



## Annual Program Statement (APS)

### Technical and Capacity Building Grants Under the Resilience Learning Activity

<b>Name of Project:</b>	Resilience Learning Activity
<b>Reference Number:</b>	APS-RLA-2021-002
<b>Date of Issue:</b>	19th October 2021
<b>Closing Date for Receipt of Applications:</b>	Round 1 – 15th November 2021 Round 2 – 15th January 2022 Round 3 – 31st March 2022
<b>Questions Submission Date</b>	Email: <a href="mailto:grants@resiliencelearning.org">grants@resiliencelearning.org</a> No later than: 25th October 2021
<b>Question Response Date:</b>	27th October 2021

#### I. Introduction and Overview of the Funding Opportunity

USAID Kenya and East Africa mission awarded ACDI/VOCA a five-year cooperative agreement— ***The Resilience Learning Activity (RLA)***, hereafter RLA. RLA is an activity under the Feed the Future Kenya Livestock Market Systems Leader with Associates award, led by ACDI/VOCA.

At the regional level, the activity supports USAID's investments in the Horn of Africa Resilience Network (HoRN), including Kenya, Somalia, Ethiopia, South Sudan, Uganda, and the Democratic Republic of Congo.

The RLA program utilizes the information collected through our support initiatives to improve the design and implementation of resilience activities in the Partnership for Resilience and Economic Growth (PREG), South Eastern Kenya (SEK), the Horn of Africa Network (HoRN), and the Somalia Resilience Partnership (SRP). Using USAID collaborating, learning, and adapting (CLA) principles our program activities are responsive to the following four objectives:

- Objective 1: Strengthen analytics and analytic capacity for local and host country organizations
- Objective 2: Facilitate learning for adaptive management by local and host country organizations
- Objective 3: Improve knowledge management and strategic communication for local and host country organizations
- Objective 4: Establish and strengthen systems and networks using USAID CLA principles.

For this annual program statement, the program will leverage our grant funds to identify regional, national, and domestic entities that can support ongoing RLA and/or other USAID IP activities in the following areas:

- Data analytics and strategic research,
- Public Relations and Communications for knowledge management
- Development of dashboards and establishing internal reporting infrastructure
- Internal Communications (at the county level)
- Use of Monitoring and Evaluation for learning and informing decision making
- Other items as prescribed by county officials

## II. Overview of the Funding Opportunity

This APS provides prospective applicants with a fair opportunity to develop and submit competitive applications to RLA for potential funding.

Grant activities will be prioritized for the following counties in **Kenya: Marsabit, Turkana, Samburu, Isiolo, Garissa, Wajir, Kitui, Makueni and Taita Taveta**. The program will also review grant and sub-award applications for the Horn of Africa Resilience Network (HoRN) countries operating in **Somalia, Ethiopia, South Sudan, Uganda**, and the **Democratic Republic of Congo**. RLA will only consider organizations based in these areas.

When completing the grant application, implementing organizations should follow the proposed guiding principles:

Guiding Principles for Learning:

- **Evidence based:** Activities to identify and correct knowledge gaps identified by the grantee, working (primarily) at the county level.
- **County/Country owned and led:** Learning methods and approaches are driven by using the existing framework by county-staff and partners that informs how they can improve upon their practices.
- **Learning-reoriented:** Learning activities proposed by RLA built on validating county or other USAID IPs best practices and understanding “what specifically worked” using proven research methodologies
- **Collaborative with M&E harmonization:** Collaborative partnerships with USAID IPs and other GoK initiatives should be pursued to facilitate how relevant learning and activities assist in informing USAID indicators and how this effectively leverages USAID mission resources
- **Inclusive and gender-responsive:** Learning activities should address gender considerations and include concerns of the most vulnerable groups and communities. This scope can be far ranging or build off other verified successful gender initiatives completed.
- **Innovative:** Learning activities should emphasize innovative, effective solutions and practices to resilience that have demonstrated viability on the ground (i.e., a training in a conference hall on gender awareness to a group of officials, is not considered innovative)
- **Supports local or traditional knowledge:** Learning activities to include expertise and knowledge of local stakeholders, whenever possible.

