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THE PARTNERSHIP FOR RESILIENCE AND ECONOMIC GROWTH (PREG)

OPTIONS FOR ESTABLISHING THE PREG SECRETARIAT



Photo credit: Mark Wambui/Africa Lead

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FEED THE FUTURE: BUILDING CAPACITY FOR RESILIENCE AND ECONOMIC GROWTH

(AFRICA LEAD II)

OPTIONS FOR ESTABLISHING THE PREG SECRETARIAT

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TABLE OF CONTENTS

I. PURPOSE.....	1
II. WHAT IS PREG AND WHERE IS IT GOING?	1
III. WHAT ARE THE CORE COMPONENTS?	5
IV. INSTITUTIONALIZING PREG WITHIN USAID	10
VI. RECOMMENDATIONS.....	ERROR! BOOKMARK NOT DEFINED.
VII. ANNEXES	ERROR! BOOKMARK NOT DEFINED.8

The authors' views expressed in this publication do not necessarily reflect the views of the United States Agency for International Development or the United States Government.

I. Purpose

This resource guide has been prepared to support USAID’s Partnership for Resilience and Economic Growth (PREG) initiative in Kenya. PREG’s 18 partners work in nine of the 23 counties designated as Arid and Semi-Arid Lands (ASALs) with total investments planned to exceed \$360 million. During this period, PREG has successfully expanded its coordination efforts to involve new humanitarian and development partners in a collaborative approach with national and county government officials. As the program continues to evolve, it now aims to refine its organization and formally establish a secretariat that can utilize best practices and scale activities throughout Kenya. These guidelines have been established following consultations with various PREG stakeholders including USAID, implementing partners at the national and county level, Africa Lead II staff, and government officials. The subsequent sections review the current state of PREG, core competencies required to administer the secretariat, and resource options to sustain PREG’s momentum.

“Through collaborative activities and approaches in the ASAL areas of Kenya, USAID PREG partners will more effectively support the Government of Kenya to develop individuals, communities and systems resilience capacities resulting in sustainable reductions in humanitarian assistance needs, prevalence/depth of poverty, household hunger and acute/chronic under-nutrition.”

PREG Collective Impact - Vision Statement

II. What is PREG and where is it going?

Informed by USAID’s resilience strategies,¹ its approach to Collaborate, Learn, and Adapt (CLA), and the Automated Directives System (ADS)² policies and procedures, this document serves to inform PREG leadership in order to maximize collective impact, reduce inefficiencies, and add value for money among partners. In order for PREG to build on its successes, it must first define its leadership and governance structure, and determine standards that are adaptable according to the needs of members.

Key considerations

- ✓ Continue to build on successes
- ✓ Define leadership and governance
 - Importance of USAID guidance
 - Value of impartial Backbone Support
 - USAID implementing partners (IPs) have time-bound funding; clarify entry/exit requirements
- ✓ Determine standards; maintain flexibility
 - Clear lines of decision-making and communication
 - Government interaction varies by location
 - National and county coordination (internal IP obligations that support Kenya’s Vision 2030)

¹ Building Resilience to Recurrent Crisis. USAID Policy and Programming Guidance. December 2012.

² Automated Directives System (ADS) Programming (200) and Acquisition and Assistance (300) series.

Continue to Build on Success

PREG operates in nine ASAL counties with a range of partners working to build local systems in livelihoods, WASH,³ agriculture and livestock value chains, governance, conflict mitigation, conservation, and inclusion. Through a series of consultations, stakeholders consistently remarked that PREG has successfully managed to sequence, layer, and integrate (SLI) programming, and continues to become more effective as partners streamline their activities and communication. Although the initiative was originally driven by USAID, it has now progressed to include decision-making by a secretariat that is primarily comprised of USAID implementing partners with growing participation and leadership from government authorities at the national and county levels.

