same detail and format as the budget template;
- potential contributions of non-USAID or private commercial donors to this Agreement, including, the breakdown of the financial and in-kind contributions (cost sharing) of all organizations involved in implementing this Agreement.
- Summary of program vs. administrative costs.

Detailed budgets and supporting notes and justifications should also include the following:

(a) The name, annual salary, fringe benefits and expected level of effort of each person charged to the program.

(b) If not included in the indirect cost rate agreement negotiated with the U.S. Government, specify the applicable fringe benefit rates for each category of employee, and all benefits covered by the rate.

(c) The same information shall be provided for individual consultants as for regular personnel.

(d) Allowances should be broken down by specific type and by person and must in accordance with the applicant's policies. All salaries, benefits and allowances must be based on written compensation policies of the employer organization.

(e) Other direct costs such as visas, passports and other general costs should be separate cost line items.

(f) Travel, per diem and other transportation expenses should be detailed in the financial plan to include number of international trips, from where to where, number of per diem days and rates. Per Diem and other travel allowances must be based on written travel policies of the employer organization.

(g) Details of all home office support to be provided.

(h) Specific budget details and narrative information, in addition to the percentage and total dollar amount of the proposed cost-share contribution.

(i) Cost-share, once accepted, becomes a condition of payment of the federal share.

Negotiated Indirect Cost Rate Agreement (NICRA): Applicants must provide a copy of the most recent NICRA negotiated with your organization's cognizant U.S. Government agency.

NOTE: The award will not provide for the reimbursement of pre-award costs.

Also include:

a) Details of sub-award arrangements to the extent they are known at the time of application development. In case there are multiple organizations and partners, please explain as clearly as possible the management structure and how the parties are going to interact. If there are formal legal arrangements such as sub awards or sub contracts please clearly explain how these are to be structured and list past experience between the organizations.

   NOTE: If sub-awards are anticipated and not explained in the original application, the Agreement Officer’s approval (after award) may be required before the sub agreement may be executed.

b) A copy of the self-certification for compliance with USAID policies and procedures for personnel, procurement, and travel.

c) A copy of the organization's U.S. Government Negotiated Indirect Cost Rate Agreement (NICRA), if applicable.

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

1. Has adequate financial resources or the ability to obtain such resources as required during the performance of the award.

2. Has the ability to comply with the award conditions, taking into account all existing and currently prospective commitments of the applicant, non-governmental and governmental.

3. Has a satisfactory record of performance. Past relevant unsatisfactory performance is ordinarily sufficient to justify a finding of non-responsibility, unless there is clear evidence of subsequent satisfactory performance.

4. Has a satisfactory record of integrity and business ethics; and

5. Is otherwise qualified and eligible to receive a cooperative agreement under applicable laws and regulations (e.g., EEO).

REQUIRED REPRESENTATIONS AND CERTIFICATIONS (ADS 303.3.8)

CERTIFICATIONS, ASSURANCES, AND OTHER STATEMENTS OF THE RECIPIENT (MAY 2006)

NOTE: When these Certifications, Assurances, and Other Statements of Recipient are used for cooperative agreements, the term "Grant" means "Cooperative Agreement".

PART I - CERTIFICATIONS AND ASSURANCES

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

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

(a) The recipient hereby assures that no person in the United States shall, on the bases set forth below, be excluded from participation in, be denied the benefits of, or be otherwise subjected to discrimination under, any program or activity receiving financial assistance from USAID, and that with respect to the Cooperative Agreement for which application is being made, it will comply with the requirements of:

(1) Title VI of the Civil Rights Act of 1964 (Pub. L. 88-352, 42 U.S.C. 2000-d), which prohibits discrimination on the basis of race, color or national origin, in programs and activities receiving Federal financial assistance;

(2) Section 504 of the Rehabilitation Act of 1973 (29 U.S.C. 794), which prohibits discrimination on the basis of handicap in programs and activities receiving Federal financial assistance;

(3) The Age Discrimination Act of 1975, as amended (Pub. L. 95-478), which prohibits discrimination based on age in the delivery of services and benefits supported with Federal funds;

(4) Title IX of the Education Amendments of 1972 (20 U.S.C. 1681, et seq.), which prohibits discrimination on the basis of sex in education programs and activities receiving Federal financial assistance (whether or not the programs or activities are offered or sponsored by an educational institution); and

(5) USAID regulations implementing the above nondiscrimination laws set forth in Chapter II of Title 22 of the Code of Federal Regulations.

