

Cross-Border Community Resilience (CBCR) Activity

Request for Applications (RFA) No. CBCR-RFA-004-2022

Name of Activity: Conducting Baseline Survey for Transformative Capacity

- Issuance Date: **August 19, 2022**
- Organizations to submit questions by email to Grants@CBCResilience.com by **August 26, 2022 (5pm EAT)**
- CBCR to issue answers to questions by **September 2, 2022 (5pm EAT)**
- Applications must be submitted no later than **September 19, 2022 (5pm EAT)**

Dear Applicant:

The Cross-Border Community Resilience (CBCR) Activity, implemented by Chemonics International and subcontractor ACDI/VOCA, is seeking grant applications to conduct a survey to measure transformative capacity in three target clusters of Karamoja, Moyale, and Mandera. One grant may be awarded and implemented in accordance with USAID and US Government regulations governing grants under contracts and CBCR's internal grant management policies.

Project and Chemonics employees may not ask for, and applicants are prohibited from offering, any money, fee, commission, credit, gift, gratuity, thing of value, or compensation to obtain or reward improper favorable treatment regarding this solicitation. Any improper request from a project employee should be reported to the Chief of Party or BusinessConduct@chemonics.com.

Annexes included with this Request for Applications:

- **Annex A** – Grant Application
- **Annex B** – Grant Application Budget
- **Annex C** – Implementation Timeline Form
- **Annex D** – Applicant Self-Assessment Form
- **Annex E** – Transformative Capacity Survey Tool
- Required Certifications and Mandatory and Required as Applicable Standard Provisions and Environmental Review Form (to be signed during negotiations)

SECTION I. ACTIVITY DESCRIPTION

IA. OBJECTIVE

USAID's Cross-Border Community Resilience (CBCR) activity is a regional project funded by USAID Feed-the-Future and is designed to enhance resilience and thus reduce the need for humanitarian assistance among communities in the cross-border clusters of Karamoja, Moyale and Mandera.

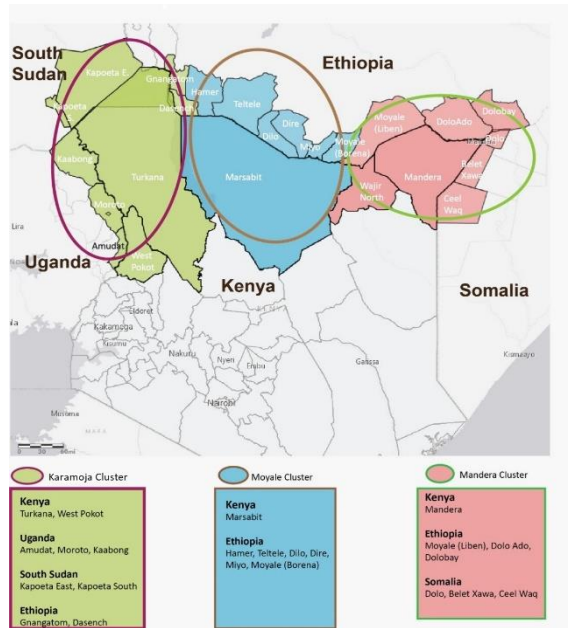
IB. BACKGROUND

CBCR is a five-year project financed by USAID and implemented by Chemonics International, ACDI VOCA and local organizations. CBCR is designed to enhance resilience and thus reduce the need for humanitarian assistance among communities in the cross-border clusters of Karamoja, Moyale and Mandera (See map on next page). Focusing on communities that live across the borders of Ethiopia, Kenya, Uganda, South Sudan and Somalia, the activity aims to empower local entities, including communities, civil society, private sector and governments, to chart their own pathways for addressing conflict, improving livelihoods and/or reducing the risks of shocks and stresses. CBCR will work to foster local ownership of development investments by supporting local leadership in work planning, implementation, and monitoring. The purpose is to contribute to the resilience of cross-border

communities in the Karamoja, Moyale and Manderla Clusters with the goal of reducing the need for humanitarian assistance among communities in the cross-border clusters.

IC. DETAILED ACTIVITY DESCRIPTION

CBCR is seeking a research organization to conduct a baseline survey on transformative capacity across the three clusters. The findings will be used to lay the foundation for the project. CBCR intends to measure the baseline of transformative capacity which involves system-level resources, governance, and institutions that provide an enabling environment for promoting or limiting the capacity of households to respond to shocks and stressors. CBCR also seeks input from this organization to inform how best to conduct the mid-line and end line surveys to see trends and compare data.



This RFA is **not** open to individuals; it is only open to research organizations or institutes/institutions. For this RFA, any research organization or institution with operational presence on the ground and experience in the cluster areas will be considered or prioritized.

Resilience is the ability of a household, community, and higher-level systems to manage or recover from shocks and stresses (i.e., stability or improvement in well-being outcome measures in the face of shocks and stressors). Considering whether that recovery took place with the use of negative coping strategies that undermine the ability to recover from future shocks and stresses.

Resilience is determined by a set of capacities that enable households and communities to effectively function in the face of shocks and stresses, and still meet a set of well-being outcomes. The ability to measure resilience involves measuring the relationship between shocks, capacities, responses, and the current and future states of well-being. Primary data will be collected via community-based surveys in implementation areas. The survey questionnaire and tabulation instructions are included in the [Resilience Measurement Options: Methodological Guide](#) with questions to be derived from the corresponding [Household and Community Questionnaires](#). All data points must be sample weighted.

Transformative Capacity Index

- Availability of/access to formal safety nets
- Availability of markets
- Availability of/access to communal natural resources
- Availability of/access to basic services
- Availability of/access to infrastructure
- Availability of/access to agricultural services
- Availability of/access to livestock services
- Bridging social capital
- Linking social capital
- Collective action
- Social cohesion
- Gender equitable decision-making index
- Participation in local decision-making
- Local government responsiveness
- Gender index

The final product must include a detailed report with the raw data as well as the analyzed data. The grantee also needs to submit a PowerPoint presentation for the client.

Transformative Capacity	Year 1 (baseline)		
	Karamoja	Moyale	Mandera
1. Availability of/access to formal Safety Nets			
2. Availability of markets			
3. Access to communal natural resources			
4. Availability of/access to communal natural resources			
5. Availability of/access to basic services			

	Year 1 (baseline)		
6. Availability of/access to Infrastructure			
7. Availability of/access to agricultural extension services			
8. Availability of/access to livestock services			
9. Bridging social capital			
10. Linking social capital			
11. Collective action			
12. Social cohesion			
13. Gender-equitable decision-making index			
14. Participation in local decision making			
15. Local government responsiveness			
16. Gender Index			
Transformative Capacity Score			

CBCR's impact indicator is as follows:

#	Indicator	Indicator type (Output/Outcome/Impact)	Disaggregation	Data Source/Collection Method	Targets
1	Score on Transformative Capacity	Impact	Geographic area (cluster)	Community Questionnaire in Years 1, 3, and 5	Y1: baseline

ID. AUTHORITY/GOVERNING REGULATIONS

CBCR grant awards are made under the authority of the U.S. Foreign Affairs Act and USAID's Advanced Directive System (ADS) 302.3.5.6, "Grants Under Contracts." Awards will adhere to guidance provided under [ADS Chapter 303](#), "Grants and Cooperative Agreements to Non-Governmental Organizations" and will be within the terms of the USAID Standard Provisions as linked in the annexes, as well as the *CBCR* grants procedures.

ADS 303 references two additional regulatory documents issued by the U.S. Government's Office of Management and Budget (OMB) and USAID:

- 2 CFR 200 [Uniform Administrative Requirements, Cost Principles, and Audit Requirements for Federal Awards, Subpart E](#) (U.S. applicants are subject to 2 CFR 200 in its entirety)
- Full text of 2 CFR 200 can be found at http://www.ecfr.gov/cgi-bin/text-idx?tpl=/ecfrbrowse/Title02/2cfr200_main_02.tpl. CBCR is required to ensure that all organizations receiving USAID grant funds comply with the guidance found in the regulations referenced above, as applicable to the respective terms and conditions of their grant awards.

Under the CBCR grant program, USAID always retains the right to terminate, in whole or in part, CBCR grant-making authorities.

SECTION II. AWARD INFORMATION

CBCR anticipates awarding one grant to one local research organization with a budget range of 80,000 USD to 100,000 USD, to be issued in local currency. However, the final amount will be dependent upon grant activities and final negotiation and may be lower or higher than that range.

The duration of any grant award under this solicitation is expected to be no more than three months. The estimated start date of the grant awarded under this solicitation is on or about November 1, 2022.