All potential learning activities will be assessed against these principles, which should be met to a satisfactory extent. While it will often not be feasible or necessary for any one learning activity to meet all these principles, they serve as a useful guidance for strategic alignment and screening for quality assurance USAID IPs

Interested companies/firms may choose to apply for funding under any of the following four thematic categories. In the case where a company is interested in applying for more than one thematic category, they will be required to submit separate applications for each category.

## **COMPONENT 1: DATA ANALYTICS AND ANALYTIC CAPACITY**

For effective resilience programming, local organizations must have the capability to adapt to the system (environmental, political, and market) changes and new evidence. Relevant and timely analytics are needed to support responsive decision making and adaptation at the program, private sector, and county- or regional government levels. Moreover, analytic support is critical to iterative learning and adaptive management, -- especially when decision-makers encounter gaps in information for understanding a problem, developing solutions, or informing decisions. This APS serves to confirm that RLA will be considering grants for the following:

- Assistance in supporting the ongoing development of 9- county profiles, the profiles should include data collected at the county levels for quarterly reporting or support the county's whose data systems need assistance.
  - This is expected to be a local procurement working with local service providers located within or nearby the 9-county offices
- GIS ongoing training and support
  - Support 2-5 counties with updating and/or installing GIS software, systems and providing training to 3-5, non-appointed, county-staff members to support management of GIS systems
  - Inclusion of budget for long-term investment into the GIS systems for ongoing maintenance and investment at the county level
- Support, with data analytics team the development of County Abstract submissions for Kitui & Isiolo
- Collection of Evidence Based decisions on the following question:
  - Cost-benefit analysis and assessment of re-opening two livestock markets inclusion of investment for re-opening, anticipated revenue generation, lessons learned from closure and assessment of market impact

*Note a more detailed SOW and terms of agreement will be identified with those organizations who submit to the RLA program.*

## **COMPONENT 2: LEARNING FOR ADAPTIVE MANAGEMENT**

RLA's second component is on Learning and Adaptive Management, to enhance its own processes and activities, as well as those of other stakeholders. The grants under this component have an objective to continuously: (a) Improve implementation processes, policies, and decision-making through effective, "systems-thinking" by learning and sharing and (b) Support the USAID collaborative learning and adapting (CLA) principles among stakeholders in the resilience space.

The grants for consideration under this initiative are:

- Facilitating 2-3 USAID CLA thematic “pause and reflect” sessions, per county, that cover the following topics
  - Harmonization of indicators and feeding into county-profiles, which can be populated into larger platforms, such as the Partnership for Resilience and Economic Growth and the South East Kenya economic growth reporting.
  - Firm to assist in development of knowledge management platform that works with 7-9 local service providers identified by RLA and county teams to report on indicators, identify strengths and weaknesses based on reporting to assist with developing learning agenda questions, topics and reporting criteria
  - Joint Work Plan (April – June)
    - Facilitate Pause and Reflect sessions leading into the county work-plan process that assists in the following
      - Documenting county and USAID investments throughout the calendar year
      - Tracking matrix to monitor the USAID IP investments
      - Identifying key indicators for county and across USAID IPs to track co-creation and co-implementation of program activities
      - Development of 1-per/county of questions that need to support evidence based learning and adaptive management
- Local Service Providers (i.e. county centralized entities) to work with RLA team and county-officials to develop county-drought resilience plans

*Note a more detailed SOW and terms of agreement will be identified with those organizations who submit to the RLA program.*

Applicants will also demonstrate how Learning and adaptive management is linked to analytics and interpret evidence through; establishing strong monitoring systems, training field staff on monitoring resilience indicators, creating feedback loops to use information from both observation and measurement to adjust intervention designs and tactics; learning at multiple levels, adaptive management based on iterative learning and collaboration in a networked environment.

