

Global Resilience Partnership

Global Resilience Challenge for Building Resilience to Acute Shocks and Chronic Stresses in the Sahel, Horn of Africa, and South and Southeast Asia

Source Document for the Global Resilience Challenge

September 2014

I. THE GLOBAL RESILIENCE PARTNERSHIP

People who can't respond easily to major changes have always been vulnerable, but now they face an unparalleled and increasing threat from acute shocks and chronic stresses. Climate change and extreme weather events, population growth, urbanization, food, water and/or energy insecurity, economic and political instability, and conflict, especially when combined with chronic poverty can drive the same communities into crisis, year after year. The result is a cycle of human suffering—loss of life, livelihoods and aspirations—and for developing countries, a staggering loss of economic, social, and natural resource assets. Reducing chronic vulnerability and building resilience to shocks and stresses require interdependent and multi-sectoral solutions that combine strong technical approaches with new operational methods.

To enable the most vulnerable people to build resilience and break free from the cycle of crisis, The Rockefeller Foundation, U.S. Agency for International Development (USAID), and the Swedish Government through Swedish International Development Cooperation Agency (Sida) are pioneering the Global Resilience Partnership (Resilience Partnership). The Resilience Partnership will operate in the Sahel, the Horn of Africa, and South and Southeast Asia—three regions where the frequency and magnitude of shocks and stresses are rising. The Resilience Partnership will foster new alliances and drive innovation to help re-imagine opportunities for scale, impact, sustainability and partnering in resilience. Solution oriented, inclusive collaborations that span sectors and regions can unlock novel and transformational ideas that will enable and empower households, communities, and systems to prepare for, adapt to, and thrive in the face of shocks and stresses. A pro-active resilience approach to development will minimize the devastation and quicken the rebound from crises, and will ignite innovation and learning that can initiate transformative and cultural changes. Collective and collaborative efforts to overcome the greatest barriers to building resilience will help to build a better future for the millions of people in these regions of the world.

What is resilience?

The Global Resilience Partnership defines resilience as the ability of people, households, communities, countries, and systems to mitigate, adapt to, recover from, and thrive and learn in the face of shocks and stresses, in order to reduce chronic vulnerability and enable sustained development, inclusive growth and learning, and transformative capacity. Achieving resilience is a progressive and long-term process that goes beyond humanitarian relief and development investment by addressing a wider set of inherently connected challenges that together hold the most vulnerable communities back.

II. THE GLOBAL RESILIENCE CHALLENGE

The Global Resilience Challenge (Challenge) is the Resilience Partnership's first activity. The Challenge is a competitive process intended to bring together multi-disciplinary teams to collaborate with local and regional stakeholders in the diagnosis of resilience problems and opportunities for viable, locally-driven, and high-impact solutions. The specific objectives of the Challenge are two-fold: to promote resilience to a range of shocks and stresses by developing and testing novel solutions that address local contexts; and then, with dedicated public and private sector funding, to implement and scale the most promising solutions in the Sahel, the Horn of Africa, and South and Southeast Asia.

Through this process, the Challenge is intended to improve our understanding of regional vulnerabilities, strengths, and interdependencies, while fostering collaboration, increasing capacity, and building resilience on a large scale. As best practices for resilience are developed, the Challenge will open opportunities for communities to learn from each other within and across regions.

To achieve these objectives, the Challenge will proceed in stages:

- **Stage One: Teams for Resilience.**

In this first stage, interdisciplinary teams will self-organize and apply to the Challenge with a list of Resilience Team members and their qualifications, and a Pre-Proposal that describes the direction the Resilience Team will take in their Stage Two Problem Statement. A Resilience Partnership Selection Committee composed of international and regional resilience experts will choose a select number of finalist Resilience Teams to advance to Stage Two (anticipated up to 15 finalist Resilience Teams, 5 per region). Finalist Resilience Teams will be selected based on their team composition and the quality of the Pre-Proposal submitted. Teams selected at the end of Stage One will be required to provide a Scope of Work and Budget, and enter into an agreement with a Resilience Partnership Representative (the organization that will be administering the Challenge); this will be required in order for Resilience Teams to proceed to subsequent stages.

- **Stage Two: Problems and Solutions for Resilience.**

This is the grounded, problem diagnosis and solution development stage. Finalist Resilience Teams will be awarded up to \$200,000 USD to participate in Stage Two. Funding will be disbursed, subject to approval, in two tranches. Funding per tranche will be according to each teams' approved budget, subject to the discretion of the Resilience Partnership and the Resilience Partnership Representative.

