



The PREPARED Project

Planning for Resilience in East Africa through Policy,
Adaptation, Research, and Economic Development

Planning for Resilience in East Africa through Policy, Adaptation, Research and Economic Development (PREPARED) ANNUAL PROGRAM STATEMENT (APS)

Issuance Date: May 12, 2014

Closing Date for Submission:

- First Closing Date: June 01, 2014
- Second Closing Date: August 28, 2014
- Third Closing Date: November 19, 2014
- Received after November 19, 2014 – April 13, 2015 will be reviewed based on funding availability

Submission of Concept Papers to: preparedaps001@gmail.com

APS No.: PREPARED APS001

BACKGROUND AND SCOPE OF ACTIVITIES

Tetra Tech, pursuant to the authority contained in the Foreign Assistance Act of 1961, as amended, is seeking concept notes from qualified Non-U.S. Non-Governmental Organizations (NGOs) in East Africa to implement projects contributing to the PREPARED Project in Burundi, Tanzania, Kenya, Rwanda, and Uganda. Funding for this activity is provided under USAID Contract AID-623-C-13-00003.

The PREPARED Project is a five year initiative funded by the United States Agency for International Development (USAID) to strengthen the resilience and sustainability of East Africa economies, trans-boundary and freshwater ecosystems and communities targeting three key development challenges of East Africa. These are also high priority areas for the U.S. Government (USG), which includes climate change adaptation, biodiversity conservation and water supply, sanitation and hygiene (WASH). The PREPARED Project's Grants Program will directly support the above priorities and projects that support PREPARED's three integrated objectives listed below:

- Climate change adaptation technical capacity, policy leadership and action readiness of regional institutions improved;
- Resilient and sustainable management of biologically significant trans-boundary freshwater ecosystems in the EAC region strengthened; and
- Resilient and sustainable water supply, sanitation, and wastewater treatment services in the Lake Victoria Basin enhanced.

All concept papers must address the PREPARED Project's objectives by employing a transboundary approach or focus on a regional issue affecting the East African Community or the Lake Victoria Basin.

More information on the PREPARED Project, including its Statement of Work, can be obtained from preparedaps001@gmail.com.

OBJECTIVES OF THE GRANTS PROGRAM

This Annual Program Statement (APS) solicits concept papers for activities to be funded under PREPARED's grants program in support of the above goals and objectives and specifically in the following areas:

- Climate change adaptation;
- Biodiversity conservation; and
- Water supply sanitation and hygiene (WASH)

The PREPARED Project encourages applicants to reach out to a broad range of community, national and regional actors, and to propose creative and innovative approaches and methodologies. We also encourage proposed activities that address trans-boundary issues and approaches.

The following is illustrative of potential areas of interest to the PREPARED Project, presented by component. Grant applicants are encouraged to identify and describe other creative and imaginative ideas not included in the following list.

Component 1: Climate Change Adaptation

- Demonstration community-led projects in areas that are vulnerable to the adverse effects of climate change (climate hotspots) to establish amongst communities a shared responsibility for supporting adaptive responses to climate variability, planning for climatic extreme events, and other emergencies.
- Education, awareness, and engagement activities intended to help communities understand climate change risks and develop activities that build their adaptive capacities including sustainable livelihoods and diversification.
- Research or demonstration activities using climate smart agricultural techniques to improve the capacity of farmers to adapt to current climate variability.
- Activities that promote leadership development and support emerging leaders to assist build resilience institutions.
- Development of Information and Communication Applications and tools for climate change adaptation.
- Development of geospatial tools that can be used to educate the "public" or generate and display information for making decisions.
- Design of innovative and practical climate financing mechanisms.
- Development of creative modeling and/or predictive tools that can be used by decision-makers at various institutional and/or community levels.
- Testing models or applications to estimate and interactively display climate change impacts on the following sectors and/or technical arenas, among others:
 - ✓ Health vectors and infectious diseases, such as malaria, meningitis, bilharzia, among others.
 - ✓ Water resources, both surface and groundwater resources.
 - ✓ Wildlife and habitats.
 - ✓ Forestry resources.
 - ✓ Pastoral and agro-pastoral systems.
 - ✓ Small-scale fisheries of Lake Victoria, including impacts on aquatic fisheries habitats and livelihoods of fishers.

Component 2: Biodiversity Conservation

- Innovative landscape planning that integrates tourism management and development with appropriate ecosystem management.