Leadership and Governance

Feedback from partners overwhelmingly indicated that USAID should continue to lead the PREG process and play an essential role to set policy, hold partners accountable, and encourage partners to collaborate. Similarly, partners expressed the benefits of having an impartial third-party to provide administrative and technical assistance in a “Backbone Support” role. In this context, respondents consistently described “Backbone Support” to encompass organizational learning, strategic communications, knowledge management, and administrative functions. As such, Africa Lead II was often described as playing a vital role and being the “glue” or “switchboard” between USAID and PREG partners at the national and county levels. As PREG enters the next stage of programming, USAID and PREG members should consider the following questions:

- How will USAID manage the PREG structure?
- What is the role of Backbone Support?
 - How important is impartiality?
- What is the right balance between standards and flexibility?

PREG'S FOCUS ON COLLECTIVE IMPACT

- COMMON AGENDA**
 - SHARED VISION
 - COMMON UNDERSTANDING OF PROBLEM SET
 - JOINT APPROACH TO PROBLEM SOLVING
- SHARED MEASUREMENT**
 - CREATION OF SHARED INDICATORS
 - MEASURED RESULTS ACROSS ALL PARTICIPANTS
 - COLLECTIVE RESPONSIBILITY
- MUTUALLY REINFORCING ACTIVITIES**
 - SEQUENCE, LAYER, INTEGRATE (SLI) APPROACH
 - BUILD ON STRENGTHS OF INDIVIDUAL PROGRAMS
 - REDUCE INEFFICIENCIES
- CONTINUOUS COMMUNICATION**
 - OPEN LINES OF COMMUNICATION
 - INFORMATION FLOWS BETWEEN PREG LEVELS
 - CLEAR UNDERSTANDING OF ROLES
- BACKBONE SUPPORT**
 - PROVIDES ADMINISTRATIVE & TECHNICAL SUPPORT
 - STRATEGIC VIEW AND COORDINATION
 - "THE GLUE" BETWEEN PARTNERS AND USAID

THIS IMAGED BUILDS ON CONCEPTS FOUND IN "UNDERSTANDING THE VALUE OF BACKBONE ORGANIZATIONS IN COLLECTIVE IMPACT" [HTTP://WWW.FSG.ORG/PUBLICATIONS/UNDERSTANDING-VALUE-BACKBONE-ORGANIZATIONS-COLLECTIVE-IMPACT](http://www.fsg.org/publications/understanding-value-backbone-organizations-collective-impact)

³ Water, Sanitation and Hygiene.

Determine Standards, Maintain Flexibility

The table below presents PREG’s advancement and cohesion (*PREG Stages of Growth*) through three phases of collective impact.⁴ PREG has matured significantly from its original loose structure (*Phase I: Initiate Action*) of informal coordination between implementing partners. As PREG enters *Phase III: Sustain and Grow*, it is well positioned to promote learning and adaptive management among its members. Furthermore, the organization’s emphasis on collaboration makes it a valuable resource to county governments. When describing the evolution of PREG, the majority of respondents indicated that communication has improved significantly but information does not always flow between national and county levels. In addition, members commented on the need to establish a feedback mechanism to improve systems and address local needs. Furthermore, PREG partners requested clear guidelines that remove extra layers of reporting and streamline communication directly to relevant parties.

PREG STAGES OF GROWTH

Areas of Focus	Phase I Initiate Action	Phase II Organize for Impact	Phase III Sustain and Grow
Leadership & Governance	Develop group structure and communication	Create infrastructure for Backbone Support	Clear guidelines for members and counties/devolved units; determine partner criteria
Decision-Making	Loose structure, largely based on goodwill of members	Put systems in place; informal voting/volunteering; active role of Backbone Support	Facilitate devolved responsibility and refine systems
Planning & Implementation	Map the landscape; identify data needs	Create common agenda and Standard Operating Principles (SoPs) ⁵	Support implementation and alignment of SoPs
Monitoring, Evaluation, & Learning (MEL)	Create baseline information	Build basic capacity through county and national learning events and joint monitoring	Establish/refine shared indicators; collect, track, report progress; establish feedback mechanism

⁴ This table builds on concepts found in “Phases of Collective Impact” from [Channeling Change: Making Collective Impact Work](#). Fay Hanleybrown, John Kania, & Mark Kramer. January 26, 2012.

⁵ “Standard Operating Principles (SoPs) for Collaboration and Partnership” from [Common PREG Agenda](#) document.