- **Initial Tranche Payment for Development of Problem Statements.** Stage Two, tranche one funding will enable Resilience Teams to collaborate with a wide variety of stakeholders to research and develop an evidence-based Problem Statement that identifies and addresses barriers to building resilience in their region. The Resilience Partnership will encourage teams to engage with each other and regional stakeholders in problem formulation. This work will culminate in a Problem Statement submitted to the Resilience Partnership Representative.

The Resilience Partnership Selection Committee will review Problem Statements, and approve or disapprove them to continue in the competition. If the Problem Statement is not approved or if the applicant fails to submit a Problem Statement for approval, then the second disbursement under the Stage One grant

award will be forfeited. Thus it is possible for teams to be eliminated from the Challenge at this point in Stage Two.

Approved Problem Statements will be made public, allowing new, unfunded teams (teams without Stage Two funding) to enter the competition for up to three “wild card” slots to receive a reserved subset of Stage Three funding. Note that such wild card Resilience Teams will not receive any funding to develop their Solution proposal and Solution Implementation plan.

- **Second Tranche Payment for Development of Solution Proposals and Solution Implementation Plans.** Resilience Teams continuing in the competition will receive a second tranche of funding to develop a solution to the Teams’ previously submitted and approved Problem Statement. Teams will identify and develop a locally-implementable and regionally-scalable solution for the articulated problem. Proposed solutions will be supported by a theory of change that explains how they are transformative, high-impact, scalable/replicable, feasible, sustainable, and locally relevant. This work will culminate in the submission of a Solution proposal and Solution Implementation Plan. The implementation strategy should identify partners and include a budget and timeline. Teams will also be expected to propose result indicators that can be used in monitoring and evaluation of the implemented solution’s progress toward building resilience to shocks and stresses. Solution Proposals and Solution Implementation Plans then will enter a competitive selection process for Stage Three funding.

- **Stage Three: Action for Resilience – Implementation of Solution Proposals and Solution Implementation Plans.**

Solution proposals and Solution Implementation Plans (including those from the wild card Resilience Teams) will be evaluated by the Resilience Partnership Selection Committee. The winning Resilience Teams will be given a monetary award, of up to \$1.0 million USD, for Stage Three implementation of their Solution proposal and Solution Implementation Plan to be used for building resilience to the identified problem. Additional funding may be available depending on the complexity of the proposed solution and its implementation. The actual form and amount of awards will be determined at the discretion of the Resilience Partnership Selection Committee. Teams selected to enter into Stage Three will be required to provide a Scope of Work and Budget, and enter into an agreement with a Resilience Partnership Representative. At its sole discretion, the Resilience Partnership Selection Committee may choose to fund additional implementation by a Resilience Team based on the available evidence of impact and a clear pathway to scale, with positive impacts on millions of lives.

After publication of the approved Problem Statements, new teams will be eligible to submit a detailed proposal addressing an implementable solution for at least one of the approved Problem Statements. This proposal must meet all criteria and requirements for Stage One and Stage Two. Additional awards for Stage Three funding will be provided to up to three new wild card teams that enter the Challenge at this stage.

The Resilience Partnership will require a final impact assessment plan from the grantee. The Resilience Partnership will implement a process to monitor and evaluate the success of the awarded solutions based upon milestones and a Monitoring and Evaluation plan agreed as part of the Stage Three granting process. Deliverables will include:

- Impact assessment plan.
- Implemented solutions.
- Collection of evidence of impact.

- Plans for impact assessment (e.g., framework and timeline for monitoring and evaluation).

Proposed solutions that focus on inherently small-scale, highly location-specific, and/or community-specific opportunities with limited potential to be scaled up and replicated will not be selected to advance to Stage Three. Selection criteria for the Stage Three competition will be provided to Teams, but are likely to include the following:

- Transformative – contributes to systemic change within the team’s chosen region and topic.
- High impact – demonstrates potential to deliver significant impact on poor and vulnerable people.
- Scalable/replicable – demonstrates potential for impact on a regional or global scale.
- Feasible – technically sound and faces limited and/or manageable risks.
- Sustainable – presents evidence that the solution has strong public sector buy-in or market adoption and that the solution would continue to build momentum with a broad base of stakeholders.

At each Stage of the Challenge, grant awards will be made in the form of payments to a single representative designated by each team. That representative will be responsible for disbursing payment to other members of their team in accordance with agreements among those team members.