- Testing of innovative approaches to addressing human-wildlife conflicts in areas adjacent to protected areas.
- Transboundary integrated water resources management (IWRM),.
- Development and demonstration of Payment for Ecosystem Services (PES), at various scales, such as in a Lake Victoria transboundary sub-basin or demonstrated within a watershed. .
- Developing and analyzing Payment for Ecosystem Services (PES) approaches at selected Biologically Significant Areas (BSAs);
- Developing and training on economic valuation methods and approaches within or adjacent to Biologically Significant Sites (BSAs).
- Enhancing the understanding and awareness of the challenges and prospects of biodiversity conservation in evolving ecosystem contexts within the Lake Victoria Basin;
- Development and maintenance of biodiversity conservation-related databases covering the LVB;
- Development and piloting of innovative tools for alleviating threats to biodiversity and ecosystem-based adaptation to climate change.
- Development of sustainable tourism planning for biodiversity conservation.
- Development of incentivized biodiversity conservation crowd sourcing platforms.
- Development of Information and Communication Technology (ICT) Applications for biodiversity conservation.

Component 3: Water Supply, Sanitation and Hygiene (WASH)

- Approaches for water conservation or water demand management in transboundary basins.
- Methods for engaging stakeholders, customers and civil society in the improvement of WASH services.
- Development of Information and Communication Technology (ICT) Applications for improving customer involvement in the reduction of Non-Revenue Water (NRW).
- Approaches for creation of public-private partnerships or other mechanisms to increase private sector investment in water supply and sanitation and/or wastewater minimization and treatment within the Lake Victoria Basin.
- Assist water supply utilities and local governments to prepare Water Safety Plans using WHO/IWA approved methodology or other best practices.
- Prepare detailed needs assessment of the wastewater management needs in small towns in the LVB in collaboration with the LVBC and national and local governments of the Partner States;
- Development of approaches aimed at building technical and management capacity of local utility providers to sustainably deliver drinking water and sanitation services on a commercial basis in targeted small towns in the Lake Victoria Basin.
- Provide business development support services for small-scale independent service providers/entrepreneurs providing water supply and sanitation services in targeted small towns.
- Identify and test population, health and environment (PHE) approaches for dealing with poor sanitation conditions in small towns.

FUNDING DURATION AND AVAILABILITY

The PREPARED Project will provide grant funds using USAID’s Standard Provisions for awarding Simplified Grants, Fixed Obligation Grants and Standard Grants. PREPARED Project anticipates that the individual grants will range between US\$100,000 to US\$150,000, with project length of a minimum of 6 months and a maximum of 12 months duration. However on a case-by-case basis, applications that are below \$100,000 or exceed \$150,000 or 12 months in duration **may be considered**. Successful applicants must be operational and legally registered in at least one of the following countries: Burundi, Kenya, Rwanda, Tanzania, and Uganda. Applicants must also have the experience, presence and organizational mandate to operate in a regional context and contribute to the regional goals and objectives of the East

Africa PREPARED Project. All concept papers must address the PREPARED Project's objectives by employing a transboundary approach or focus on a regional issue affecting the East African Community or the Lake Victoria Basin.

Issuance of this APS does not constitute an award or commitment on the part of PREPARED and USAID to make any awards, nor does it commit the USG to pay for costs incurred in the preparation and submission of an application. PREPARED/USAID reserves the right to fund any or none of the concept notes submitted.

ELIGIBLE APPLICANTS

PREPARED Project's grants program targets Non-Governmental Organizations (NGOs), provided that they are legally registered and recognized under the laws of their respective countries and not prohibited from receiving US Government (USG) funding by US Federal Regulations. Grantees may include¹:

- National, regional, and local organizations;
- Non-US NGOs;
- US NGOs;
- Foundations and universities;
- Private enterprises or firms (profit cannot be included under a PREPARED Project grant);
- Business associations; and
- Legally-organized associations of the above organizations.

In addition, the Grantees must demonstrate that they:

- Possess sound managerial, technical, and institutional capacities to achieve project results;
- Possess and apply a system of internal controls in order to safeguard assets and to protect against fraud, waste, and conflicts of interest;
- Are in good standing with all civil and fiscal authorities;
- Possess financial accountability and maintain detailed records of all expenses; and
- Are willing to sign applicable assurance certifications.

INELIGIBLE APPLICANTS

The following organizations are *not* eligible for PREPARED grant funding:

- Political parties, their subsidiaries, or affiliates;
- Organizations that appear on the SAM list and Non-procurement Programs or United Nations (UN) 1267 list;
- Organizations that promote or engage in illegal activities or anti-democratic activities;
- Faith-based organizations that are not in compliance with Automated Directives System (ADS) 303.3.6.4.m, which is in accordance with Executive Order 13279, Equal Protection for the Laws of Faith-based Community Organizations;
- Any entity affiliated with Tetra Tech, the PREPARED Project institutional contractor, its officers, directors, or employees;
- Any governmental organization²; and
- Any Public International Organization (PIO).