LOOKING FORWARD

While PREG’s national level stakeholders explore structural options for the secretariat, many county representatives aim to accelerate integration efforts with government initiatives⁶ and programs outside of USAID funding. The accompanying table (*PREG in the Future*) describes factors that would enable a potential *Phase IV: Integrate and Expand* for PREG. As USAID looks to solidify PREG’s governance structure, it should consider the following questions:

- Should PREG aim to sequence, layer, and integrate with other donor initiatives?
- What are the entry/exit requirements for new programs to join PREG?
- To what extent can county government authorities lead PREG?
- What type of agreements or memoranda of understanding (MoU) will facilitate collaboration and accountability with new parties?

PREG IN THE FUTURE

Areas of Focus	Phase IV Integrate and Expand
Leadership & Governance	Expanded scope of Backbone Support; establish partnerships with other donors and implementers; government officials lead change
Decision-Making	MoU’s established with internal and external stakeholders
Planning & Implementation	Programs integrated with government initiatives (e.g., EDE, CIDPs, CSGs, etc.)
Monitoring, Evaluation, & Learning (MEL)	Integrate baseline data with government and other donors; widen learning events and joint monitoring

⁶ Government initiatives include Kenya’s Vision 2030, Ending Drought Emergencies (EDE), County Integrated Development Plans (CIDPs), County Steering Groups (CSGs), etc.

III. What are the Core Components?

Discussions with stakeholders indicated that PREG operational terms are used interchangeably with variations between the national and county stakeholders (i.e. what is PREG? who are PREG partners/members, etc.?) In addition, respondents provided differing opinions regarding required resources for county level implementation (i.e. Is a county secretariat required? If so, what are the likely requirements for staff, funding, and authority?). In order for all parties to have a clear understanding of mandates and responsibilities, PREG should define key roles along with terms of references (ToRs) for national and county level. The following *PREG Organizational Components* table provides a sample list of organizational components along with commonly used operational terms. Sample ToRs for each position can be found in the annexes.⁷

PREG Organizational Components
PREG, PREG Partners, and PREG Secretariat: PREG members consist of USAID implementing partners (IPs) and Kenya government authorities at the national and/or county level. Individual USAID implementing partners are bound by contracts/agreements, whereas local authorities currently coordinate based on informal agreements with members.
USAID PREG Committee: USAID staff drives PREG’s overall leadership and governance. Two USAID staff members lead coordination efforts and work closely with respective technical offices and COR/AORs, however, a more formalized USAID coordination structure will help to sustain PREG as it grows. USAID holds PREG Committee coordination meetings each month.
PREG National Secretariat: PREG national level steering committee comprised of PREG “partners.” USAID representatives, Chiefs of Party (CoP) from implementing partners (IPs), and representatives from the National Drought Management Authority (NDMA) currently lead coordination efforts. Africa Lead II provides administrative functions in the role of “Backbone Support.” PREG holds National Secretariat coordination meetings each month.
PREG County Secretariat: PREG county level steering committee comprised of IPs, county government officials, and county NDMA representatives. The PREG County Secretariat is subordinate to the PREG National Secretariat. A “County Lead” coordinates the County Secretariat with support from the Backbone Support organization. Some county representatives indicated that they also engage in Backbone Support activities when coordinating among County Secretariat members. County structures vary depending on the dynamics with county authorities and other coordination mechanisms (e.g., County Steering Group, the UN Delivering as One Framework, etc.). PREG holds County Secretariat coordination meetings each month.
County Lead (CL): PREG partners designate a county representative to facilitate “secretariat” activities at the county level. The County Lead serves as the chair of the PREG County Secretariat but also oversees implementation efforts of his/her specific PREG program activities.
Chair/Co-chair: Representative who facilitates respective coordinating bodies. Initial feedback showed that a PREG partner should hold the chair position at the national and county secretariats on a rotational basis. It was recommended that USAID serve in a permanent role in the national secretariat. Government leadership at the national and county level is encouraged and should be clearly defined and documented.

⁷ ToRs have been drafted as guidelines and PREG members should discuss and agree upon appropriate terms and corresponding responsibilities.