(b) If the recipient is an institution of higher education, the Assurances given herein extend to admission practices and to all other practices relating to the treatment of students or clients of the institution, or relating to the opportunity to participate in the provision of services or other benefits to such individuals, and shall be applicable to the entire institution unless the recipient establishes to the satisfaction of the USAID Administrator that the institution's practices in designated parts or programs of the institution will in no way affect its practices in the program of the institution for which financial assistance is sought, or the beneficiaries of, or participants in, such programs.

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

2. CERTIFICATION REGARDING LOBBYING

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

(1) No Federal appropriated funds have been paid or will be paid, by or on behalf of the undersigned, to any person for influencing or attempting to influence an officer or employee of any agency, a Member of Congress, an officer or employee of Congress, or an employee of a Member of Congress in connection with the awarding of any Federal contract, the making of any Federal Cooperative Agreement, the making of any Federal loan, the entering into of any cooperative agreement, and the extension, continuation, renewal, amendment or modification of any Federal contract, grant, loan, or cooperative agreement.

(2) If any funds other than Federal appropriated funds have been paid or will be paid to any person for influencing or attempting to influence an officer or employee of any agency, a Member of Congress, an officer or employee of Congress, or an employee of a Member of Congress in connection with this Federal contract, grant, loan, or cooperative agreement, the undersigned shall complete and submit Standard Form-LLL, "Disclosure of Lobbying Activities," in accordance with its instructions.

(3) The undersigned shall require that the language of this certification be included in the award documents for all sub awards at all tiers (including subcontracts, sub grants, and contracts under grants, loans, and cooperative agreements) and that all sub recipients shall certify and disclose accordingly.

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

Statement for Loan Guarantees and Loan Insurance

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

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

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

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

4. CERTIFICATION REGARDING TERRORIST FINANCING IMPLEMENTING EXECUTIVE ORDER 13224

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

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

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

a. Before providing any material support or resources to an individual or entity, the Recipient will verify that the individual or entity does not (i) appear on the master list of Specially Designated Nationals and Blocked Persons, which list is maintained by the U.S. Treasury's Office of Foreign Assets Control (OFAC) and is available online at OFAC's website: http://www.treas.gov/offices/eotffc/ofac/sdn/t11sdn.pdf, or (ii) is not included in any supplementary information concerning prohibited individuals or entities that may be provided by USAID to the Recipient.

b. Before providing any material support or resources to an individual or entity, the Recipient also will verify that the individual or entity has not been designated by the United Nations Security (UNSC) sanctions committee established under UNSC Resolution 1267 (1999) (the "1267 Committee") [individuals and entities linked to the Taliban, Osama bin Laden, or the Al Qaida Organization]. To determine whether there has been a published designation of an individual or entity by the 1267 Committee, the Recipient should refer to the consolidated list available online at the Committee's website: http://www.un.org/Docs/sc/committees/1267/1267ListEng.htm .

c. Before providing any material support or resources to an individual or entity, the Recipient will consider all information about that individual or entity of which it is aware and all public information that is reasonably available to it or of which it should be aware.

d. The Recipient also will implement reasonable monitoring and oversight procedures to safeguard against assistance being diverted to support terrorist activity.

3. For purposes of this Certification-

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

b. "Terrorist act" means-

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

(ii) an act of premeditated, politically motivated violence perpetrated against noncombatant targets by subnational groups or clandestine agents; or

(iii) any other act intended to cause death or serious bodily injury to a civilian, or to any other person not taking an active part in hostilities in a situation of armed conflict, when the purpose of such act, by its nature or context, is to intimidate a population, or to compel a government or an international organization to do or to abstain from doing any act.

c. "Entity" means a partnership, association, corporation, or other organization, group or subgroup.

d. References in this Certification to the provision of material support and resources shall not be deemed to include the furnishing of USAID funds or USAID-financed commodities to the ultimate beneficiaries of USAID assistance, such as recipients of food, medical care, micro-enterprise loans, shelter, etc., unless the Recipient has reason to believe that one or more of these beneficiaries commits, attempts to commit, advocates, facilitates, or participates in terrorist acts, or has committed, attempted to commit, facilitated or participated in terrorist acts.

e. The Recipient's obligations under paragraph 1 are not applicable to the procurement of goods and/or services by the Recipient that are acquired in the ordinary course of business through contract or purchase, e.g., utilities, rents, office supplies, gasoline, etc., unless the Recipient has reason to believe that a vendor or supplier of such goods and services commits, attempts to commit, advocates, facilitates, or participates in terrorist acts, or has committed, attempted to commit, facilitated or participated in terrorist acts.

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

5. CERTIFICATION OF RECIPIENT

By signing below the recipient provides certifications and assurances for (1) the Assurance of Compliance with Laws and Regulations Governing Non-Discrimination in Federally Assisted Programs, (2) the Certification Regarding Lobbying, and (3) the Certification Regarding Terrorist Financing Implementing Executive Order 13224 above.