### **COMPONENT 3: KNOWLEDGE MANAGEMENT (KM) AND STRATEGIC COMMUNICATIONS**

The goal of KM grants is to contribute towards strengthening capacities for local organizations to capture knowledge, package, and share through adapting and adopting evidence-based innovations to enhance access to information and supporting knowledge mobilization to inform decision making. At the regional level, RLA is consistently providing guidance, producing knowledge products, using innovative knowledge exchange tools, and sharing valuable information and lessons learned to its diverse audiences including the Horn of Africa Resilience Network, USAID bilateral missions, other donors and development partners, national governments, implementing agencies, NGOs, and CBOs among others.

At the local level, RLA works directly with the national government agencies, county governments, the National Drought Management Authority, development partners and local communities in (i) capturing their lessons; (ii) conducting knowledge exchanges; (iii) organizing training workshops; (iv) establishing and nurturing networks of NGO's and CBO's; (v) working with the county governments in achieving local development priorities; (vi) and helping to scale up and replicate best practices and lessons learned. The

types of activities to be funded by the knowledge management grants should fall under the below mentioned three categories:

- Development 3-4 webinars and learning events that documents impact of USAID resilience investments across the HoRN providing a platform to highlight best practices, lessons learned and/or the economic and/or social impact of USAID and county investments to support social change. The support would include both a communications and knowledge management to capture stories and inform RLA team of technical work being communicated and future research initiatives carried across the region while providing other support to link with other larger global audiences to share lessons learned (e.g., AgriLinks).
- Provide research and documentation support for RLA on other USAID implementing partner investments or approaches, as prescribed by RLA this can include
  - Memory recall messaging strategy for county to community radio programs to measure the key take-aways (using SMS) to understand thematic areas that listeners responded to, specifically as RLA and counties work with NDMA on drought management.

A non-exhaustive list of activities that could be funded by the knowledge management grants include Lessons learned, Studies and publications, technical guidance briefs, Partnerships, Knowledge platforms, Knowledge sharing workshops and events, resource centres, County/Country exchanges and Learning courses/training modules.

Applicants will need to demonstrate their ability to package knowledge management analytics in forms that are accessible, practical, and applicable for decision-makers in community organizations, councils of elders, and field staff of implementing partners, government offices, and donor organizations.

#### **COMPONENT 4: FACILITATING SYSTEMS AND NETWORKS FOR COLLABORATION, LEARNING AND ADAPTING**

Applicants in this category will demonstrate that linking analytics, learning for adaptive management, and knowledge management and communication will strengthen resilient capacities in local communities. Competitive proposals will demonstrate a combination of how facilitation skills and technical knowledge build resilience in individuals, families, communities, organizations, and systems are critical links to a more significant collective impact.

- Facilitating 2-3 USAID CLA thematic “pause and reflect” sessions, for PREG, SEK and/or the Council of Governors that assist in the following
  - Activities being completed by RLA supported LSP that further inform PREG, SEK and/or Council of Governors
  - Track, document, and report on feedback mechanisms, with RLA support, that assist in populating information from the county and local service providers on activities completed from USAID Investments while providing support on strategic research initiatives.

Applicants will outline how their role in designing group processes, moderating group interactions, and dialogues and helping to build relationships that support collaboration, learning, and adaptation. Companies should demonstrate how they will bring together evidence and diverse perspectives on a topic or issue to help people from different organizations learn and work together to achieve common objectives.

Facilitation creates a process for critical actors and multiple stakeholders to work together in a constructive, goal-centred way. As such, applicants should have access to a cadre of professional facilitators to bring an in-depth knowledge of different groups, organizations, and system change theories/processes in this activity's priority geographies.

A company may apply for one or more funding opportunities. Companies must be in operation and prove their ability to achieve milestones.

## I. Award Information

Any amount that may be indicated below are projections. Applicants should not use them as targets or assume them to be guaranteed amounts.