Working Group (WGs): A committee of PREG partners designated to solve a particular issue. WGs occur at the national and county level and may be formed specifically to address PREG functions (e.g., GIS mapping, communications, etc.) or support county government initiatives (e.g., nutrition working group).

Backbone Support: Organization charged with coordination, administrative support, and driving collective impact. Africa Lead II serves as the role of Backbone Support. In discussions with partners, PREG Learning (Africa Lead II) initiatives, strategic communications, knowledge management, and administrative functions were consistently listed as one initiative. This document includes both functions as “Backbone Support.”

OPERATIONAL STRUCTURE

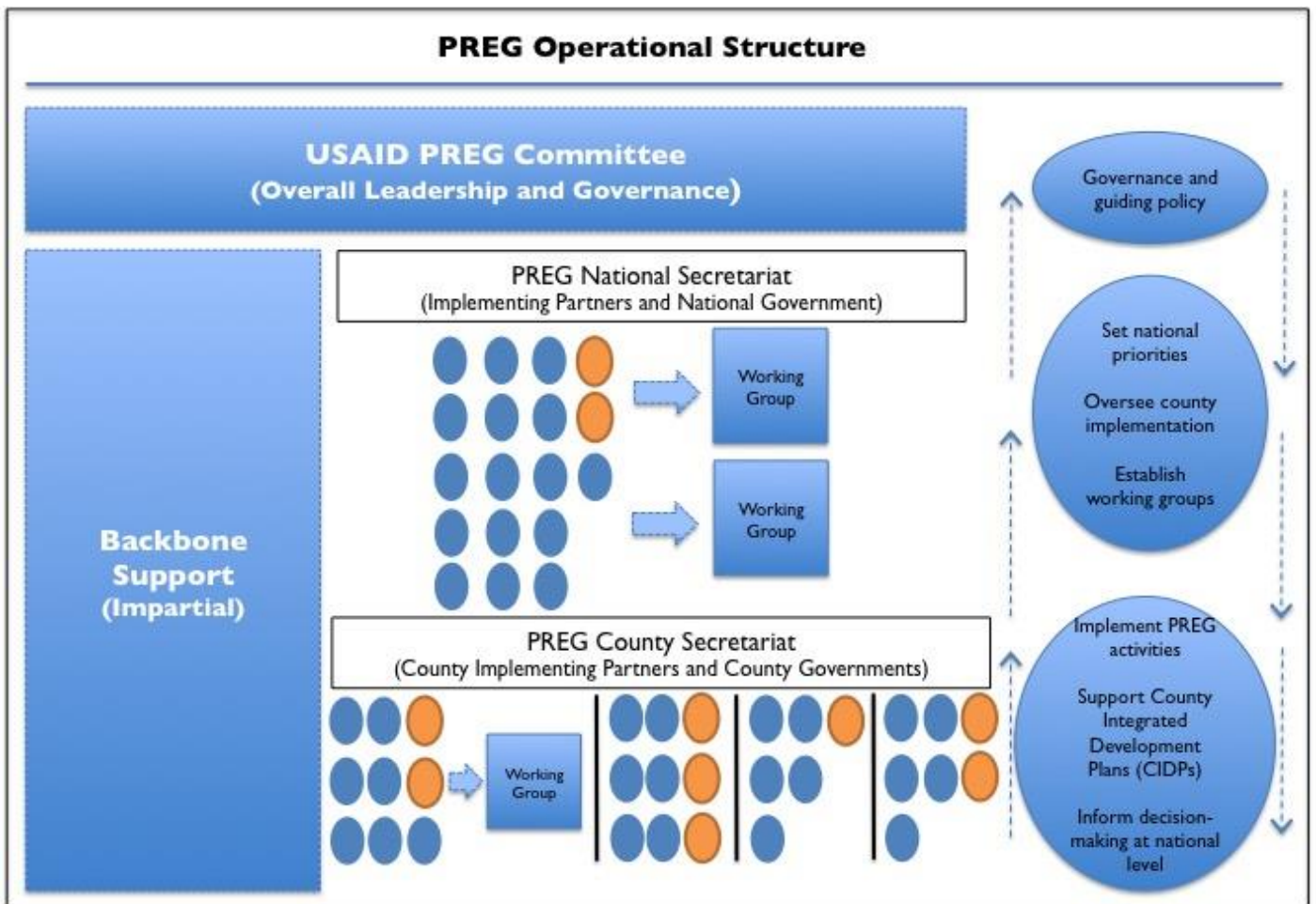
PREG’s success has largely been driven by the collaborative effort and goodwill of its members. As the structure has grown, it has become affected by various factors including changing partners (according to USAID contract/agreement timelines), increased government involvement, and varying local dynamics. The below *PREG Operational Structure* image serves as a representation of the current PREG organization.⁸ PREG’s overall leadership is governed by USAID, with respective staff (COR/AORs) overseeing individual programs. The National Secretariat and County Secretariats are comprised of implementing partners (represented as blue circles) and government partners (represented as orange circles). Working Groups are established as needed according to the National Secretariat and County Secretariat. General responsibilities are depicted on the right side with vertical arrows representing flows of information. Specific responsibilities are described in the subsequent sections.