SECTION III. ELIGIBILITY

IIIA. ELIGIBLE RECIPIENTS

- Applicants must be registered according to Kenyan, Ethiopian, Ugandan, South Sudanese, or Somali legal requirements and formally constituted, recognized by and in good standing with appropriate Kenyan, Ethiopian, Ugandan, South Sudanese, and Somali authorities, and compliant with all applicable civil and fiscal regulations.
- Applicants must be local research organizations or institutions with demonstrable on-the-ground presence in the border clusters.
- Applicants must be able to demonstrate successful past performance in implementation of evidence-based research products in the CBCR Activity priority areas of Karamoja, Mandera and Moyale.
- 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 Activity goals and objectives. CBCR will assess this capability prior to awarding a grant.
- Applicants must sign certain required certifications prior to receiving a grant. The certifications will be provided at the time of awarding grant and CBCR will review them with applicants.
- For any grant awards resulting from this solicitation that is other than in-kind, equivalent to \$25,000 USD or more, and has no anticipated subawards, grantees will be required to provide a Unique Entity Identifier (UEI) or Data Universal Numbering System (DUNS) number at the time of award. If the applicant already has a UEI or DUNS number, it should be included in their application. Otherwise, applicants will be expected to get a UEI or DUNS number before an award is made. CBCR will assist successful applicants with this process. DUNS numbers can be obtained online at <http://fedgov.dnb.com/webform/pages/CCRSearch.jsp>. More information on UEIs can be found [here](#).
- CBCR will work with the successful applicant to draft a marking and branding plan which will be annexed to the grant agreement.
- Faith-based and community groups will receive equal opportunity for funding in accordance with the mandated guidelines laid out in ADS 303.3.28 except for faith-based organizations whose objectives are for discriminatory and religious purposes, and whose main objective of the grant is of a religious nature.

CBCR encourages applications from new organizations who meet the above eligibility criteria.

SECTION IV – APPLICATION AND SUBMISSION INFORMATION

IVA. INSTRUCTIONS TO APPLICANTS

Applicants must propose strategies for the implementation of the survey described above.

IVA1. PRE-AWARD RISK ASSESSMENT

All organizations selected for award are subject to a pre-award risk assessment conducted by CBCR, to ascertain whether the organization has the minimum management capabilities required to handle US government funds.

IVA2. GRANT APPLICATION

Templates to be utilized when developing the *application* are provided in Annex A-D. Applicants shall present their technical application and budget in the formats provided and shall follow the instructions and guidelines listed in these annexes.

All grant activity costs must be within the normal operating practices of the Applicant and in accordance with its written policies and procedures. For applicants without an audited indirect cost rate, the budget may include direct costs that will be incurred by the Applicant to provide identifiable

administrative and management costs that can be directly attributable to supporting the grant objective.

The application must be signed by an authorized agent of the Applicant.

IVA3. INELIGIBLE EXPENSES

CBCR grant funds may not be utilized for the following:

- Construction or infrastructure activities of any kind. Note that Per ADS 303.3.30 and the ADS 303 Mandatory Reference entitled, “USAID Implementation of Construction Activities”, construction is not eligible for reimbursement under grants resulting from this solicitation. Construction also includes improvements, renovation, alteration, and refurbishment.
- Ceremonies, parties, celebrations, or “representation” expenses.
- Purchases of restricted goods, such as: restricted agricultural commodities, motor vehicles including motorcycles, pharmaceuticals, medical equipment, contraceptive products, used equipment; without the previous approval of CBCR, or prohibited goods, prohibited goods under USAID regulations, including but not limited to the following: abortion equipment and services, luxury goods, etc.
- Covered telecommunication and video surveillance equipment or services – per ADS 303.3.35.2 and as further explained in 2 CFR 200.216 for U.S. organizations and the standard provision entitled, “Prohibition on Certain Telecommunication and Video Surveillance Services or Equipment” applicable to non U.S. organizations, grant funds including direct and indirect costs, cost share and program income may not be used to purchase covered telecommunications equipment and services produced by or provided by the companies listed in the referenced provisions. The definition of “covered telecommunication equipment or services” is provided in the referenced provisions. Note that there is a temporary waiver in place that allows for the purchase of covered internet and phone service through September 30, 2022.
- Alcoholic beverages.
- Purchases of goods or services restricted or prohibited under the prevailing USAID source/nationality (Cuba, Iran, North Korea and Syria).
- Any purchase or activity which has already been made.
- Purchases or activities unnecessary to accomplish grant purposes as determined by CBCR.
- Prior obligations of and/or, debts, fines, and penalties imposed on the Grantee.
- Creation of endowments.

IVB. APPLICATION AND SUBMISSION INFORMATION

Applications shall be submitted in English and may not be more than 12 pages (not counting Annexes after A).

Applications (including the budget and supporting documentation) should be submitted in electronic copy to Grants@CBCResilience.com and should reference RFA No. CBCR-RFA-004-2022. Applications must be submitted no later than **September 19, 2022, 5pm (EAT)**. Late or unresponsive applications will only be considered at the discretion of CBCR.

In addition to the application forms and budget, applicants should submit the following to CBCR:

- Annex C. Implementation Plan
- Annex D. Applicant Self-Assessment form
- A copy of the Applicant’s valid legal registration,
- A copy of their latest audited financial statements.
- CVs for the staff who will be involved in the grant implementation

Please submit all questions concerning this solicitation to grants@CBCResilience.com by **August 26, 2022 (5pm EAT)**. CBCR will provide answers to questions to all entities by **September 2, 2022 (5pm EAT)**. All answers will be posted publicly on Chemonics website.

SECTION V. APPLICATION MERIT REVIEW CRITERIA

Full applications will be evaluated against the merit review criteria in the table below.

Merit Review Category	Rating (Points)
A. Feasibility of the approach to the survey within the proposed timeframe and budget. This should include methodology, time frame, data quality assurance, and areas of operation.	50
B. <i>Past performance.</i> Demonstrated technical and operational capacity including sound research practices; expertise conducting in-depth evidence-based reports as well as sound financial practices.	30
C. Professionalism and experience of proposed staff (as demonstrated by CVs for Key Personnel/Consultants)	20
Overall Rating (out of 100 points)	100

These merit review criteria elements are described more fully below.

- A. *Feasibility of the approach within the proposed timeframe and budget.* The quality and feasibility of the application in terms of the viability of the proposed technical approach, (i.e., the proposed technical approach can reasonably be expected to produce the intended outcomes), appropriateness of the proposed methodology, research methods and timeframe for completion. **(50 points)**.
- B. *Past Performance.* *Demonstrated technical and operational capacity including sound financial practice.* Evidence of the capability to undertake and accomplish the proposed activities. The applicant should demonstrate the organization's effectiveness in terms of internal structure, technical capacity, and key personnel, in meeting outlined goals. In addition, the applicant must demonstrate adequate financial management capability. The degree to which budgeting is clear and reasonable and reflects best use of organizational and grant resources. **(30 points)**
- C. *Professionalism and experience of proposed staff.* This factor will be based principally on the background, qualifications, reputation, appropriateness, and skills of its key personnel. This will be evaluated based on the CVs provided as part of the application. **(20 points)**

Additionally, CBCR will ensure environmental soundness and compliance in design and implementation as required by 22 CFR 216.

SECTION VI. AWARD AND ADMINISTRATION INFORMATION

All grants will be negotiated, denominated, and funded in local currency of the applicant. All costs funded by the grant must be allowable, allocable, and reasonable. Grant applications must be supported by a detailed and realistic budget as described in Section IV.

Issuance of this RFA do not constitute an award or commitment on the part of CBCR, nor does it commit CBCR to pay for costs incurred in the preparation and submission of an application. Further, CBCR reserves the right to accept or reject any or all applications received and reserves the right to ask for further clarifications from the applicants. Applicants will be informed in writing of the decision made regarding their application.

Annex A: Grant Application

A.1. General Instructions

Annex A (Application) and Annex B to D must be completed and submitted as part of your application. **The application may not exceed twelve (12) pages in length.** Proposals exceeding 12 pages will not be reviewed. *(The page limitation does not include CVs, Annex B. detailed grant budget, Annex C. Implementation Plan Timeline and Annex D. Applicant Self-Assessment Form).*

A.2. Instructions by Section

Templates for presentation of both the technical and budget aspects of the application are provided in Annexes A. and B. Applicants shall present their proposals in the formats provided. Those applications that are not submitted according to the formats requested and in accordance with the instruction in this RFA will be considered as non-responsive and will be disqualified.

The application elements and guidelines are summarized below:

Section I (Basic Information). The Applicant provides basic contact information and information regarding the status of the organization.