Throughout the Challenge, the Resilience Partnership encourages a participatory and iterative design process in collaboration with local stakeholders, innovators, and other solvers in the region. Teams may choose to adjust or expand their team’s composition as needed to enhance their ability to improve expected outcomes for example, if an area of expertise is necessary for technical solution development, implementation, or other aspects of the Challenge.

III. **TEAMS FOR RESILIENCE**

A Resilience Team is a group of multi-disciplinary and multi-sectoral individuals or organizations. A Resilience Team includes both the organization that submits the application on behalf of their Resilience Team (“Team Lead”), and any partnering organizations and participants (collectively with the Team Lead, referred to as “Team Members”). The responsibilities of the Team Lead include:

- a. Entering into an agreement with the Resilience Partnership Representative;
- b. Dispersing funds to Team Members as per the sub-agreements between the Team Lead and each Team Member; and
- c. Convening and organizing their Resilience Team to fulfill the obligations of the Challenge.

Resilience Teams must submit a Letter of Commitment from each Team Member, which includes:

- a. A written statement of the Team Member’s intent to participate on the Team
- b. The Team Member’s role on the Team
- c. The Nationality of the Team Member
- d. Team Member’s principal place of business

Potential Team Lead organizations include U.S. and non-U.S. foundations, NGOs, faith-based organizations, private businesses, business and trade associations, colleges and universities, and civic groups. All Team Lead applicants must be legally recognized corporate entities under applicable law.

Team Lead organizations that are ineligible are: foreign governments, non-incorporated entities, and individuals (Individuals interested in applying should join or form an organization that meets the eligibility criteria herein.) Colleges, universities, and research facilities that are funded by, and/or affiliated with, a foreign government are not considered a foreign government.

All Team Lead organizations must obtain a Data Universal Numbering System (DUNS) number and registered with the System for Award Management (SAM). Upon notification of selection for funding, Teams must provide the DUNS number and proof of SAM registration. Additional instructions for submission of this information to the Resilience Partnership will be made available at the time of notification of selection. Failure to provide this information within one week of Semi-Finalist selection will result in a Resilience Team being declared ineligible. The DUNS request process can be slow, and therefore it is strongly encouraged that organizations that do not currently possess a DUNS number begin this process early. For more information about this process can be found here: <http://fedgov.dnb.com/webform>.

Awards may not be made if any Team Member is on the USG Excluded Parties List, or that is from, or with a principal place of business in, a country subject to trade and economic sanctions administered by the Office of Foreign Assets Control (OFAC) of the Department of Treasury or to any individual or entity subject to targeted trade and economic sanctions administered by OFAC. For more information see OFAC website: <http://www.ustreas.gov/ofac/>. The current list of OFAC restricted countries includes Iran, Syria, Cuba, North Korea, and Sudan. However, the list of countries subject to OFAC restrictions may change. USAID will conduct a final eligibility determination prior to award.

All Resilience Teams must demonstrate experience in interdisciplinary problem analysis and program implementation related to the region and topics. All teams must include at least one local organization whose operations are primarily located in the team's selected region. Majority representation of such organizations (e.g., local NGOs) on each team is strongly preferred. At least one team member should have experience working on publicly funded projects. All teams selected in Stage One to participate in the Challenge must continue to meet these requirements in each Stage in order to be eligible for any awards and for participation in subsequent Stages.

Each Resilience Team must identify specific needs to improve resilience and demonstrate the commitment, creativity, and capacity of its members to address resilience needs. We recognize that different organizations have varying perspectives and understandings of resilience, as well as varying capabilities for building resilience. We are looking for teams that bring a multi-disciplinary, systems approach to the complex nature of resilience building. In particular, we seek diverse teams that bring together a variety of disciplines with a range of viewpoints, including but not limited to public sector, private sector, local civil society, international NGOs, and academic sector members.

Team members should have practical design capabilities that include subject matter expertise, research, stakeholder engagement, and project management. Teams should include partners and/or offices in the target Resilience Partnership regions. Individuals with expertise in the following fields are encouraged to participate in the Challenge: community engagement, climate change adaptation, agriculture and natural resource/ecosystem management, disaster risk reduction, international development policy,

humanitarian aid and emergency response, social science, economics, finance and investment strategies, innovative financing, livelihood diversification, program implementation and management, resilience research and advocacy, environmental sustainability, statistics, monitoring and evaluation, technology and technological applications, computer science, data management, architecture, rural and urban planning and design, systems design, engineering, project-management, governance, and forecasting and analysis of shocks and stresses (for example climate modeling and conflict analysis).