¹ In keeping with the PREPARED Project's approach to local procurement of goods and services, we will first strive to work with Grantees from East African Community (EAC) Partner States, and will only work with international and U.S. NGOs if/when they are able to implement a grant that cannot be procured locally.

² In exceptional cases, agreements to public sector institutions can be awarded only when USAID waiver per 22CFR228.13 and 22CFR228.31 has been obtained.

ENVIRONMENTAL COMPLIANCE

The Foreign Assistance Act of 1961, as amended, Section 117 requires that the impact of USAID's activities on the environment be considered and that USAID include environmental sustainability as a central consideration in designing and carrying out its development programs. This mandate is codified in the Federal Regulations (22CFR 216) and in USAID's ADS201 Part 201.5.10 g and ADS204 (<http://www.usaid.gov/policy/ads/200/>), which, in part, require that the potential environmental impacts of USAID-financed activities are identified prior to a final decision to proceed and that appropriate environmental safeguards are adopted for all activities.

Grants funds will not be disbursed until USAID environmental guidelines have been completed and the USAID Mission Environmental Officer has approved the environmental review of the proposed project. In the event it is determined that the grant's component will have a significant impact on the environment, the GM will provide guidance to Grantees to ensure compliance with the environmental procedures outlined in 22 CFR 216.3, or pre-existing environmental mitigation plan. PREPARED will work closely with the Mission's Environmental Officer to ensure that the environmental assessments, reviews, and evaluations take place and are approved as required.

CONCEPT PAPER SUBMISSION PROCEDURES

All concept papers are to be submitted via e-mail to: preparedaps001@gmail.com, please include "PREPARED APS001" in the subject line. Any questions regarding this APS should be submitted to Jacinta Asaka, Grants Officer at: preparedaps001@gmail.com

Interested applicants should submit a concept paper written in English and not to exceed five pages (excluding the cover page, budget and certifications) typed, single spaced, 1-inch margins, in a font and size not smaller than Times New Roman 11. Concept papers exceeding five page limit will not be reviewed. Microsoft Word or Adobe PDF formats are accepted. Concept papers must include the following information:

- Cover page, not included as part of the five-page limit. The cover page should include:
 1. PREPARED APS001;
 2. Name and address of the organization;
 3. Type of organization-NGO, university, for-profit;
 4. Title of the concept paper and the country of operations;
 5. Total estimated cost in US\$;
 6. Length of the proposed project;
 7. Contact person; and
 8. Insert *"We, the undersigned, hereby submit this Grant application to PREPARED for review and consideration. We have materially participated in its preparation. To the best of our knowledge, all information provided is current, complete, and accurate and based on the need to efficiently and effectively meet the needs of the target population"* and the signature of authorized representative
- Brief analysis of the problem. Provide background of the development challenge/opportunity to be addressed and the program's expected, measurable contributions and results;
- Overall objectives of the activity and how they are aligned with the PREPARED Project's objectives;
- Technical strategy/approaches, and proposed activities. Include any innovative methods, techniques, or tools relevant to the project. Link this to anticipated results proposed and timeline for activities being implemented;

- Target population and geographic focus;
- Monitoring and evaluation plan;
- Past performance of the proposing organization. Include the proposed team’s capabilities, and experience;
- Budget. The budget is not included as part of the five-page limit. Provide the total budget and a brief cost break down with budget notes. Cost-sharing from the proposing organization is strongly encouraged.

EVALUATION AND SELECTION OF CONCEPT PAPERS

PREPARED Project’s technical team will assess the merits of the screened concept papers following the guidance of these evaluation criteria:

- 1) Strategic Fit with the PREPARED Project’s objectives (40 points maximum);
- 2) Technical Approach (30 points maximum);
- 3) Past Performance/Organizational and Team Capacity (maximum 20 points); and
- 4) Gender Considerations (maximum 10 points).

The budget will not be scored but may be taken into consideration when reviewing the concept paper. Only those concepts papers receiving 60 points or higher will be considered for funding. In addition to a preliminary scoring of each concept paper, the TEC will produce an overall assessment of the concept paper by examining the following:

- The overall clarity and logical coherence of the concept paper;
- Degree to which the concept and approach addresses either a transboundary or regional issue;
- The extent to which the applicant demonstrates understanding of the challenges/opportunities and target population and regional context; and
- The feasibility to which the expected outcome can be achieved.

“NEXT STEPS CLINIC”

The concept papers selected in the first stage will be invited to a “Next Steps Clinic” at which time the PREPARED Project team will explain the technical objectives and administrative procedures for submitting the final application. At this time, the applicants will be allowed to ask questions about the application process and any technical clarification. Assistance will be provided to ensure that the first stage selected applicants develop their final grant application to ensure that the goals are realistic, the budget is cost-effective and consistent with USAID regulations and that the eligibility and use of funds remain unchanged. Following, the applicants will be given the full Application/Budget Format and asked to re-submit their proposals within two weeks from the end date of the “Next Steps Clinic”. The PREPARED Project team will provide step by step procedures and guidelines for completing the final application and the budget.