- Items 1-2: Organization's name, date organization was founded, and current registration status including registration number. Organization should provide a copy of the registration as an attachment
- Item 3: Contact Information— Contact name, title, address, telephone, fax, e-mail, etc. The contact person is responsible for communications between CBCR and the Applicant. This applies to all aspects of the grant, from initial application, negotiation, award, and close out. The contact person must have full authority and responsibility to act on behalf of the Applicant. The contact person should be someone who will be directly involved with the grant activity and has a proven, established relationship with the Applicant.
- Item 4: Organizational Structure— List board members (or founding members if you do not have a formal board of directors) and key staff (president, directors, treasurer, etc.). If available, please attach an organizational chart and resumes for key staff.
- Item 5: Briefly describe the organization and its activities — Should introduce the Applicant and its background: how it was formed, its mission or purpose, major accomplishments in the area of the targeted activity, current activities, past related experience, and clients. The applicant should also demonstrate its research 'reach' – including researcher, civil society and policymaker networks – in Kenya, Somalia, South Sudan, Uganda and Ethiopia, and demonstrate that it has a track record of delivering household and community research focusing on a cross-section of technical subject matters.
- Item 6: References—List three donors, partner organizations, or community leaders that can provide references for your organization's ability to successfully carry out the financial, administrative, and technical requirements of the grant activity. Briefly describe your relationship to the reference and the nature and duration of your work together. If the reference is a previous donor, list the activity and location of the activity(s) they funded as well as the value in local currency. Be sure to provide complete information, including a point of contact, with telephone and email address.

Section II (Program Description). The Applicant describes overarching program elements such as results, the activity’s beneficiaries, and plan for ensuring quality.

Items 7: Grant Activity Detail – Provide a thorough, detailed description of the activities including the timeline, survey methodology, proposed staff, data quality assurance approach, enumerator training and monitoring, and deliverables. Applicants should also describe how they will quality assure the research and the outputs. They should also demonstrate how the research will be both ethical and safe for researchers and research respondents alike, and how it will be gender-sensitive, conflict-sensitive, and enable access and engagement with a diverse set of research respondents (i.e. age, gender, rural/urban, political influence). Organizations are also requested to provide recommendations for how to best conduct the mid-line (in two years from now) and end-line surveys (in 4 years from now).

Item 8: Beneficiaries – Identify beneficiaries/participants, disaggregated by gender, if possible, estimated number, and location. Identify how the grant activities will reach the intended beneficiaries, how they will benefit from the grant, and how the beneficiaries will be identified or selected.

Section III (Program Implementation Plan). This section covers information regarding activity implementation, including proposed personnel and descriptions of each task. **This should be the most detailed section,** depending on the nature of the grant activity and tasks involved.

Item 9: Anticipated duration should be stated with a degree of accuracy of plus or minus two weeks (assuming a research product across borders), applicants should provide an illustrative timeline of actions and activities.

Item 10: Main tasks of the activity— Provide details regarding the specific tasks of the activity in Annex C. The implementation plan must be supported by **Annex C., Implementation Plan Timeline**, listing all identified main tasks over the duration of the activity. Please include all events, trainings, publications, plan for each cluster, training enumerators, etc. For each task, provide the following information:

Task # / Title

1. Task description
2. Target Audience
3. Grant-financed resource required & detailed explanation of use
4. Non-grant-financed resources required
5. Start and end dates
6. Person(s) responsible
7. Milestone or indicator of achievement

Each task must be:

- Complete and sound
- Integrated and scheduled with dependent tasks
- Assigned to a responsible party
- Defined in terms of resources required
- Concluded with a viable milestone of achievement—milestones must be linked to results.

The tasks listed must show a logical, thoughtful approach to the overall implementation plan. Tasks should describe actions and be logically sequenced. The Applicant should also describe any relevant material assumptions made and/or conditions or precedent required for the achievement of the tasks.

- Item 11: Applicant lists the location(s) of the activity, adding rows as needed.
- Item 12: Applicant lists the personnel who will be involved in implementing the grant activity. Attach updated CVs and salary history form, for all grant activity personnel. The applicant should propose the configuration of their research team (numbers of researchers, assistant researchers etc.), and can include both their own staff and external researchers as part of their team. The applicant should provide justification for each member's involvement, including their relevant experience for this research. Applicants are strongly encouraged to include researchers/research assistants from communities within Mandera, Moyale, and Karamoja clusters as part of their research team, and should demonstrate how their research team will be gender-sensitive, conflict-sensitive, and enable access and engagement with a diverse set of research respondents (i.e., age, gender, rural/urban, political influence).

Section IV (Experience and Capacity).

- Item 13: Applicant(s) should describe relevant past experience or on-going activities especially if carrying out similar technical activities. This is a critical factor in assessing the capacity of the applicant to implement the activity. If the applicant does not have similar experience, state that here and describe any other relevant qualifications that will allow you to successfully implement the grant activity.

Section V (Cost). This is a summary of the information provided in the application budget forms, and includes total grant request, Grantee's cash or in-kind contributions for the activity and contributions from other sources (co-funding) for the activity. Applicants should also describe any other US Government funding they are currently receiving for other purposes. Applicant must identify any long-term, recurrent commitments resulting from activity, and Applicant's plan for sustainable coverage.

- Item 14: Detailed cost of this activity (cash, in-kind [i.e., donated goods or services], and third-party sources)
- Item 15: List any major donor-funded activities (U.S. and other) that your organization has managed in the last two years, currently receives, or expects to receive within the duration of the grant activity.

Applications must be supported by **Annex B, Detailed Grant Budget**. This MS Excel budget template, when properly completed, reviewed, and approved by CBCR, will serve as the mutually agreed-upon guide for activity financial management. All activity costs must be identified. Cost data must be accurate; proposed amounts should not be unrealistically high or low.

It is important that the budget clearly indicates where specific program funds are to come from (from USAID, co-funding by another donor, or the applicant's contribution). Furthermore, contribution from other donors and Applicant resource commitment will be investigated and documented. To avoid double financing/ billing, CBCR will require full disclosure by all involved parties and will maintain contact with co-funders to verify their contributions. Budgeted amounts must also be supported by justification, and the applicant must be able to provide such backup to CBCR if requested.

All grant activity costs must be within the normal operating practices of the Applicant and in accordance with its written policies and procedures. For applicants without an audited indirect cost rate, the budget may include direct costs that will be incurred by the Applicant to provide identifiable administrative and management costs that can be directly attributable to supporting the grant objective.

Annex A. Grant Application Form

The application must be signed by an authorized agent of the Applicant.

Section I. Basic Information

1. Organization name:
2. Date organization was founded and registration status:
3. Contact information:

Key contact person(s) and title:	
Office address:	Office phone:
Mobile:	
Email:	Website:

4. Organizational Structure – List board members (or founding members if you do not have a formal board of directors) and key staff (president, directors, treasurer, etc.). If available, please attach an organizational chart.
5. Briefly describe the organization, its purpose, and past related experience:
6. List contact information for three (3) references from previous organizations (U.S. and other) that your organization has conducted similar assignments within the last two years:

Donor Agency or Organization	Nature of Relationship or title of Project, Location	Start & End Dates of Collaboration	Annual Value of Donor Funds managed	Contact Person
				Name & Position:
				Email:
				Tel:
				Name & Position:
				Email:
				Tel:
				Name & Position:
				Email:
				Tel:

6a. Have any of the key personnel or leadership of this organization been terminated or resigned in lieu of termination for any misconduct, including fraud or sexual harassment? If yes, please list name and title.

Section II. Activity Description

7. Describe the proposed survey, methodology, timeline, and expected results in detail. Describe the main tasks that are proposed to meet the survey objective, the expected results to be achieved, and how the tasks are linked to the grant objective. Describe any relevant material assumptions made and/or conditions or precedent required for the achievement of the objective. This activity should keep in mind the merit review criteria contained in the solicitation. Organizations are also requested to provide recommendations for how to best conduct the mid-line (in two years from now) and end-line surveys (in 4 years from now). The selected consultant will be required to prepare detailed research methodology including sampling approach and sample size in consultation with CBCR. The survey will apply quantitative data collection methods in the three clusters. CBCR emphasizes that the consultant must have in place or hire or a sampling expert who would take decisions regarding the size of the sample design and how representative it is of the targeted clusters. The consultant should also outline the key responsibilities of the sampling expert with regards to sample design.

8. Describe the proposed participants and/or beneficiaries, and your method for identifying or selecting participants and beneficiaries:

Section III. Implementation Plan

9. Anticipated duration of the survey:

Overall length (total number of months)	
Start and end date (day, month, and year)	

10. All implementation plans must be supported by Annex C. that lists all identified tasks over the duration of the activity.

11. Locations of the activity (add rows as needed). The Applicant should list out where it has offices, staff, and ability to reach various communities across the selected clusters.

#	Community	Location	Country
1			
2			
3			
4			
5			

List personnel who will be involved in execution of this assignment. CVs & salary current and history forms are required for all proposed personnel. For this, it is imperative that the proposed staff/consultants are compensated at a rate that is deemed reasonable in the market. The proposed rate needs to be the current or historical rate and meet terms of reasonableness.

Salary Current and History Form

Name of Proposed Consultant/Staff Member:	Proposed Position under Grant:	Positions Held over the past three years	Dates of Position held over the past three years	Unburdened Daily Rate (in Local Currency) without allowances or benefits	Proposed Rate (and confirmation it's their current or most historical rate)

Section IV. Experience and Capacity

12. Describe the organization’s experience undertaking similar activities:

Section V. Cost

Note: All applications must be supported by the attached Annex B., Detailed Grant Budget.