Projected number of grants or subawards to be executed	Up to 10
Projected <b>not-to-exceed</b> amount of an individual grant or subaward	<b>KSH 10,000,000 (US\$ 100,000)</b>
Currency in which grant will be issued and paid	Kenya Shilling
Anticipated period of performance of an individual grant	6-12 Months
Anticipated start date of performance (Note: Grants will not be expected to begin on the same date. This date is only a guide to when the initial batch of grants will be expected to commence.)	<b>January 2022</b>
Type of grant that may be issued: [To agree what type of grant will be suitable] <input checked="" type="checkbox"/> In-kind Grant Only goods and services (not cash) will be transferred to the grantee. <input checked="" type="checkbox"/> Fixed Amount Subaward Grantee will receive grant funds in pre-determined fixed amount (non-adjustable) increments only after successful completion of quantifiable or otherwise verifiable milestones. <input checked="" type="checkbox"/> Cost Reimbursable Grant Grantee will be reimbursed for allowable and allocable costs incurred up to the amount obligated (i.e., available funds) to the grant. This will be applicable to applicants that are determined to have adequate managerial and financial management systems.	

### Program Duration

- The duration of programs funded under this APS will be for a period of between 6-12 months from the date of award, with the possibility of an extension. RLA reserves the right to incrementally fund activities over the duration of the program, if necessary, depending on program length, performance against approved program indicators and availability of funds.

### Anticipated Funding Availability

- Final funding levels will depend on content and quality number of applications received, needs, availability of funding, and competing priorities. Individual grants awarded because of this APS and submission of a final application are intended **not to exceed KSH. 10,000,000 (USD 100,000)**.

- All grants will be negotiated, denominated, and funded in local currency for Kenya based local organizations and in USD for organizations based outside Kenya and proposing to work in the HORN region.

### **Type of Award**

Grants awarded under this APS may either be in-kind, fixed amount subaward (FAS) or cost reimbursable grants. RLA/ USAID shall retain the right to terminate the grant activities unilaterally in extraordinary circumstances.

- **In-Kind :** Only goods and services (not cash) will be transferred to the grantee. RLA will provide support only for equipment and will directly procure identified goods and/or services
- **Fixed Amount Subaward:** Grantee will receive grant funds in pre-determined fixed amount (non-adjustable) increments only after successful completion of quantifiable or otherwise verifiable milestones. For FAAs, RLA will make payments based on submission and acceptance of specific verifiable milestones. Once an award is issued, it will include a fixed price payment schedule with milestones and deliverables negotiated during the final application and award process.
- **Cost Reimbursable:** Grantee will be reimbursed for allowable and allocable costs incurred up to the amount obligated (i.e., available funds) to the grant. This will be applicable to applicants that are determined to have adequate managerial and financial management systems. For cost-reimbursable grants, disbursement will be done only submission of a claim (invoice) to RLA and after verification of expenditures incurred, and found reasonable, allocable, and allowable. Cost reimbursable grants will be primarily used for larger interventions. Reimbursement will be scheduled on frequencies not more than monthly, and upon review and acceptance of financial reports.

**Termination:** The grant may be terminated at a date earlier than the grant activity completion date under the following conditions but not limited to:

1. Significant change in the scope of work: If the requirements of USAID or the program change such that the work to be completed varies significantly from the proposed activities.
2. Reduction or termination of donor funding: In the event USAID reduces funding or terminates funding earlier than the Grant Activity Completion Date.
3. As a requirement of the donor: In the event the donor requests early termination of the Grant.
4. Significant delays or external or internal challenges which have a material impact on the ability of the Grantee to implement the activities

## **II. Eligibility**

### **Applicant Eligibility**

Mandatory Eligibility Requirements.

- Should be officially licensed to do such business in Kenya or the Country of operation.
- Be compliant to government of Host Country regulations (submit tax compliance certificate or equivalent).
- Not identified in the System for Award Management (SAM) as ineligible to receive U.S. government funds.
- Not appear on the Specially Designated Nationals (SDN) and Blocked Persons List maintained by the U.S. Treasury for the Office of Foreign Assets Control, or “OFAC List”.
- Not listed in the United Nations Security designation list.
- Can and willing to sign and submit required certifications before awarding of the grant.



Grant awardee(s) resulting from this solicitation will be required to provide Data Universal Numbering System (DUNS) number at the time of award. If the applicant already has a DUNS number, it should be included in their application. Otherwise, applicants will be expected to obtain a DUNS number before an award is made. DUNS numbers may be obtained online at <http://fedgov.dnb.com/webform/CCRSearch.do>.