Team members may not include employees of the Rockefeller Foundation, USAID, or the organization managing the Resilience Partnership Representative. The Resilience Partnership reserves the right to determine a team's eligibility in meeting the criteria as established herein, including proposed regions and resilience topics covered by the Challenge. All determinations made by the Resilience Partnership will be final.

IV. REGIONS

The Sahel, the Horn of Africa, and South and Southeast Asia are large and complex regions, and thus the priorities and opportunities for building resilience to acute shocks and chronic stresses range widely within and among these regions and within these regions' communities. In **the Sahel**, climatic events such as irregular rainfall, drought, and desertification lead to chronic food insecurity. In **the Horn of Africa**, the population is primarily agrarian and/or pastoral. In this region, there are recurring natural and climatic events, such as droughts, floods, famine, and even ash contamination from volcanic activity. These events impact food security, agricultural and livestock assets, and economic development. **South and Southeast Asia**, home to more than two billion people across a highly varied geography, face a diverse range of shocks and stresses—from resource scarcity to climate impacts and natural hazards like coastal storms and flooding that can have disastrous impacts on urban and rural poor. Weak or ineffective governance impedes development in parts of each region. Each of these geographies is also vulnerable to destabilization from conflict over natural resources and/or political conflict. Effects of conflict are wide-ranging and can threaten anything from opportunities for healthy and productive lives, to sustained development, to global security.

V. TIMELINE: FROM ANALYSIS AND PROBLEM DEFINITION TO SOLUTIONS AND IMPLEMENTATION

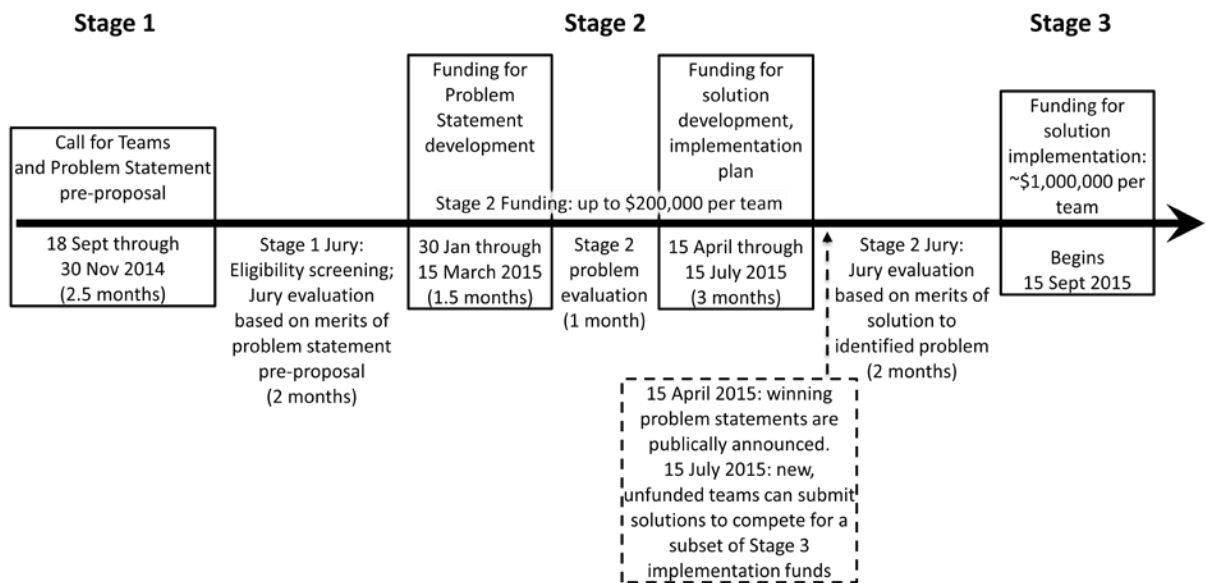
The timeline and process for the multi-staged Challenge are presented visually in Figure 1.

Stage One: Teams for Resilience.

September 19, 2014—January 30, 2015

- September 19, 2014 – Call for Teams and period for initial questions opens.
- October 3, 2014 – Period for initial questions ends on Call for Teams.
- November 30, 2014 – Application deadline.