13. Cost in local currency per the attached budget:

Amount requested from the CBCR Activity:	
In-kind (i.e., donated goods or services) or other contribution from organization:	
Other donors or third-party resources:	

Total Estimated Cost:	
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14. List any major donor-funded activities (U.S. and other) that your organization has managed in the last two years, currently receives, or expects to receive within the duration of the grant activity. Add additional lines if necessary:

Donor Agency	Title of Project, Location, & Start & End Dates	Total Funding (In local currency)	Donor Contact Person
			Name: Email: Tel:
			Name: Email: Tel:
			Name: Email: Tel:

By affixing my signature below, I certify that to the best of my knowledge, the information provided in this application is accurate and correct:

Submitted by (name and title): _____

Signature: _____ Date: _____

FOR CBCR USE ONLY
Date received _____ Grant Application Reference No. _____
The undersigned hereby certifies that: (a) the prospective grantee has received an official delivery receipt for its <i>Grant Application</i> , (b) a copy of that receipt has been filed, (c) a reference number has been assigned, and (d) a grant application file has been opened. In addition, the prospective grantee has been advised as to the review and appraisal process, and its primary project point of contact.
Director of Operations and Grants _____ Date _____

ANNEX B – Detailed Grant Budget Template (to be submitted in Excel- Excel template available upon request)

Name of Organization:

Name of Activity:

Estimated Start and End Date:

Line Item		Units	Rate	Total	TOTAL in
					Local currency
I.	Salaries (long-term staff)				
	A. Long-term Staff (full name and position title)				
	1. Full Name, Position Title			-	-
	2. Full Name, Position Title			-	-
	3. Full Name, Position Title			-	-
	<i>Subtotal, Long-Term Staff</i>			-	-
	B. Short-Term Staff (full name and position title)				
	1. Full Name, Position Title			-	-
	2. Full Name, Position Title			-	-
	3. Full Name, Position Title			-	-
	<i>Subtotal, Short-Term Staff</i>			-	-
Total, Salaries				-	-
II.	Benefits				
	A. Health insurance			-	-
	B. Social security			-	-
	C.				
Total, Benefits				-	-
III.	Other Direct Costs				
	A. Communications (telephone, fax, internet, etc.)			-	-
	B. Reproduction Costs			-	-
	C. Bank Charges			-	-
	D. Expendable Supplies			-	-
	E. Vehicle Maintenance and Fuel			-	-
	F. Office Rent, Utilities, and Maintenance			-	-
	G.				
	H.				
	I.				
Total, Other Direct Costs				-	-
IV.	Activity Service Delivery (add additional lines for each activity)				
	A. Name of Activity				
	Training Venue Rental			-	-
	Food			-	-
	Lodging			-	-
	Transportation			-	-
	Training Supplies (Stationary, Flip charts, markers, etc.)			-	-
	Reproduction Costs			-	-
	Communications			-	-
	Equipment Rental			-	-

Line Item		Units	Rate	Total	TOTAL in
					Local currency
	<i>Sub-Total for Activity</i>			-	-
B.	Name of Activity				
	Training Venue Rental			-	-
	Food			-	-
	Lodging			-	-
	Transportation			-	-
	Training Supplies (Stationary, Flip charts, markers, etc.)			-	-
	Reproduction Costs			-	-
	Communications			-	-
	Equipment Rental			-	-
	<i>Sub-Total for Activity</i>			-	-
C.	Name of Activity			-	-
				-	-
	<i>Sub-Total for Activity</i>			-	-
Total, Activity Service Delivery				-	-
V.	Travel and Transportation				
A.	Meals and Incidentals			-	-
B.	Lodging			-	-
C.	Travel to and from x			-	-
D.				-	-
Total, Travel and Transportation				-	-
VI.	Goods and Materials				
A.	List each category of goods separately			-	-
B.	List each category of goods separately			-	-
C.				-	-
D.				-	-
E.				-	-
Total, Goods and Materials				-	-
Grand Total				-	-

Budget Notes :

Ref	Topic	Notes
I.	Salaries (long-term staff)	Herein describe the long-term staff members role on the Activity by way of scope of work and rationale for the level of effort. Provide details on their current salary. Long-term staff are not able to receive an increased salary for purposes of this activity.
1.A.	Long-term Staff (full name and position title)	
1.A.1.	Full Name, Position Title.	
1.A.2.	Full Name, Position Title	
1.A.3.	Full Name, Position Title	
1.B.	Short-Term Staff (Consultants and short-term employees)	Herein describe the short-term staff/consultant role on the Activity by way of scope of work and rationale for the level of effort. Provide details on their proposed salary/market rate for position.
1.B.1.	Full Name, Position Title.	
1.B.2.	Full Name, Position Title	

Ref	Topic	Notes
1.B.3.	Full Name, Position Title	
II.	Benefits	Herein describe the required or proposed benefits and how the cost was determined, or the pro-rated portion was determined. It should include a clear correlation to the direct cost of long-or short-term labor.
II.A.1.	Health insurance.	
II.B.1	Social security	
II.C.1	Other (list out)	
III.	Other Direct Costs	Herein the applicant should describe the costs for specific line items and how they are calculated.
III.A.	Communications (telephone, fax, internet, etc.)	
III.B.	Reproduction Costs	
III.C	Bank Charges	
III.D.	Expendable Supplies	
III.E.	Vehicle Maintenance and Fuel	
III.F.	Office Rent, Utilities, and Maintenance	
III.G.		
IV.	Activity Service Delivery	(Add additional lines for each activity)
IV.A.	Name of Activity	
	Training Venue Rental	
	Food	
	Lodging	
	Transportation	
	Training Supplies (Stationary, Flip charts, markers, etc.)	
	Reproduction Costs	
	Communications	
	Equipment Rental	
IV.B.	Name of Activity	
	Training Venue Rental	
	Food	
	Lodging	
	Transportation	
	Training Supplies (Stationary, Flip charts, markers, etc.)	
	Reproduction Costs	
	Communications	
	Equipment Rental	
C.	Name of Activity	
	Training Venue Rental	
	Food	
	Lodging	
	Transportation	
	Training Supplies (Stationary, Flip charts, markers, etc.)	
	Reproduction Costs	
	Communications	
	Equipment Rental	
V.	Travel and Transportation	This should also include the travel policies that the organization follows.
V.A.	Meals and Incidentals	
V.B.	Lodging	
V.C	Travel to and from x	
VI.	Goods and Materials	
VI.A.	List each category of goods separately	
VI.B.	List each category of goods separately	

Annex C. Sample Implementation Timeline

IMPLEMENTATION PLAN									
Task List each task. Please be as specific as possible. Use additional pages if necessary.	Target Audience Who is the audience targeted for the task?	Grant Resources Required and Detailed Explanation of Use	Non-Grant Resources Required (Grantee or Third-Party Contribution) and Detailed Explanation of Use	Up to 6 Month Timeline Place an X in the appropriate box to indicate the first and last month of the task, with approximate start and end dates. (Add more months if necessary)				Person(s) Responsible Who is responsible for overseeing and implementing the task?	Evaluation Indicators and Milestones How will you measure the success of the task?
				1	2	3	4		

Annex D. Grantee Applicant Self-Assessment Form (Attach word version)

Per ADS 303.3.9., Pre-Award Risk Assessment, prior to awarding a grant, Chemonics must assess the adequacy of the financial and accounting systems of a prospective grantee to ensure accountability and to evaluate the risks posed by the potential grantee. In filling out the questionnaire, each question should be answered as completely as possible, using extra pages if necessary. Please return your completed questionnaire to Chemonics. Chemonics will use this information in combination with a pre-award risk assessment checklist in advance of awarding a grant.

APPLICANT INFORMATION

Name of Organization:

Activity Title:

Name, Title, Contact Information of Individual Completing Questionnaire:

SECTION A: INTERNAL CONTROLS

Internal controls are procedures that ensure:

- a. financial transactions are approved by an authorized individual and follow laws, regulations and the organization's policies,
- b. assets are kept safely,
- c. accounting records are complete, accurate and kept on a regular basis.

Please answer the following questions concerning your organization's internal controls:

1. List the name, position/title, and telephone number for the individuals responsible for checking expenditures to make sure they are allowable:

2. Who is responsible for maintaining accounting records:

3. Who is responsible for preparing financial reports:

4. Who is responsible for preparing narrative reports:

5. Are timesheets kept for each paid employee? Yes: ___ No: ___

6. Is your organization familiar with U.S. government regulations concerning costs which can be charged to U.S. grants (2 CFR 200 Subpart E)?

Yes: ___ No: ___

SECTION B: ACCOUNTING SYSTEM

The purpose of an accounting system is to 1) accurately record all financial transactions, and 2) ensure that all financial transactions are supported by invoices, timesheets and other documentation. The type of accounting system often depends on the size of the organization. Some organizations may have computerized accounting systems, while others use a manual system to record each transaction in a

ledger. In either case, Chemonics grant funds must be properly authorized, used for the intended purpose and recorded in an organized and regular manner.