RFA No. ___________________________________

Application No. ___________________________________

Date of Application ___________________________________

Name of Recipient ___________________________________

Typed Name and Title ___________________________________

Signature ___________________________________

Date ___________________________________

PART II - KEY INDIVIDUAL CERTIFICATION NARCOTICS OFFENSES AND DRUG TRAFFICKING

I hereby certify that within the last ten years:

1. I have not been convicted of a violation of, or a conspiracy to violate, any law or regulation of the United States or any other country concerning narcotic or psychotropic drugs or other controlled substances.

2. I am not and have not been an illicit trafficker in any such drug or controlled substance.

3. I am not and have not been a knowing assistor, abettor, conspirator, or colluder with others in the illicit trafficking in any such drug or substance.

Signature: ______________________________

Date: ______________________________

Name: ______________________________

Title/Position: ______________________________

Organization: ______________________________

Address: ______________________________

____

Date of Birth: ______________________________

NOTICE:

1. You are required to sign this Certification under the provisions of 22 CFR Part 140, Prohibition on Assistance to Drug Traffickers. These regulations were issued by the Department of State and require that certain key individuals of organizations must sign this Certification.

2. If you make a false Certification you are subject to U.S. criminal prosecution under 18 U.S.C. 1001.

PART III - PARTICIPANT CERTIFICATION NARCOTICS OFFENSES AND DRUG TRAFFICKING

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

   a. I have not been convicted of a violation of, or a conspiracy to violate, any law or regulation of the United States or any other country concerning narcotic or psychotropic drugs or other controlled substances.

   b. I am not and have not been an illicit trafficker in any such drug or controlled substance.

   c. I am not or have not been a knowing assistor, abettor, conspirator, or colluder with others in the illicit trafficking in any such drug or substance.

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

Signature: ______________________________________

Name: ______________________________________

Date: ______________________________________

Address: ______________________________________

____

Date of Birth: ______________________________________

NOTICE:

1. You are required to sign this Certification under the provisions of 22 CFR Part 140, Prohibition on Assistance to Drug Traffickers. These regulations were issued by the Department of State and require that certain participants must sign this Certification.

2. If you make a false Certification you are subject to U.S. criminal prosecution under 18 U.S.C. 1001.

PART IV - CERTIFICATION OF COMPLIANCE WITH THE STANDARD PROVISIONS ENTITLED "CONDOMS" AND "PROHIBITION ON THE PROMOTION OR ADVOCACY OF THE LEGALIZATION OR PRACTICE OF PROSTITUTION OR SEX TRAFFICKING."

Applicability: This certification requirement only applies to the prime recipient. Before a U.S. or non-U.S. non-governmental organization receives FY04-FY08 HIV/AIDS funds under a grant or cooperative agreement, such recipient must provide to the Agreement Officer a certification substantially as follows:

"[Recipient's name] certifies compliance as applicable with the standard provisions entitled "Condoms" and "Prohibition on the Promotion or Advocacy of the Legalization or Practice of Prostitution or Sex Trafficking" included in the referenced agreement."

RFA No. ______________________________

Application No. ______________________________

Date of Application ______________________________

Name of Applicant/Sub grantee ______________________________

Typed Name and Title ______________________________

____

Signature ______________________________

PART V - SURVEY ON ENSURING EQUAL OPPORTUNITY FOR APPLICANTS

Applicability: All RFA's must include the attached Survey on Ensuring Equal Opportunity for Applicants as an attachment to the RFA package. Applicants under unsolicited applications are also to be provided the survey. (While inclusion of the survey by Agreement Officers in RFA packages is required, the applicant's completion of the survey is voluntary, and must not be a requirement of the RFA. The absence of a completed survey in an application may not be a basis upon which the application is determined incomplete or non-responsive. Applicants who volunteer to complete and submit the survey under a competitive or non-competitive action are instructed within the text of the survey to submit it as part of the application process.)

PART VI - OTHER STATEMENTS OF RECIPIENT

1. AUTHORIZED INDIVIDUALS

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

Name	Title	Telephone No.	Facsimile No.

2. TAXPAYER IDENTIFICATION NUMBER (TIN)

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

TIN: ________________________________

3. DATA UNIVERSAL NUMBERING SYSTEM (DUNS) NUMBER

(a) In the space provided at the end of this provision, the recipient should supply the Data Universal Numbering System (DUNS) number applicable to that name and address. Recipients should take care to report the number that identifies the recipient's name and address exactly as stated in the proposal.