FINAL GRANT APPLICATION PROCESS

After the final application is completed, the final applications will be submitted within two weeks for the “Next Steps Clinic” date using the formats provided (Technical Application, Activity Plan, Budget, and Certifications). The final application will cover the following:

Final Application Format:

Technical Application

- Cover page with following information:
 - Project name
 - Name of organization
 - Address, telephone, fax, email, web site

- Name of project leader
- Brief description of project
 - Project duration
 - Total budget of project
 - Amount of funds requested of the PREPARED Project
 - Project Partners (if any): name, contact person, address, phone, fax, email
 - Description of Organization
 - Description with goals, objectives, target audience, and proposed outcomes
 - Management Plan and role of partners in proposed activities
 - Description of organizational capacity to implement the proposed project

Attachments

- CVs of key project staff or detailed position descriptions with qualifications required;
- Confirmation letters from partners detailing their role and contribution; and
- Funding information/Past Performance References.

Financial Plan (see Attachment A)

- A summary budget page of total costs by major line item;
- A detailed budget of all anticipated costs; and
- Detailed budget notes and supporting justification of all proposed budget line items.

FINAL APPLICATION SELECTION AND EVALUATION

The Review and Evaluation Committee (REC) will assess and score the applications according to the technical criteria and make technical recommendations and rank them. PREPARED will be responsible for the analysis of the financial plan and reserves the right to conduct discussions and negotiations with applicants prior to final selection. PREPARED will then make a final evaluation of the proposals and a determination of the best value among them before submitting them to USAID for final approval. The Application Evaluation Form (AEF) will be used to rank each application based on the criteria outlined in the APS.

ADMINISTRATION OF AWARDS

Standard, Fixed Obligation, and Simplified Grant Formats will be used to issue awards to successful applicants. PREPARED will make the determination in accordance with ADS 303. Grants to U.S. recipients may not exceed \$100,000. Awards will be administered in accordance with USAID ADS303 and the Standard Provisions and applicable U.S. Government regulations that are available online at <http://www.usaid.gov/pubs/ads>. Resulting awards to U.S. non-governmental 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 for both) or 48 CFR 31.2 (for for-profit organizations), and Standard Provisions for U.S. Non-governmental Organizations.

- ADS 303 is available at <http://www.usaid.gov/pubs/ads/300/303.pdf>
- 22 CFR 226 is available at <http://www.usaid.gov/pubs/ads/22cfr226.doc>
- Applicable OMB Circulars are available at <http://www.whitehouse.gov/OMB/circulars/index.html>
- 48 CFR 31.2 is available at <http://www.arnet.gov/far/>
- Standard Provisions for U.S. Nongovernmental Organizations are available at <http://www.usaid.gov/pubs/ads/300/303maa.pdf>

Mandatory Standard Provisions for Non-U.S. Non-Governmental Recipients and the Required as Applicable Standard Provisions for Non-U.S. Non-Governmental Recipients and OMB Circular A-122 Cost Principles, which are available on the USAID Internet site:

<http://transition.usaid.gov/policy/ads/300/303mab.pdf>. A copy may be requested from Jacinta Asaka, Grants Officer at: preparedaps001@gmail.com

- The PREPARED Project staff will provide training and guidance on these requirements, if required.

Pre-Award Certifications, Assurances and Other Statements of the Recipient

Prior to funding any application, applicants must sign USAID's mandatory Certifications and Assurances, which can be found on the internet at <http://transition.usaid.gov/policy/ads/300/303mav.pdf>. Applications will not be funded if applicants are unable or unwilling to sign these certifications and assurances.

Prohibition on Transactions with Terrorists

Applicants are reminded that U.S. Executive Orders and U.S. law prohibits transactions with, and the provision of resources and support to, individuals and organizations associated with terrorism. It is the legal responsibility of the recipient to ensure compliance with these Executive Orders and laws.

“The recipient must not engage in transactions with, or provide resources or support to, individuals and organizations associated with terrorism. In addition, the recipient must verify that no support or resources are provided to individuals or entities that appear on the Specially Designated Nationals and Blocked Persons List maintained by the U.S. Treasury (online at: <http://www.treasury.gov/resource-center/sanctions/SDN-List/Pages/default.aspx>) or the United Nations Security designation list (online at: http://www.un.org/sc/committees/1267/aq_sanctions_list.shtml). This provision must be included in all subagreements, including contracts and subawards, issued under this award.”