1. Briefly describe your organization's accounting system including: a) any manual ledgers used to record transactions (general ledger, cash disbursements ledger, supplier's ledger etc.); b) any computerized accounting system used (please indicate the name); and c) how transactions are summarized in financial reports, (by the period, project, cost categories)?

2. Does your organization have written accounting policies and procedures?

Yes: ___ No: ___

3. Are your financial reports prepared on a:

Cash basis: ___ Accrual basis: ___ (*Accrual - bill for costs before they are incurred*)

4. Can your accounting records separate the receipts and payments of the Chemonics grant from the receipts and payments of your organization's other activities?

Yes: ___ No: ___

5. Can your accounting records summarize expenditures from the Chemonics grant according to different budget categories such as salaries, rent, supplies and equipment?

Yes: ___ No: ___

6. How do you allocate costs that are "shared" by different funding sources, such as rent, utilities, etc.?

7. How often are financial reports prepared?

Monthly: ___ Quarterly: ___ Annually: ___ Not Prepared: ___ (*explain*)

8. How often do you input entries into the financial system?

Daily: ___ Weekly: ___ Monthly: ___ Ad hoc/as needed: ___

9. How often do you do a cash reconciliation?

Daily: ___ Weekly: ___ Monthly: ___ By Accountant's Decision: ___

10. Do you keep invoices, vouchers and timesheets for all payments made from grant funds?

Yes: ___ No: ___

SECTION C: FUNDS CONTROL

CHEMONICS grantees and recipients who receive advances of grant funds must maintain a separate bank account registered in the name of the organization for the purpose of keeping only Chemonics grant funds. The bank account must be in local currency. Chemonics normally pays grantees monthly by bank transfer to the separate account. Access to the bank account must be limited to authorized individuals. Bank balances should be compared each month with your accounting records. For petty cash, it is very important to keep the cash in a strong safe and have strict controls over cash maintenance and disbursement.

1. Do you have a bank account registered in the name of your organization?

Yes: ___ No: ___

2. Will the bank account draw interest?

Yes: ___ No: ___

3. Are all bank accounts and check signers authorized by the organization's Board of Directors or Trustees or other authorized persons?

Yes: ___ No: ___

4. Will any cash from Chemonics grant funds be kept outside the bank account (in petty cash funds, etc.)?

Yes: ___ No: ___

4.a. If yes, please explain the amount of funds to be kept and the name and position/title of the person responsible for safeguarding cash.

SECTION D: AUDIT

Chemonics may require an audit of your organization's accounting records. An audit is a review of your accounting records by an independent accountant who works for an accounting firm. An audit report contains your financial statements as well as an opinion by the accountant that your financial statements are correct. Please provide the following information on prior audits of your organization.

1. Does your organization have regular independent audits that you contract and pay for?

Yes: ___ (please provide the most recent copy) No audits performed: ___

2. If yes, who performs the audit?

3. How often are audits performed?

Quarterly: ___ Yearly: ___ Every 2 years: ___ Other: ___ (explain)

4. If your organization does not have a current audit of its financial statements, please provide a copy of the following financial information, if available:

- a. A "Balance Sheet" for your prior fiscal or calendar year; and
- b. A "Revenue and Expense Statement" for your prior fiscal or calendar year.

5. Are there any reasons (local conditions, laws, or institutional circumstances) that would prevent an independent accountant from performing an audit of your organization?

Yes: ___ No: ___

If yes, please explain:

CHECKLIST AND SIGNATURE PAGE

Chemonics requests that your organization submit a number of documents along with this completed questionnaire. Complete this page to ensure that all requested information has been included.

Please complete the checklist below, then sign and return the questionnaire and any other requested documents to Chemonics.

I. Complete the checklist:

_____ Organizational chart, if available, has been provided to Chemonics.

_____ Copy of your organization's most recent audit has been provided to Chemonics (If no recent audit, a "Balance Sheet" and "Revenue and Expense Statement" for the prior fiscal year).

_____ All questions have been fully answered.

_____ An authorized individual has signed and dated this page.

The Accounting Questionnaire must be signed and dated by an authorized person who has either completed or reviewed the form.

Approved by:

Print Name

Signature

Title

Date

Annex E: Transformative capacity index

The transformative capacity index is constructed from six variables, some of which are indices. The variables and calculations are as follows.

1) Availability of/access to formal safety nets. This community-level variable is the number of formal safety nets available in a household's village. The possible safety nets are:

- Places in a village where people can get food assistance
- Places in a village where people can get housing materials and other non-food items
- Places in a village where people can get assistance due to losses in livestock
- The availability of a government or NGO disaster response program
- Places in a village where people can get government or NGO help when they are faced with a shock
- Whether the household received assistance (i.e., formal safety net) from the government or NGO

Survey questions : CR366-CR368, CR501-CR504 (5,6), R308, R309 (5,6), R1301, R1302 (5,6)
Calculate as an additive index of the six binary (dummy) variables. The index ranges from 0 to 6.

2) Availability of markets. This community-level variable is the sum of the number of markets listed below that are available within 5 kms of a village. A binary (dummy) variable is equal to 1 for each of the markets the respondent reports are available within his/her village. The three binary variables are used to calculate an additive index that ranges from 0 to 3.

- Markets for selling agricultural products
- Markets for purchasing agricultural inputs
- Livestock market

Survey questions: CR347, CR351, CR354

3) Availability of/access to communal natural resources. This community-level variable is the sum of the number of communal natural resources listed below that are available in a village. A binary (dummy) variable is equal to 1 for each of the types of natural resources the respondent reports are available within his/her village. The binary variables are used to calculate an additive index that ranges from 0 to 4 (depending on the irrigation option).

- Communal grazing land
- Communal water source for livestock
- Communal source of firewood
- Communal source of irrigation water (optional)

Survey questions: CR208, CR211, CR214, CR217

4) Availability of/access to basic services. This community-level variable is the number of basic services available in a village and responses to questions regarding whether certain services generally provided by the government are of a minimum quality of service.

- **Roads/trails.** This binary (dummy) variable is equal to 1 if respondents report they live in a village whose main route is a paved, dirt or mixed paved/dirt road,

AND people are not prevented from traveling at certain times of year due to “poor road/trail conditions”.

Survey questions: CR313, CR314

- **Primary schools.** A binary (dummy) variable is equal to 1 if there is a primary school within 5 km of the village AND its physical condition is “good” or “very good” AND there are enough teachers.

Survey questions: CR320-CR324

- **Health services** (post, clinic, center). A binary (dummy) variable is equal to 1 if there are health services within 5 km of the village AND its physical condition is “good” or “very good” AND there were no problems accessing services over the last year (3)

Survey questions: CR330-CR334

- **Police/security force.** A binary (dummy) variable equal to 1 if there are government security forces (local or national) that can reach the village within one hour.

Survey questions: CR358-CR359

- **Financial services.** A binary (dummy) variable equal to 1 if there are formal institutions (i.e., government regulated banks) in a village where people can borrow or save money.

Survey questions: CR360-CR363

The binary variables are used to calculate an additive index that ranges from 0 to 5.

5) Availability of/access to infrastructure. This community-level variable is the number of types of infrastructure available in a village, as determined by the following conditions:

- At least one-half of households in the village have access to piped water;
- At least one-half of households in the village have electricity from the main grid;
- The village either has mobile phone service/network coverage OR a public telephone/kiosk;
- The village can be reached with a paved road all year OR is served by a public transportation system

Survey questions: BL F04, CR306-CR308, CR309, CR311, CR313-CR315

The binary variables are used to calculate an additive index that ranges from 0 to 4.

6) Availability of/access to agricultural extension services. This community-level variable is based on whether agricultural extensions services are available in a village and are of a minimum quality of service. A 3-point scale is constructed as follows:

- No agricultural extension services within 5 km (0)
- Agricultural extension services available within 5 km but there was a time in the last year when people were unable to get quality extension services when they needed them (1)
- Agricultural extension services available within 5 km and people were able to get the services they needed over the last year (2)

Survey questions: CR343, CR344, CR345

7) Availability of/access to livestock services. This community-level variable is based on whether livestock veterinary services are available in a village and are of a minimum quality of service. A 3-point scale is constructed as follows:

- No veterinary services within 5 km (0)
- Veterinary services available within 5 km but there was a time in the last year when people were unable to get quality veterinary services when they needed them (1)
- Veterinary services available within 5 km and people were able to get the services they needed over the last year (2)

Survey questions: CR335, CR336, CR338, CR339

8) Bridging social capital. See above.

9) Linking social capital. See above.

10) Collective action. A household-level summary variable based on the number of types of collective action a household engaged in over the last 12 months to benefit the entire community.