(b) The DUNS is a 9-digit number assigned by Dun and Bradstreet Information Services. If the recipient does not have a DUNS number, the recipient should call Dun and Bradstreet directly at 1-800-333-0505. A DUNS number will be provided immediately by telephone at no charge to the recipient. The recipient should be prepared to provide the following information:

(1) Recipient's name.
(2) Recipient's address.
(3) Recipient's telephone number.
(4) Line of business.
(5) Chief executive officer/key manager.
(6) Date the organization was started.
(7) Number of people employed by the recipient.
(8) Company affiliation.

(c) Recipients located outside the United States may obtain the location and phone number of the local Dun and Bradstreet Information Services office from the Internet Home Page at http://www.dbisna.com/dbis/customer/custlist.htm. If an Offeror is unable to locate a local service center, it may send an e-mail to Dun and Bradstreet at globalinfo@dbisma.com.

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

DUNS: ____

4. LETTER OF CREDIT (LOC) NUMBER

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

LOC: ____

5. PROCUREMENT INFORMATION

(a) Applicability. This applies to the procurement of goods and services planned by the recipient (i.e., contracts, purchase orders, etc.) from a supplier of goods or services for the direct use or benefit of the recipient in conducting the program supported by the grant, and not to assistance provided by the recipient (i.e., a sub grant or sub agreement) to a sub grantee or sub recipient in support of the sub grantee's or sub recipient's program. Provision by the recipient of the requested information does not, in and of itself, constitute USAID approval.

(b) Amount of Procurement. Please indicate the total estimated dollar amount of goods and services which the recipient plans to purchase under the grant:

$__________________________

(c) Nonexpendable Property. If the recipient plans to purchase nonexpendable equipment which would require the approval of the Agreement Officer, please indicate below (using a continuation page, as necessary) the types, quantities of each, and estimated unit costs. Nonexpendable equipment for which the Agreement Officer's approval to purchase is required is any article of nonexpendable tangible personal property charged directly to the grant, having a useful life of more than one year and an acquisition cost of $5,000 or more per unit.

TYPE/DESCRIPTION (Generic) QUANTITY ESTIMATED UNIT COST

(d) Source, Origin, and Componentry of Goods. If the recipient plans to purchase any goods/commodities which are not of U.S. source and/or U.S. origin, and/or does not contain at least 50% componentry, which are not at least 50% U.S. source and origin, please indicate below (using a continuation page, as necessary) the types and quantities of each, estimated unit costs of each, and probable source and/or origin, to include the probable source and/or origin of the components if less than 50% U.S. components will be contained in the commodity. "Source" means the country from which a commodity is shipped to the cooperating country or the cooperating country itself if the commodity is located therein at the time of purchase. However, where a commodity is shipped from a free port or bonded warehouse in the form in which received therein, "source" means the country from which the commodity was shipped to the free port or bonded warehouse. Any commodity whose source is a non-Free World country is ineligible for USAID financing. The "origin" of a commodity is the country or area in which a commodity is mined, grown, or produced. A commodity is produced when, through manufacturing, processing, or substantial and major assembling of components, commercially recognized new commodity results, which is substantially different in basic characteristics or in purpose or utility from its components. Merely packaging various items together for a particular procurement or relabeling items do not constitute production of a commodity. Any commodity whose origin is a non-Free World country is ineligible for USAID financing. "Components" are the goods, which go directly into the production of a produced commodity. Any component from a non-Free World country makes the commodity ineligible for USAID financing.

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

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

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

(f) Supplier Nationality. If the recipient plans to purchase any goods or services from suppliers of goods and services whose nationality is not in the U.S., please indicate below (using a continuation page, as necessary) the types and quantities of each good or service, estimated costs of each, probable nationality of each non-U.S. supplier of each good or service, and the rationale for purchasing from a non-U.S. supplier. Any supplier whose nationality is a non-Free World country is ineligible for USAID financing.

TYPE/DESCRIPTION QUANTITY ESTIMATED PROBABLE SLUPPIER NATIONALITY RATIONALE (Generic) UNIT COST (Non-US Only) for NON-US

(g) Proposed Disposition. If the recipient plans to purchase any nonexpendable equipment with a unit acquisition cost of $5,000 or more, please indicate below (using a continuation page, as necessary) the proposed disposition of each such item. Generally, the recipient may either retain the property for other uses and make compensation to USAID (computed by applying the percentage of federal participation in the cost of the original program to the current fair market value of the property), or sell the property and reimburse USAID an amount computed by applying to the sales proceeds the percentage of federal participation in the cost of the original program (except that the recipient may deduct from the federal share $500 or 10% of the proceeds, whichever is greater, for selling and handling expenses), or donate the property to a host country institution, or otherwise dispose of the property as instructed by USAID.