Figure 1. Timeline of the multi-staged Challenge. At Stage 1, teams compete for funding to be used in Stage 2. At Stage 2, teams receive funding to develop a Problem Statement, a solution, and solution implementation plan. Teams then compete for Stage 3 implementation funding. Once Problem Statements are publicized, new, unfunded teams can enter the competition for a reserved amount of Stage 3 funding (dashed box).



- November 30, 2014 through January 30, 2015 – Applications reviewed by Selection Committee; selection of up to 5 teams per region.
- 30 January 2015 – Public announcement of selected teams.

Stage Two: Problems and Solutions for Resilience.

January 30, 2015—July 15, 2015

- Selected teams are announced and awarded up to \$200,000 USD each, disbursed in two tranches, described below:
 - January 15—March 15, 2015. Upon grant agreement signing, an initial tranche payment based upon the submitted detailed budget will be disbursed to enable the Teams to develop their Problem Statements. Problem Statements must be submitted to the Resilience Partnership for approval and/or acceptance no later than 15 March 2015; submissions for approval of the Problem Statement will be accepted from grant signing through 15 March 2015 and will be reviewed on a rolling basis.
 - April 15—July 15, 2015. Upon approval of the Problem Statement, Resilience Teams will receive a second tranche payment based upon the submitted detailed budget. This second tranche is for teams to develop a detailed Solution proposal and Solution Implementation Plan. Solution proposals and Solution Implementation Plans must be submitted to the Resilience Partnership by July 15, 2015.
- On April 15, 2015, approved Problem Statements will be published online, allowing unfunded teams (teams without Stage Two funding) to enter the competition for a reserved subset of Stage Three funding. As a result of this “wild card” funding stream, up to three new teams will be awarded Stage Three funding.
 - All teams entering the competition at this point must meet the same Stage One criteria as the original teams. A maximum of three new grants will be awarded globally and all Solution proposals and Solution Implementation Plans must address at least one of the approved Problem Statements announced on April 1. New teams must submit a detailed

Solution proposal and Solution Implementation Plan in line with the July 15, 2015 submission date for all teams.

Stage Three: Action for Resilience.

Begins September 15, 2015

- Selected teams are announced publicly. Each team is awarded up to \$1,000,000 USD for solution implementation. The amount of each award will be based upon approved budgets submitted by the teams.
- Stage Three funds will be used to implement selected solutions.

VI. SELECTION CRITERIA FOR STAGE ONE

- 1. (30%) Clarity of response of Pre-Proposal**
 - a. (15%) Clarity, thoroughness, realism and completeness of the concept.
 - b. (10%) Use of multidisciplinary and collaborative approach to problem identification and development of potential solutions including commitment to participatory design and public engagement.
 - c. (5%) Financial feasibility, reasonableness of initial budget.
- 2. (20%) Innovation**
 - a. (10%) Does the approach show innovation in its approach, scope, and breadth?
 - b. (10%) Will the approach add to learning and knowledge in the area of resilience?
- 3. (20%) Development Impact**
 - a. (10%) What is the size and breadth of the development impact (on vulnerable groups)?
 - b. (10%) Is the choice of approach, practice and technology scalable and replicable in the proposed -region?
- 4. (25%) Capacity and team composition**
 - a. (10%) Regional expertise and inclusiveness of regional stakeholders.
 - b. (5%) Depth and breadth of expertise and a proven track record in the developing world.
 - c. (5%) Demonstrated excellence in each of the team member's discipline.
 - d. (5%) Relevance of the team's experience to the proposed research focus and design approach.
- 5. (5%) Environmental Impact**
 - a. (5%) Safeguarding of environmental goods and services while achieving resilience gains.

VII. SUBMISSION REQUIREMENTS

A. Application components

Applicants must address the following in their Stage One applications (up to a maximum of 5 single-sided pages, plus Letters of Commitments and Team Members' resumes or C.V.s).

1. List of Team Members (1 page): Include each Team Member's name, affiliation, contact information, and website. Clearly identify a single Team Lead as the primary point of contact and one alternate team lead who will also serve as an alternate point of contact for the Resilience Team.