Survey questions: R901, R902

11) Social cohesion. A community-level summary variable based on binary (dummy) variables regarding whether groups come together either socially or to help others. Each binary variable is equal to 1 if a group of community members came together at least once during the 12 months prior to the survey in order to:

- provide labor to someone else in the village who needed it (1);
- provide food to someone else in the village who needed it (1);
- provide other types of help to someone else in the village who needed it (1);
- get together with other members of the village for social events (e.g., weddings, sports events, celebrations, etc.) at least once over the last 12 months (1); and
- get together with members of other villages for social events (e.g., weddings, sports events, celebrations, etc.) at least once over the last 12 months (1)

Survey questions: CR404-CR406, CR408-CR409

The binary variables are used to calculate an additive index ranging from 0 to 5.

12) Gender equitable decision-making index. Based on experience in Bangladesh, Mali and Nepal, where data used to construct this index were too limited (i.e., respondent restrictions resulted in a large reduction in sample size), this household-level variable is based on four types of decision-making control within households: control of income, control over health and nutrition decisions, control over household purchases, and control over children's education.¹¹

The summary variable is constructed using a 5-point scale and ranges from 0 to 20 based on the primary female decision-maker's response to each of the four types of decision-making as follows:

- She has no say in the decision (0)
- Her spouse/partner or other male informs her of his decision but she does not have final say (1)
- Her spouse/partner or other male asks her opinion but she does not have

- the final say (2)
- She and her spouse/partner jointly decide (3)
- She asks other HH members their opinions but most always has the final say (4)
- She is solely responsible for the decision (5)

Survey questions: R1701-R1708

I3) Participation in local decision-making. A binary (dummy) variable equal to 1 if the respondent reports any household member's level of participation in any group's decision-making as "leader", "very active", or "somewhat active".

Survey questions: R801, R802

Detailed guidance describing the methodology used to calculate the transformative capacity index is provided in the Addendum at the end of this methodological guide.

I4) Local government responsiveness. This community-level variable is based on whether – and how – the local government responded to community requests for improving community assets or services over the 5 years prior to the survey. The community asset/service needs include:

- Roads
- Schools
- Health center/post/clinic
- Piped water/boreholes/wells
- Natural resource conservation
- Irrigation systems
- Public transportation
- Security

|| Currently, the HH questionnaire allows for further research regarding this variable by including general and more detailed questions about household decision-making. Calculation of the index may change slightly if the data allow.

Possible responses are:

- Completely addressed/being addressed (i.e., may be ongoing) = 6
- Partially addressed (i.e., response completed but need not fully addressed) = 5
- Positive response, will be addressed = 4
- Promised but not yet addressed = 3
- Not addressed, response pending = 2
- Not addressed, attempts failed = 1
- Leaders did nothing = 0

The local government responsiveness variable is a mean score, calculated as the sum of the response value for identified community asset/service needs divided by the total number of community asset/service needs for which any community member requested assistance from the local government. The mean score ranges from 0 to 6.

Survey questions: CR804, CR805, CR806

I5) Gender index. This community-level indicator is a summary variable ranging

from 0 to 4 based on binary (dummy) variables regarding gender-neutral practices at the community level. Each binary variable is equal to 1 if:

- Men and women regularly sit and eat together within their households (1);
- Men and women regularly sit together at public meetings (1);
- Men in the village help with childcare (1); and
- Men in the village help fetch firewood OR carry water for the household (1)

Survey questions: CR901-CR905

A household-level gender variable (adaptive capacity) may also be calculated.¹² For those households with husband and wife, the household-level component is a summary variable ranging from 0 to 2 based on whether the respondent and his/her spouse/partner:

- Sit and eat together within their household (1)
- Sit together at public meetings (1)

The binary (dummy) variable is equal to 1 if doing so is:

- Culturally acceptable and the household engages in the behavior OR
- Not culturally acceptable but the household engages in the behavior

Two binary (dummy) variables are based on whether the spouse/partner helps with childcare, and whether the spouse/partner helps fetch firewood OR carry water for the household as follows:

It might be possible to combine the community and household gender indicators into a single gender index, depending on the sample size of households with both husband and wife, etc. but can only be explored during analysis of the data.

- Male respondents
 - report they themselves care for OR help their spouse/partner care for the children (1);
 - report they themselves collect firewood OR help their spouse/partner collect firewood OR they themselves fetch water OR help their spouse/partner fetch water (1)
- Female respondents
 - report their spouse/partner cares for OR helps them care for the children (1);
 - report their spouse/partner collects firewood OR helps them collect firewood OR their spouse/partner fetches water OR helps them fetch water (1)

Survey questions: R1501-R1505

The binary variables are used to calculate an additive index ranging from 0 to 8.

Combine the indicators into a transformative capacity index using factor analysis.

CR (Community Resilience) Survey Questionnaire here:

INTRODUCTION AND PURPOSE OF THE INTERVIEW:

- Greetings! My name is _____ and I am currently working for/with [name] on the Baseline Survey of [CBCR].
- We selected your village by chance (randomly) for the interview. The purpose of this interview is to learn about livelihoods, food security, responses to shocks, access to services and well-being of this village.
- The survey is voluntary and confidential. We will not disclose your village information to any other entity not directly related to this survey. Any information that is obtained in connection with this survey that can be identified with you/your village will remain confidential and will only be shared with USAID and the research company, [name]. We will be recording the location of your village so we may interview you again if your village is randomly selected for subsequent survey rounds. This information will be password protected and accessible only to the principal investigator and their research team.
- We cannot and do not guarantee or promise that your village will receive any benefits from this survey. No compensation, monetary or otherwise, can be offered for your participation as this may be seen as coercing your participation.
- Participation in this survey is voluntary. If you decide not to participate in this survey, your decision will not affect your future relations with the research institutions or their personnel or CBCR. If you decide to participate, you are free to withdraw your consent and to discontinue participation at any time without penalty.
- These questions in total will take approximately 30 minutes to complete. Could you please spare some time for the interview?




Do you have any questions about the survey? Answer any questions they may have.

QUESTIONS		CODING CATEGORIES	SKIP
CR110	Do you agree to be interviewed?	Agree.....1 Not agreed...2	Continue survey. Go to the END of the survey.

1.1. Module 1. Availability of access to formal safety nets

CR366	Are there programs or places in this village where people can receive food assistance?	1. Yes 2. No -8 Don't know -9 Refused
CR367	Are there programs or places in this village where people can receive housing materials and other non-food items?	1. Yes 2. No -8 Don't know -9 Refused
CR368	Are there programs or places in this village where people can receive assistance due to losses of livestock?	1. Yes 2. No -8 Don't know -9 Refused
CR501	Have there been any government programs or activities in this village within the last 12 months?	1. Yes 2. No -8 Don't know -9 Refused
CR502	If yes, what kinds of government programs or activities occurred within the last 12 months? Select all that apply	1. Emergency food assistance 2. Emergency cash assistance 3. Conditional cash transfers (e.g., CFW) 4. Conditional food transfers (e.g., FFW)

} → **Skip to CR503**

		5. Unconditional cash transfers (non-emergency) 6. Unconditional food transfers (non-emergency) 7. Livestock programming/inputs 8. Agriculture programming/inputs 9. Water/irrigation development 10. Women's reproductive health 11. Disaster planning/response 12. Nutrition/supplemental feeding 13. Educational assistance/school feeding 14. WASH 15. Other -8 Don't know -9 Refused
CR503	Have there been any NGO programs or activities in this village within the last 12 months?	1. Yes 2. No -8 Don't know -9 Refused  Skip to next module
CR504	If yes, what kinds of NGO programs or activities occurred within the last 12 months? Select all that apply	5. Unconditional cash transfers (non-emergency) 6. Unconditional food transfers (non-emergency)
R308	Are there any government or NGO programs or activities in this village that help households when they are faced with a shock?	1. Yes 2. No -8 Don't know -9 Refused  Skip to next module
R309	What type of help do they provide? Select all that apply	5. Unconditional food transfer (non-emergency) 6. Unconditional cash transfer (non-emergency)
R1301	Has your household received any kind of formal support from the government or NGO over the past 12 months?	1. Yes 2. No -8 Don't know -9 Refused  Skip to next module
R1302	What types of support were received? Read list; select all that apply	5. Unconditional cash transfer (non-emergency) 6. Unconditional food transfer (non-emergency)

1.2. Module 2. Availability of markets

CR347	How far from this village is the nearest livestock market? (km)	_____ km -8 Don't know -9 Refused
CR351	How far from this village is the nearest market for selling agricultural products? (km)	_____ km -8 Don't know -9 Refused
CR354	How far from this village is the nearest market for purchasing agricultural inputs? (km)	_____ km -8 Don't know -9 Refused