TYPE/DESCRIPTION (Generic) QUANTITY ESTIMATED UNIT COST PROPOSED DISPOSITION

6. PAST PERFORMANCE REFERENCES

On a continuation page, please provide past performance information requested in the RFA.

7. TYPE OF ORGANIZATION

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

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

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

8. ESTIMATED COSTS OF COMMUNICATIONS PRODUCTS

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

[END OF SECTION IV]

SECTION V – APPLICATION REVIEW INFORMATION

Overview

The Technical Evaluation Criteria are tailored to the requirements of this particular RFA and are set forth below based on a **100 points** scale. Applicants should note that these criteria serve to: (a) identify the significant matters which applicants should address in their applications and (b) set the standard against which all applications will be evaluated. To facilitate the review of applications, applicants must organize the narrative sections of their applications with the same headings and in the same order as the selection criteria.

USAID East Africa intends to evaluate the applications and award an agreement without discussions with the applicants. However, USAID reserves the right to conduct discussions if the latter is determined by the Agreement Officer to be necessary. Therefore, the initial offer should contain the applicant's best terms from a technical and cost/price stand point.

Technical Evaluation Criteria

The technical criteria are presented below in descending order of importance. The bullet statements listed under each technical criterion are the considerations that make up that criterion. These criteria have been tailored to the requirements of this RFA and serve to (a) identify the significant matters that the applicants should address in their applications and (b) set standards against which all applicants will be evaluated. The following four general factors, which are further described below, provide a scale of the importance of each factor:

1. Technical Approach (40 points)
2. Innovation (5 points)
3. Partnerships/Alliances/Sub-Awards (5 points)
4. Project Management Approach and Implementation Plans (15 points)
5. Monitoring and Evaluation Plan (10 points)
6. 5. Organizational Assessment and Institutional Capacity (7 points)
7. Gender and other cross cutting issues Integration (10 points)
8. Institutional Capabilities/Past Performance (8 points)

1. Technical Approach (40 points)

- Degree to which situation analysis demonstrates Applicant understands development problem, opportunity, or challenge in the proposed sector(s);
- Demonstrated understanding of the country or region of proposed activities, including clear rationale for selection of proposed program location(s);
- Degree to which the development hypothesis and theory of change represent a logical, testable approach to addressing the described development problem, opportunity or challenge;
- Degree to which stated goal(s) and objectives represent a logical and feasible approach to addressing the needs identified in the context analysis. The degree to which objectives are measurable, clearly stated statements of significant outcomes (as contrasted with vague, subjectively measurable and trivial outcomes). Satisfactory discussion of chosen goal(s) and

objectives among possible approaches to address development problem, challenge or opportunity; Clear demonstration of the relevance of program objectives to USAID Mission sector priorities and, where appropriate, linkage to Agency priorities;

- Degree to which described methods/activities will enable the Applicant to test the development hypothesis and achieve the stated objectives. Degree to which appropriate resources are called for to implement the described methods. Adequate plan for engaging any proposed, eligible partners. Discussion of why the methods selected are preferable to any alternative methods considered;
- Likelihood that anticipated outcomes/results are likely to occur given the proposed activities. Inclusion of description of the program's anticipated benefits.
- Degree to which the proposed program includes activities and impacts that can be sustained after USAID funds are expended. If appropriate, the degree to which activities have the potential to be scaled up to achieve broad-based impact.
- Degree to which application includes adequate consideration of the risks associated with the proposed approach (applies to risks that are both within and outside of the Applicant's control). Degree to which strategies proposed to reduce risk will be effective;
- The provision of references to support assertions of fact made in the application;

2. Innovation (5 points)

- Degree to which application includes innovative approach for the Applicant, region/country, and/or technical sector;
- Degree to which Applicant has considered risks and benefits of approach(es).

3. Partnerships/Alliances/Sub-Awards (5 points)

- Applicant must discuss the relationships between all partners, lines of authority, accountability, mechanisms for utilizing and sharing resources, and the role of each entity in achieving project results.
- Identify and describe the roles and responsibilities of partners.
- Must include Letters of Commitment (in an annex) for all proposed partners/sub-awardees.

4. Project Management Approach and Implementation Plans (15 points)

- Presence of a logical, sufficient and clear plan for managing the proposed program;
- Inclusion of a clear, complete account for roles and responsibilities of all partners and key staff;
- Does the applicant thoroughly explain the composition and teaming arrangement, which provides a vision of how partners will be organized to best meet both geographic and sectoral/technical requirements?
- To what extent do the proposed partners and teams have the mix of requisite skills and relevant experience to achieve project results?
- Degree to which proposed first year implementation plan includes the required components and outlines an achievable plan given the program objectives and budget and timeframe;
- Degree to which life of project implementation plan includes required components and outlines an achievable plan given the program objectives, budget and timeframe.