Applicants must display sound management in the form of financial, administrative, and technical policies and procedures and present a system of internal controls that safeguard assets; protect against fraud, waste, and abuse; and support the achievement of program goals and objectives. RLA will assess this capability prior to awarding a grant. Any falsification of proposal information may result in rejection/cancellation of the award.

### III. Evaluation Criteria

Applications will be evaluated against the evaluation criteria in the table below:

Criteria	Maximum Score
Feasibility of design and technical approach	40
Extent of contribution to RLA objectives including gender and youth integration considerations	20
Management and operational capacity	20
Commercial sustainability/financial self-reliance	10
Cost efficiency	10
<b>Total</b>	<b>100</b>

These merit review criteria elements are further described below.

- **Feasibility of design and technical approach:** The quality and feasibility of the proposal in terms of the viability of the proposed technical approach, (i.e., the ability to produce intended outcomes), appropriateness of the proposed methodology, innovativeness, and the work plan for achieving project objectives to offer significant impact in the market systems. The evaluation may either include approaches proven to be effective or new untried approaches with promise (40 points).
- **Extent of contribution to RLA objectives:** The extent to which the proposed activity contributes to the stated RLA objectives and desired outcomes including gender and youth integration considerations and/or Youth in leadership positions (20 points).
- **Management and operational capacity:** Evidence of the capability to undertake and carry out the proposed activities. The application should demonstrate the enterprise' effectiveness in terms of internal structure, technical capacity, and personnel. In addition, the enterprise must demonstrate adequate financial management capability. The evaluation will be based principally on the background, qualifications, reputation, appropriateness, and skills of its personnel; and the "track record," reputation, and achievements of the enterprise (20 points).
- **Commercial sustainability/financial self-reliance:** The extent to which the funded activity will result in building and strengthening resilience and whether the activity itself is sustainable or will promote sustainability of the enterprise (10 points).
- **Cost efficiency:** The degree to which budgeting is clear and reasonable and reflects best use of enterprise and grant resources and demonstrates a clear commitment to real investment by the applicant (10 points).



## IV. Submission Instructions

Applicants must propose strategies for the implementation of the program thematic areas/components described above, introducing innovations that are appropriate to their enterprise strengths.

### Questions and Further Assistance

Questions on this APS must be submitted in writing via email to [grants@resiliencelearning.org](mailto:grants@resiliencelearning.org) (with APS number **APS-RLA-2021-002** in the email subject line as a reference) on or before the deadline for receipt of the question(s) stated at the top of this APS. Questions will not be accepted by any other means e.g., telephone inquiries. If it is determined that the answers to any questions are of sufficient importance to warrant a response, a Questions and Answers document and an amendment to the APS will be issued and posted to the ACDI/VOCA International website:  
<https://www.acdivoca.org/projects/resilience-learning-activity-rla/>

It is the responsibility of the organization to monitor this website for any amendments that may be posted later. Please read the APS in its entirety and ensure that your response addresses all the items listed in the Technical Application Instructions and the Evaluation Criteria. The grants will be awarded and implemented per USAID and US Government regulations, and ACDI VOCA subaward management policies and procedures.

Issuance of this APS does not constitute an award commitment on the part of RLA or USAID, nor does it commit RLA to pay for costs incurred in the preparation and submission of an application. Further, RLA reserves the right to reject any or all applications received. Similarly, an invitation to clarify your application is not a commitment to fund that application or to reimburse any costs incurred during the application's preparation. The RLA grant review and approval process eliminate the possibility of any unilateral decision on any given application.

### Instructions for Technical Application

Technical applications shall be submitted in the format provided in Annex I completed in English and **may not be more than ten (10) pages** (excluding cover page, executive summary, and annexes). The Technical application and other supporting documents shall be submitted in electronic copy to [grants@resiliencelearning.org](mailto:grants@resiliencelearning.org) (with APS number **APS-RLA-2021-002** in email subject line as a reference). Late applications will not be considered. Only applications submitted to this email will be counted as official submission. **The submission deadlines for the respective deadlines are as stated in the cover page of this APS.** All interested applicants are encouraged to submit their application as early as possible.