1.3. Module 3. Availability of access to communal natural resources

CR208	Does this village have communal grazing land?	1. Yes 2. No -8 Don't know -9 Refused	} → Skip to CR211
CR211	Does this village have a communal water source for livestock?	1. Yes 2. No -8 Don't know 3. -9 Refused	} → Skip to CR214
CR214	Do people in this village get their firewood from communal land?	1. Yes 2. No -8 Don't know 4. -9 Refused	} → Skip to CR217
CR217	Does this village have a communal irrigation system for crops?	1. Yes 2. No -8 Don't know 5. -9 Refused	} → Go to next module

1.4. Module 4. Availability of access to basic services

CR313	What is the main route used to reach this village?	1. Paved road (e.g., asphalt) 2. Dirt or gravel road 3. Mixed paved and dirt 4. Footpath/trail 5. Other -8 Don't know -9 Refused
CR314	Are there times of the year when people cannot travel because of poor conditions on the main route?	1. Yes 2. No -8 Don't know 6. -9 Refused
CR320	Is there a primary school in this village?	1. Yes Skip to CR322 2. No -8 Don't know 3. -9 Refused
CR321	How far away is the nearest primary school? (kms)	_____ km -8 Don't know 4. -9 Refused
CR322	What share of eligible school-age girls attend the nearest primary school?	1. All of the girls 2. Most of the girls 3. About one-half of the girls 4. Less than one-half of the girls 5. Very few/none -8 Don't know 5. -9 Refused
CR322a	What share of eligible school-age boys attend the nearest primary school?	1. All of the boys 2. Most of the boys 3. About one-half of the boys 4. Less than one-half of the boys 5. Very few/none -8 Don't know 6. -9 Refused

CR323	Are there enough teachers in the nearest primary school that children in this village attend?	1. Yes 2. No -8 Don't know 7. -9 Refused
CR324	What is the physical condition of the nearest primary school that the children in this village attend?	1. Very good 2. Good 3. Poor 4. Very poor -8 Don't know 3. -9 Refused
CR330	Is there health service (post, clinic, or center) in this village?	1. Yes Skip to CR332 2. No -8 Don't know -9 Refused
CR331	How far is the nearest health service from this village? (km)	_____ km -8 Don't know -9 Refused
CR332	What is the physical condition of the nearest health service?	1. Very good 2. Good 3. Poor 4. Very poor -8 Don't know -9 Refused
CR333	In the last year was there a time when people in the village needed health services but could not get them?	1. Yes 2. No -8 Don't know -9 Refused } → Skip to CR358
CR334	If yes, why were they not able to get the health services? Read list; select all that apply	1. No beds, facility was full 2. No staff in the facility 3. Health facility was destroyed 4. Security problem 5. No transportation 6. No road or poor road condition 7. No drugs at the health center 8. No money for services 9. Quality of the health service is very poor 10. Other (specify): -8 Don't know -9 Refused
CR358	Who provides the security/police force for this village? Select all that apply	1. Kebele government 2. Woreda government 3. National government 4. Local militia 5. No one 6. Other (specify): -8 Don't know -9 Refused
CR359	How long does it take the security/police force to reach your village? Only ask if CR358=1,2, 3 or 4	1. Over one hour 2. About one hour 3. Half an hour 4. Minutes -8 Don't know -9 Refused

CR360	Are there places in this village where people can borrow money?	1. Yes 2. No -8 Don't know -9 Refused	} → Skip to CR362
CR361	Who provides these services? Select all that apply	1. Banks 2. MFI 3. NGO 4. Community savings/loan group (VSLA, etc.) 5. Friends/relatives 6. Shops/merchants 7. Money lender 8. Other (specify): -8 Don't know -9 Refused	
CR362	Are there places in this village where people can save money?	1. Yes 2. No -8 Don't know -9 Refused	} → Skip to next module
CR363	Who provides these services? Select all that apply	1. Banks 2. MFI 3. NGO 4. Community savings/loan group (VSLA, etc.) 5. Shops/merchants 6. Other (specify): -8 Don't know -9 Refused	

1.5. Module 5. Availability of access to infrastructure

CR306	Do any of the households in the village have electricity?	1. Yes 2. No -8 Don't know -9 Refused	} → Skip to CR309
CR307	What share of households in the village has electricity?	1. Everyone 2. Most households 3. About one-half of households 4. Less than one-half of households 5. Very few -8 Don't know -9 Refused	
CR308	What is the main source of electricity?	1. Public utility (main grid) 2. Generator 3. Solar panels 4. Other (specify): -8 Don't know -9 Refused	
CR309	Does this village have mobile phone service?	1. Yes 2. No -8 Don't know -9 Refused	} → Skip to CR311
CR311	Does this village have a public telephone?	1. Yes 2. No -8 Don't know -9 Refused	Skip to CR313

CR313	What is the main route used to reach this village?	7. Paved road (e.g., asphalt) 8. Dirt or gravel road 9. Mixed paved and dirt 10. Footpath/trail 11. Other -8 Don't know -9 Refused
CR314	Are there times of the year when people cannot travel because of poor conditions on the main route?	8. Yes 9. No -8 Don't know -9 Refused
CR315	Is this village served by a public transport system?	1. Yes 2. No -8 Don't know -9 Refused
BLF04	What is currently the main source of drinking water for members of your household?	PIPED WATER 11 = Piped into dwelling >> skip to F07 12 = Piped to yard/plot >> skip to F07 13 = Piped to neighbor 14 = Public tap/ standpipe 21 = Tube well or borehole 31 = Protected well 32 = Unprotected well 41 = Protected spring 42 = Unprotected spring 51 = Rainwater collection >> skip to F07 61 = Tanker truck 71 = Cart with small tank 81 = Surface water (river/dam/ lake/pond/ stream/canal/ irrigation channel) 91 = Bottled water 96 = Other (specify)

1.6. Module 6. Availability of access to agricultural extension services

CR343	Are there agricultural extension services available in this village?	1. Yes 2. No -8 Don't know -9 Refused
CR344	In the last year was there a time when people in the village needed agricultural extension services but could not get them?	1. Yes 2. No -8 Don't know -9 Refused
CR345	Is yes, why were they not able to get agricultural extension services? Read list; select all that apply	1. No service provider (gov't ag office, ag agent) in area 2. No equipment/inputs available from service provider 3. No road or poor condition into or out of village 4. Too busy/bad timing of ext. agent visit 5. Quality of the services is poor 6. Other (specify): -8 Don't know -9 Refused

1.7. Module 7. Availability of access to livestock services

CR335	Is there veterinary service (mobile vet, vetcenter, etc.) in this village?	1. Yes 2. No -8 Don't know -9 Refused } → Skip to CR338
CR336	How far is the nearest veterinary service from this village? (km)	_____ km -8 Don't know -9 Refused
CR338	In the last year was there a time when people in the village needed veterinary services but could not get them?	1. Yes 2. No -8 Don't know -9 Refused } → Skip to next module
CR339	If yes, why were they not able to get the veterinary services? Read list; select all that apply	1. No service provider (vet center, veterinarian) in area 2. Service provision too expensive 3. No vaccines/medicines available 4. Security problem 5. No transportation 6. No road or poor road condition 7. No money for services 8. Quality of the services is poor 9. Other (specify): -8 Don't know -9 Refused

1.8. Module 8. Bridging social capital

See above.

1.9. Module 9. Linking social capital

See above.

1.10. Module 10. Collective action

R901	In the last 12 months, have you or anyone in your household worked with others in your village to do something for the benefit of everyone in the village?	1. Yes 2. No -8 Don't know -9 Refused } → Skip to next module
R902	What activities did you participate in? Read list; select all that apply	1. Soil conservation (terracing, bunds, half-moons, gabions, etc.) 2. Flood diversion activities 3. Repaired/built schools 4. Repaired/built health posts or centers 5. Road maintenance/construction 6. Planted trees on communal land 7. Area enclosure 8. Improving access to drinking water 9. Repaired/built communal irrigation system 10. Other (specify) -8 Don't know -9 Refused

1.11. Module 11. Social cohesion

CR404	Over the last 12 months, how many times have people in the village gotten together to provide labor to someone else in the village who needed help?	<ol style="list-style-type: none"> 1. None, no one needed/asked for help 2. None, no one was able to help 3. Once or twice 4. 3-5 times 5. 6 or more times -8 Don't know -9 Refused
CR405	Over the last 12 months, how many times have people in the village gotten together to provide food to someone else in the village who needed help?	<ol style="list-style-type: none"> 1. None, no one needed/asked for help 2. None, no one was able to help 3. Once or twice 4. 3-5 times 5. 6 or more times -8 Don't know -9 Refused
CR406	Over the last 12 months, how many times have people in the village gotten together to provide other types of help to someone else in the village who needed it?	<ol style="list-style-type: none"> 1. None, no one needed/asked for help 2. None, no one was able to help 3. Once or twice 4. 3-5 times 5. 6 or more times -8 Don't know -9 Refused
CR408	Over the last 12 months, how often did members of this village get together with each other for social events (e.g., weddings, sports events, celebrations, etc.)?	<ol style="list-style-type: none"> 1. Never 2. Once 3. 2-5 times 4. 6 or more times -8 Don't know -9 Refused
CR409	Over the last 12 months, how often did members of this village get together with members of other villages for social events (e.g., weddings, sports events, celebrations, etc.)?	<ol style="list-style-type: none"> 1. Never 2. Once 3. 2-5 times 4. 6 or more times -8 Don't know -9 Refused