5. Monitoring and Evaluation Plan (10 points)

- Degree to which Applicant's monitoring and evaluation plan clearly demonstrates how progress and impact will be tracked, measured and reported with appropriate milestones and expected accomplishments, including measurable output and performance indicators;
- Degree to which plan includes data collection and management plan including collection of relevant baseline data, information on how indicators will be development and how plan will be used for adaptive management;
- Inclusion of clear plan to maintain open dialogue with beneficiaries/constituents and other stakeholders, to respond to issues that arise during implementation.

6. Organizational Assessment and Institutional Capacity (7 points)

- Inclusion of a clear, logical institutional capacity development plan that identifies specific organizational development needs presents and prioritizes objectives that address those needs and presents key actions to meet each objective. This plan should reflect a commitment to organizational improvement with reasonable targets for the period of performance (life of project);
- Extent to which Applicant demonstrates the rigor of the process by which the capacity development plan was created, including titles of staff, management and board persons and other stakeholders (if any) involved. Include discussion on the tool/framework and methods utilized to assess the Applicant's capacity and create capacity development objectives; and
- Inclusion of a list of possible local and/or regional capacity development service providers that can help the Applicant's meet stated capacity development objectives. Note:

7. Gender and other cross cutting issues Integration (10 points)

- Extent to which Applicant describes how gender considerations are addressed in a substantive and integrated manner, including specific and effective approaches for addressing gender constraints and capitalizing on opportunities;
- Degree to which Applicant considers the impact of the proposed program on both men and women;
- Degree to which Integration of other cross cutting issues e.g. disability in the proposed project are addressed.

8. Institutional Capabilities/Past Performance (8 points)

Past performance information will be provided and should relate to the specific and technical nature of the Program Description. The Applicant must provide performance information for itself and each major sub-contract/award expected to play a role in the RFA. Applicants are strongly encouraged to provide examples of impact of their past projects. These considerations will not be scored separately as individual elements. They are included to provide potential Applicants with additional information regarding this evaluation criterion and to help Applicants prepare their proposals:

- Does the applicant have demonstrated experience in implementing activities that increase resilience, emergency, development opportunities, especially in Africa/Kenya?
- Does the applicant demonstrate the capacity to manage (technically, administratively and financially) a project, preferably in Kenya, of similar type and complexity and to deliver the required results.
- Does the applicant demonstrate a positive record in management of activities, coordination and prompt and effective corrective action taken when problems were encountered?
- How does the applicant demonstrate experience in timely project start up, technical and management for an award of this type?

TOTAL POINTS for Evaluation of Proposal 100 points

Cost Evaluation

Cost has not been assigned a score but will be evaluated for cost reasonableness, allocability, allowability, cost effectiveness and realism, adequacy of budget detail and financial feasibility and cost sharing. While cost may be a determining factor in the final award(s) decision, especially between closely ranked applicants, the technical merit of applications is substantially more important under this RFA. The percentage of funds spent on programming versus administrative costs will be taken into consideration, i.e., the cost of staff salaries, equipment, and facilities vs. costs of field activities and interventions that directly impact the target beneficiaries.

Applications providing the best value to the U.S. Government will be more favorably considered for an award. Applications will be ranked in accordance with the selection criteria identified above. USAID reserves the right to determine the resulting level of funding for the agreement being selected for award.

[END OF SECTION V]

SECTION VI – AWARD ADMINISTRATION INFORMATION

1) Following selection for award, a successful applicant will receive an electronic copy of the notice of award signed by the Agreement Officer which serves as the authorizing document. USAID will issue the award to the contacts specified by the applicant in its application documents and/or the Authorized Individuals submitted by the applicant in accordance with **Section IV** above.

2) The applicable Standard Provisions that will apply in any resulting award document can be viewed or downloaded from USAID's Web Site: http://www.usaid.gov/policy/ads/300/303.pdf.

3) The following programmatic reporting requirements shall be made part of any award issued under this RFA:

Program Reporting

The Recipient shall submit one original, two (2) hard copies and an electronic copy of the following reports in English to the USAID/Kenya AOR for approval:

1. Annual Work Plans and Budgets

The Recipient should conduct a needs assessment with all the stakeholders according to each objective outlined in this program description then submit a detailed draft Work Plan within 60 calendar days from the date of the award. The Work Plan should include major activities that will be undertaken, the rationale behind these activities, anticipated results of these efforts and how they will be measured, any outside technical assistance that will be required to complete the activity, and a timeframe for when activities will commence and end. Details of collaboration with other USAID-funded democracy and governance partners should also be included. USAID will review the detailed draft Work Plan and provide comments within 10 calendar days of receipt. The Recipient should consider incorporating these comments as appropriate and provide a final Annual Work Plan within 10 calendar days of receiving USAID's comments, thus, a final Annual Work Plan should be in place within 80 calendar days of the beginning of the program.