2. Pre-Proposal (2 pages): Pre-Proposals should clearly identify the team's selected region and their topic of interest that would be fully developed in the Stage Two Problem Statement. This should include a narrative, which may include visual illustrations, that describes a locally-driven understanding of the barrier(s) to building resilience in the team's focal region, and how the proposed research and design approach will inform on resilience-building efforts. Teams may conduct research in particular sub-regions, specific locations, or both, but the relevance of the team's objectives must have broader applications. The conceptual approach should include:
 - a. Priorities: What are the critical and unaddressed barriers to building resilience to acute shocks and chronic stresses? What evidence substantiates this initial assessment?
 - b. Objectives: How would addressing these priorities and barriers contribute to building resilience in the chosen region? What is the potential scale and scope of social impact were the barriers to be overcome?
 - c. Collaboration: How does the team build collaboration into its approach?
3. Summary of team's strengths and relevant experience (1 page): Provide a brief summary of the team's collective strengths and experiences relevant to the goals of the Challenge and to the team's selected focus area.
4. Notional budget, up to \$200,000 (1 page): Using the Budget Template, the Budget should describe Stage Two spending on the development of the Problem Statement, development of the Solution, and development of the Solution Implementation Plan.
5. Letter of Commitment from each Team Member (see Section III. Teams for Resilience).
6. Resume or C.V. for each team member (maximum length of resumes and C.V.s not to exceed two single-sided pages per team member).

B. Rules and Regulations

1. Applicants must submit an application in response to this Call for Teams no later than 5:00 PM EST on November 30, 2014.
2. All applications must be submitted in English and in PDF format.
3. Applications must not exceed 5 single-sided pages, including text, images, and/or drawings.
4. Text must be in 11-point font size and file size cannot exceed 10 megabytes.
5. Applications must be uploaded to www.globalresiliencepartnership.org or emailed to challenge@globalresiliencepartnership.org. Hardcopy applications will not be accepted.
6. C.V.s and Letters of Commitments are not included in the total page count. However, each C.V. should not exceed two single-sided pages per team member.
7. Individuals may only be included as a team member on one team application submitted in the Stage One 'Call for Teams'. However, an organization may be represented on more than one team application as long as individuals from that organization are unique to each team's application.
8. The Resilience Partnership must be informed in writing of any change to the composition of a team's membership, at any stage of the Challenge.
9. The Resilience Partnership will have a perpetual, worldwide, royalty-free, nonexclusive and irrevocable right to reproduce, publish, distribute, edit, adapt, create derivative works from and otherwise use any deliverables or data used or produced at any Stage, including the Online Form, list of team members, team member resumes, Pre-Proposals, Problem Statements, and Solution proposals and Implementation Plans, for any purposes, and to authorize others to do so.

For any pre-existing intellectual property in which a Resilience Team wants to provide less than the license stated above, a description of such intellectual property must be included

in an addendum to the Solution proposal and Implementation Plan, and be clearly identified as proprietary information. The Resilience Partnership will receive a limited use license for such pre-existing intellectual property, to be used solely for purposes of administering the Global Resilience Challenge.

The Resilience Partnership anticipates making submissions by Resilience Teams and implementation data available to the general public.

10. This Source Document for the Global Resilience Challenge does not give rise to any legal rights or obligations of or for any person or organization. Any monetary awards are subject to the sole discretion of the Resilience Partnership. The Resilience Partnership may, at its sole discretion, opt to award more or fewer awards, for more or less money, or no awards at all. All awards are subject to the successful negotiation of an award agreement with the Resilience Partnership Representative, and availability of funds. The Resilience Partnership reserves the right to amend this Source Document or cancel the Challenge at any time. Any changes will be reflected on the Challenge website, www.globalresiliencepartnership.org
11. International applicants should be aware that the information submitted is collected in the United States of America. The collection, storage, and use of application data will be subject to U.S. laws and regulations, which may be different from the laws and regulations of applicant's home country. By participating in the Challenge, applicants consent to this collection, storage, and use.
12. By providing the application materials, including the Pre-Proposals, Problem Statements, and Solution Proposals and Solution Implementation Plans, the applicant warrants to the Resilience Partnership that the applicant has the right to provide the information submitted.
13. Applicants shall not use the logos or trademarks of USAID, the Rockefeller Foundation, or the Global Resilience Partnership without prior permission.
14. This Challenge, including all funding provided under the Challenge, shall be governed by U.S. Federal Law and subject to the jurisdiction of U.S. Federal Courts. Funding disputes shall be resolved as provided in the applicable award documents. This document was originally released in English. The English version will govern in the case of any discrepancies between the French and English versions.

C. CONTACT INFORMATION

All correspondence, including questions regarding the Challenge, should be directed to: challenge@globalresiliencepartnership.org. All questions concerning the Challenge will be accumulated, and over the course of the Challenge, consolidated responses will be posted periodically to the Challenge website, www.globalresiliencepartnership.org.