1.12. Module 12. Gender-equitable decision-making index

RI701	Overall, who primarily makes most household decisions?	<ol style="list-style-type: none"> 1. I am solely responsible for decision 2. I ask other HH members but I most always have final say 3. Spouse/partner and I jointly 4. Spouse/partner or other male asks for my opinion but I don't have final say 5. Spouse/partner or other male informs me of decision but I don't have final say 6. I have no say in the decision 7. Not applicable 8. Other (specify)
RI702	Who primarily makes decisions on how household income is used?	<ol style="list-style-type: none"> 1. I am solely responsible for decision 2. I ask other HH members but I most always have final say 3. Spouse/partner and I jointly 4. Spouse/partner or other male asks for my opinion but I don't have final say 5. Spouse/partner or other male informs me of decision but I don't have final say 6. I have no say in the decision 7. Not applicable 8. Other (specify)

R1703	Who primarily makes household decisions over health care and nutrition?	<ol style="list-style-type: none"> 1. I am solely responsible for decision 2. I ask other HH members but I most always have final say 3. Spouse/partner and I jointly 4. Spouse/partner or other male asks for my opinion but I don't have final say 5. Spouse/partner or other male informs me of decision but I don't have final say 6. I have no say in the decision 7. Not applicable 8. Other (specify)
R1704	Who primarily makes decisions about major household purchases?	<ol style="list-style-type: none"> 1. I am solely responsible for decision 2. I ask other HH members but I most always have final say 3. Spouse/partner and I jointly 4. Spouse/partner or other male asks for my opinion but I don't have final say 5. Spouse/partner or other male informs me of decision but I don't have final say 6. I have no say in the decision 7. Not applicable 8. Other (specify)
R1705	Who primarily makes decisions about your children's education?	<ol style="list-style-type: none"> 1. I am solely responsible for decision 2. I ask other HH members but I most always have final say 3. Spouse/partner and I jointly 4. Spouse/partner or other male asks for my opinion but I don't have final say 5. Spouse/partner or other male informs me of decision but I don't have final say 6. I have no say in the decision 7. Not applicable 8. Other (specify)

If household does not engage in a particular activity, enter code 3 for "Decision not made" and skip to next decision category.		Did you yourself participate in decisions about [ACTIVITY] in the last 12 months? <ol style="list-style-type: none"> 1. Yes 2. No 3. Decision not made <input type="checkbox"/> 2,3 Skip to next [activity]	How much input do you have in the decision for [ACTIVITY]? CODE ↓	How much input did you have in decisions on the use of income generated from [ACTIVITY]? CODE ↓
		R1706	R1707	R1708
a.	Crop production			
b.	Livestock rearing			
c.	Major household expenditures (large appliances, etc.)			
d.	Spending money that you have earned			
e.	Spending money that your spouse has earned			
f.	Children's education			
g.	Seeking medical treatment for your children			

h.	Whether or not to use family planning (including contraception) to space or limit births			
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RI706/RI707: Input into decisions

- 1 - I am solely responsible for the decision
 2 - I ask other HH members, but I most always have final say
 3 - Spouse/partner and I jointly decided
 4 - Spouse/partner or other male asks for my opinion but I don't have final say
 5 - Spouse/partner or other male informs me of decision but I don't have final say
 6 - I have no say in the decision

I.13. Module 13. Participation in local decision-making

		R801	R802
		Are any of the following groups active in this village? Read list 1= yes 2= no -8 Don't know -9 Refused If =2, -8, or -9, skip to next topic	For any HH member who is in the group, how active is s/he in the group's decision-making? 1. No HH member in group 2. HH member does not participate in decision-making 3. Somewhat active 4. Very active 5. HH member is a leader -8 Don't know -9 Refused
a.	Water users' group		
b.	Grazing land users' group		
c.	Community natural resources group		
d.	Credit or micro-finance group		
e.	Savings groups (VSLA, merry-go-round, etc.)		
f.	Mutual help group (e.g., ritban, afoosha, ofera/webera, burial, etc.)		
g.	Religious group		
h.	Mothers' group		
i.	Women's group		
j.	Youth group		
k.	Sports group		
l.	Disaster planning group		

1.14. Module 14. Local government responsiveness

	CR804	CR805	CR806
	<p>Over the last 5 years, did any community members approach the local government about improving [asset or service]?</p> <p>1=yes 2=no 3=not applicable -8 Don't know -9 Refused</p> <p>If = 2 or -8, go to next item</p>	<p>Was the need addressed by the local government?</p> <p>Only ask if CR804=1</p> <p>Enter code from list</p> <p>If = 6, go to next item listed in CR804</p>	<p>How did the local government attempt to address the need?</p> <p>Only ask if CR805=1, 2</p> <p>Enter code from list</p>
a. Roads			
b. Schools			
c. Health center/post/clinic			
d. Piped water/boreholes/wells			
e. Natural resource conservation			
f. Irrigation systems			
g. Public transportation			
h. Security			
i. Other (specify)			

Codes for CR805	Codes for CR806
<p>1. Completely addressed/being addressed 2. Partially addressed 3. Positive response, will be addressed 4. Promised but not yet addressed 5. Not addressed, response pending 6. Not addressed, attempts by leaders failed 7. Leaders did nothing -8 Don't know -9 Refused</p>	<p>1. Mobilized manpower and/or materials from community 2. Mobilized financial resources from community 3. Sought resources through local/national agencies 4. Sought resources through NGO(s) (local, national, international) 5. Other (specify) -8 Don't know -9 Refused</p>

1.15. Module 15. Gender index

CR901	Generally, do adult men and women sit and eat together within households?	<ul style="list-style-type: none"> 1) Yes, and it is culturally acceptable 2) Yes, but it is not culturally acceptable 3) No, but it is culturally acceptable 4) No, and it is not culturally acceptable 5) Only for special occasions -8) Don't know -9) Refused
CR902	Generally, do adult men and women sit together in public?	<ul style="list-style-type: none"> 1) Yes, and it is culturally acceptable 2) Yes, but it is not culturally acceptable 3) No, but it is culturally acceptable 4) No, and it is not culturally acceptable 5) Only for special occasions -8) Don't know -9) Refused
CR903	Generally, do men in the village help with childcare around the household?	<ul style="list-style-type: none"> 1) Yes, and it is culturally acceptable 2) Yes, but it is not culturally acceptable 3) No, but it is culturally acceptable 4) No, and it is not culturally acceptable 5) Only for special occasions -8) Don't know -9) Refused
CR904	Generally, do men in the village help collect firewood for the household?	<ul style="list-style-type: none"> 1) Yes, and it is culturally acceptable 2) Yes, but it is not culturally acceptable 3) No, but it is culturally acceptable 4) No, and it is not culturally acceptable 5) Only for special occasions -8) Don't know -9) Refused
CR905	Generally, do men in the village help fetch water for the household?	<ul style="list-style-type: none"> 1) Yes, and it is culturally acceptable 2) Yes, but it is not culturally acceptable 3) No, but it is culturally acceptable 4) No, and it is not culturally acceptable 5) Only for special occasions -8) Don't know -9) Refused
RI501	Do you and your spouse sit and eat together within your household?	<ul style="list-style-type: none"> 1. Yes, and it is culturally acceptable 2. Yes, but it is not culturally acceptable 3. No, but it is culturally acceptable 4. No, and it is not culturally acceptable 5. Only for special occasions 6. No spouse/spouse absent -8 Don't know -9 Refused
RI502	Do you and your spouse sit together in public?	<ul style="list-style-type: none"> 1. Yes, and it is culturally acceptable 2. Yes, but it is not culturally acceptable 3. No, but it is culturally acceptable 4. No, and it is not culturally acceptable 5. Only for special occasions 6. No spouse/spouse absent -8 Don't know -9 Refused

R1503	Who primarily cares for your children?	1. Yourself 2. Your spouse/partner 3. You help your spouse/partner 4. Your spouse/partner helps you 5. Not applicable 6. Other (specify) -8 Don't know -9 Refused
R1504	Who primarily collects firewood for your household?	1. Yourself 2. Your spouse/partner 3. You help your spouse/partner 4. Your spouse/partner helps you 5. Not applicable 6. Other (specify) -8 Don't know -9 Refused
R1505	Who primarily fetches water for your household?	1. Yourself 2. Your spouse/partner 3. You help your spouse/partner 4. Your spouse/partner helps you 5. Not applicable 6. Other (specify) -8 Don't know -9 Refused

****THANK YOU****

After the interview thank the respondents for giving you their time and for the co-operation in providing the information. At this point invite the respondents to ask you any questions that they might have.