First Work Plan

- Due no later than **60 days after the effective date of this award**.
- Shall cover the period from the effective date of award through twelve (12) months.
- Shall describe planned activities arranged by the overall objectives of the Program Description and further broken down by sub-activities and tasks and by geographic location. Also include budgetary forecasts and notes tied to proposed activities.

Annual Work Plans

- Due no later than **60 days after the period covered by the prior year's Work Plan**.
- Shall contain the same information as described above covering the future program implementation year.

2. Performance Monitoring and Management Plan (PMP)

The Recipient should submit an illustrative plan with their application and a detailed draft plan within 60 calendar days from the date of the award. The plan should track a set of standard indicators in accordance with the Foreign Assistance Framework, Governing Justly and Democratically Program Objective. In addition to these standard indicators, the Applicant should propose additional indicators that measure program outcomes, as noted in the Program Description above. Custom indicators are also encouraged that will help the partner to better monitor and evaluate their interventions. USAID will review the detailed draft plan and provide comments within 10 calendar days of receipt. The partner should incorporate these comments as appropriate and provide a final plan within 10 calendar days of receiving USAID's comments, thus, a final plan should be in place within 80 calendar days of the beginning of the program.

- Due no later than **60 days after the effective date of this award**.
- Shall cover the entire period of performance of this Award and may be adjusted based on any changes in planned activities. Requires USAID approval.
- Shall include relevant indicators to measure performance annually and at the end of the program, with baselines and targets for each indicator. Indicators shall be quantitative and qualitative and used to track program impact, including related to stability, with less importance on tracking outputs. Where applicable, indicators should be disaggregated by gender, age cohorts, and geographical location. Program management and cross-cutting indicators are encouraged. The data collection process and tools to be used and proposed plans for periodic evaluations, assessments, studies, etc. shall also be included.

3. Branding and Marking Plan

- Due no later than **30 days after the effective date of this award**. Requires the approval of the Agreement Officer and the concurrence of the Agreement Officer Representative.

4. Reports

<u>Quarterly Progress Reports</u>

- Due to the AOR no later than **30 calendar days from the end of each quarter**.
- Shall be no longer than 20 pages summarizing, at minimum: (1) progress to date, per the agreed-upon deliverables; (2) identification of specific problems and delays and recommendations for adjustments and corrective action; (3) any high-level meetings held and field visits; (4) planned activities for the next reporting period; (5) assessment of the validity and efficacy of progress against the goal and results; (6) progress against cross-cutting issues, including but not limited to, any environmental compliance issues.
- Shall be in French and English. A simplified version by zone should be prepared for Djibouti government officials, no later than 45 days after the end of each calendar quarter.
- The fourth quarter report should be an annual report with a descriptive analysis of activities conducted during that USG fiscal year, a quantitative and/or qualitative description of actual achievements versus planned activities for the year, in both narrative and in data performance table formats. The data performance table should include accomplishments for the fiscal year against that year's targets.

Financial Reports

The Recipient shall submit one electronic copy of SF 425. Financial Reports shall be in keeping with 22 CFR 226. Both quarterly and final reports shall be submitted electronically to the Controller, USAID/East Africa/RFMS, at nairobirfmspayments@usaid.gov and a copy to the AOR. The SF 425 form and instructions are available on the Grants Management Forms page of the Office of Management and Budget's website at http://whitehouse.gov/omb/grants_forms

Financial reports will be due on a quarterly basis and will include budget versus the actual expenditures, along with a brief analysis of any variance. Reporting periods will coincide with the USAID/Kenya fiscal year quarters, with reports due no later than thirty (30) days after the end of, each quarter, that is, January 31st, April 30th, July 31st and October 31st.

Final Report

- Shall be electronically sent to the AOR. A draft shall be submitted 60 days after the award end date, and a final copy **90 days after the end date.** The final report shall be in French and English and meet the requirements set forth in 22 CFR 226. It shall cover the entire two-year period of the award and include the cumulative results achieved, an assessment of the impact of the program, lessons learned and recommendations, any particularly notable impact stories, and detailed financial information. It should be grounded in evidence and data. A copy of the final results shall be filed with the Development Experience Clearinghouse at: http://dec.usaid.gov or http://www.DocSubmit@usaid.gov. A simplified version by zone should be prepared for Djibouti government officials 90 days after the award end date.