**Organizations interested in applying for more than one thematic category will be required to submit separate applications for each area of interest.**

In addition to the application, applicants should submit the following to RLA:

- A copy of the Applicant's valid legal registration in Kenya/countries proposed to work in the application,
- Documentation to verify licensure (e.g., Tax id, registration certificate, etc.)
- Demonstration of adequate management and financial resources to perform the contract. This includes Human Resource and Administration manual(s), Audited financial statements for the last two years.

Once received, RLA will assess proposals based on the criteria outlined above. If the proposal meets the eligibility criteria, RLA will provide the applicant with feedback on their proposal along with its funding decision.

If approved, the RLA will contact you to discuss deliverables, budgets, and the division of roles between RLA and the applicant(s) in more detail during a co-creation process. What is agreed will be drawn up into a final grants package and submitted to USAID for review and approval.

## **Instructions for Budget and Budget Narrative**

Budget and budget narrative submissions should clearly present how all costs will be spent by the grantee. A budget narrative template has been provided in Annex II; the budget spreadsheet template is provided in Annex III. Applicants are encouraged to use this template, but RLA will accept other formats.

Budget submissions should detail how you will allocate grant funds during the grant term, including the proposed level of effort of staff who will work on the project. The budget narrative explains basis of costs and aids the evaluation committee in reviewing costs.

Budget line items may include, but are not limited to:

- Operational costs related to the provision of the proposed activities, including salaries of personnel, relevant equipment, supplies, financial administration, and other costs directly related to implementing the project.
- Operational costs for activities related to the delivery of proposed activities include service provision, training, and communication initiatives.
- Materials development, production, and distribution.

RLA is not responsible for any costs associated with the development of applications in response to this APS. All costs incurred in the preparation and submission of applications will be for the applicant's account and will not be reimbursed. All grant activity costs must be within the applicant's standard operating practices and in accordance with its written policies and procedures, in addition to USAID regulations.

### **Unallowable costs**

The following items will also not be supported under this funding due to donor restrictions: Live animals, pharmaceuticals, pesticides and fertilizers, motor vehicle or motorcycles, used or second-hand equipment, military equipment, surveillance equipment, abortion equipment, luxury and gambling equipment, and weather modification equipment.

## **V. Award Administration**

### **Award Administration**

ACDI/VOCA will administer grant awards in accordance with the following USAID regulations:

- Code of Federal Regulations 2 CFR 200 and 700; and 48 CFR 31.2  
[https://www.ecfr.gov/cgi-bin/text-idx?tpl=/ecfrbrowse/Title02/2cfr200\\_main\\_02.tpl](https://www.ecfr.gov/cgi-bin/text-idx?tpl=/ecfrbrowse/Title02/2cfr200_main_02.tpl)  
<https://www.ecfr.gov/cgi-bin/text-idx?SID=cbb7305b43e022815d30aeaf7b642744&node=pt48.1.31&rgn=div5>
- USAID Environmental Procedures 2 CFR Part 216  
[https://www.usaid.gov/our\\_work/environment/compliance/22cfr216](https://www.usaid.gov/our_work/environment/compliance/22cfr216)

## Disclaimers

- RLA may cancel this solicitation and not award.
- RLA reserves the right to accept or reject any or all applications received
- Issuance of solicitation does not constitute award commitment by RLA.
- RLA reserves the right to disqualify any application based on applicant failure to follow solicitation instructions.
- RLA will not compensate applicants for response to solicitation.
- RLA reserves the right to issue award based on initial evaluation of applications without further discussion.
- RLA may choose to award only part of the activities in the solicitation, or issue multiple awards based on availability of funding.
- RLA reserve the right to ask for further clarifications from the applicants or negotiate for adjustments on the nature, scope, or scale of the investment prior to award determination to promote competition.
- RLA will be contacting all applicants to confirm contact person, address and that the bid was submitted for this solicitation.

## Annexes

1. Application Template
2. Budget Narrative Template
3. Budget Template