5. Exit Plan

- Shall be submitted 90 days prior to the Award end date.
- Shall describe all actions to be completed to demobilize the Recipient's operations, and including steps taken to transfer capacity and knowledge to local stakeholders. The plan will designate dates for all actions. It will include an inventory of all commodities procured under the project and a plan for disposition of the same commodities.

6. Any Other Deliverables

- Shall be required as outlined and approved by the AOR related to the above.
- Shall provide the USAID/East Africa AOR electronic copies of all publications, final program reports and public communications materials produced under this award.

[END SECTION VI]

SECTION VII – AGENCY CONTACTS

See cover letter for appropriate contacts within USAID/East Africa. Please note: Only the Agreement Officer is authorized to make commitment on behalf of USAID.

[END SECTION VII]

SECTION VIII – OTHER INFORMATION

Resulting awards to U.S. Non-government Organizations will be administered in accordance with Chapter 303 of USAID's Automated Directives System (ADS 303), 22 CFR 226, applicable OMB Circulars (i.e., A-21 for Universities or A-122 for Non-Profit Organizations, and A-133), and Standard Provisions for Non-Governmental Organizations.

ADS 303 is available at: http://www.usaid.gov/policy/ads/300/303maa.pdf. 22 CFR 226 is available at: http://www.access.gpo.gov/nara/cfr/waisidx_06/22cfr226_06.html. Applicable OMB Circulars are available at: http://www.whitehouse.gov/OMB/circulars/index.html. Standard Provisions for U.S. Non-Governmental Organizations are available at: http://www.usaid.gov/policy/ads/300/303maa.pdf.

Resulting award to Public International Organizations (PIOs, or IOs) will be administered in accordance with Chapter 308 of USAID's ADS including the Standard Provisions set forth in ADS-308.5.15.

Potential for-profit applicants should note that USAID policy prohibits the payment of fee/profit to the prime recipient under grants and cooperative agreements. However, if a prime recipient has a subcontract with a for-profit organization for the acquisition of goods or services (i.e., if a buyer-seller relationship is created), fee/profit for the subcontractor is authorized.

Standard Provisions for Non-U.S. Non-Governmental Organizations are available at: http://www.usaid.gov/policy/ads/300/303mab.pdf. ADS-308 is available at: http://www.usaid.gov/policy/ads/300/308mab.pdf.

The USAID Inspector-General's "Guidelines for Financial Audits Contracted by Foreign Recipients" is available at: http://www.usaid.gov/oig/legal/audauth/rcapguid.pdf.

[END SECTION VIII]

SECTION IX – ANNEXES

Annex 1: Acronyms

ABEO	Agriculture, Business and Environment Office, USAID/Kenya
AFR/SD	Africa Bureau's Office of Sustainable Development - USAID
AMREF	African Medical Research Foundation
APHIA *Plus*	AIDS Population and Health Integrated Assistance; People-centered, Leadership, Universal Coverage and Sustainability
ARD	Agriculture and Rural Development
ASALs	Arid and Semi-Arid Lands
DCA	Development Credit Authority
DFID	Department for International Development
E/NRM	Environnent/Natural Resource Management
EA	East Africa
EG	Economic Growth
FEWS Net	Famine Early Warning System Network
FFP	Food for Peace - USAID
GDA	Global Development Alliance
GIS	Geographic Information Systems
GJD	Governing Justly and Democratically - USAID
GOK	Government of Kenya
JMP	Joint Monitoring Program
HIV/AIDS	Human Immunodeficiency/ Acquired Immunodeficiency Syndrome
IEE	Initial Environmental Examination
KDLDP	Kenya Drylands Livestock Development Program
KDHS	Kenya Demographic and Health Survey
M&E	Monitoring and Evaluation
MDG	Millennium Development Goal
MWP	Millennium Water Program
MNKOAL	Ministry for Development of Northern Kenya and Other Arid Lands
NRM	Natural Resource Management
OFDA	Office of U.S. Foreign Disaster Assistance - USAID
PEPFAR	President’s Emergency Program For AIDs Relief - USG
PRRO	Protracted Relief and Recovery Operation - WFP
SME	Small and Medium Enterprises
UNICEF	United Nations Children Fund
USAID	United States Agency for International Development
USAID/EA	United States Agency for International Development Regional Mission covering East Africa
USG	United States Government
WASH	Water, Sanitation and Hygiene Promotion
WB	World Bank
WFP	World Food Program
WHO	World Health Organization
WSP	Water and Sanitation Program of the World Bank
WUA	Water User Association

[END OF SECTION IX]