Operational Questions

- What binds the individual programs to work together?
- What is the difference in authority between the County and National Secretariats?
- What is the desired amount of government participation?
- To what extent should Secretariats vary in each county?
- What are the resource requirements for the County and National Secretariats?
- What are the requirements to become a County Lead?
- Should County Secretariats elect County Leads?

⁸ The image serves as a representation of the structure and is not the official organizational chart.

PREG Operational Structure



ROLE OF BACKBONE SUPPORT

PREG’s ability to sequence, layer, and integrate programming efforts has been enhanced by the provision of Backbone Support provided by Africa Lead II. As PREG aims to build on its CLA approach, it is important for future support structures to possess competencies that foster strategic thinking and facilitate process improvements across PREG partners. As individual programs come to a close, USAID and PREG partners should explore additional options for Backbone Support with the aim of maintaining technical and administrative continuity. The table below identifies five programming options for Backbone Support in the upcoming phase of PREG activities.⁹ The first three options to provide Backbone Support are described in greater detail with notes on USAID regulations in Section IV. Backbone Support through multiple IPs and USAID (options four and five) demonstrate significant challenges around accountability and labor and are not considered as sustainable choices.

Backbone Support	Description	Positives	Negatives	Resource Implications
1. Current PREG Partner (two options: contract vs. agreement holder)	Current PREG implementer (contract vs. agreement holder); with modified scope of work	Understanding of issues; existing infrastructure; lesser likelihood for gap in support	Lacks neutrality; may strain management of current programs	Low overall cost; resource mobilization required (IP must redirect its resources to take on new function)
2. Continue current effort (Africa Lead II)	Current Backbone Support continues with an extension	Proven track-record; impartial and knowledgeable	Lengthy approval process; short-term solution may result in programming and support gap	Increased cost to USAID. Limited resource mobilization required (partner is already in place)
3. New program (Third-party)	Impartial partner with strategic view	Perceived neutrality; big-picture view; new partner may lack institutional knowledge	Time-consuming process that may result in programming and support gap	USAID resources required to design new program
4. Multiple PREG Partners (Multiple IPs)	Costs and responsibilities are shared across PREG partners	Lower resource requirements for one organization; shared responsibilities across all partners	Heavy coordination challenges; lack of accountability and reliability	Low overall cost; difficult to manage
5. Donor-driven (USAID)	USAID’s provides leadership and hands-on support	USAID drives strategy as financial-backer and convener; holds leverage over partners	Heavy demand on USAID staff; negative aspect of top-down approach; lack of buy-in and ground truth	Significant time required for USAID. Associated costs will be difficult to manage
*Consideration: Pursue Options 1 and 3 concurrently to minimize programming/support/gap				

⁹ This table builds on concepts found in “Backbone Organizations” from Channeling Change: Making Collective Impact Work. Fay Hanleybrown, John Kania, & Mark Kramer. January 26, 2012.

EXPLORING COST IMPLICATIONS OF BACKBONE SUPPORT

USAID should consider the following implications when exploring future Backbone Support functions within a modified structure of the PREG Secretariat:

- Review current Backbone Support provide by Africa Lead II and USAID
- Review resources required to maintain and scale PREG initiatives (include options for *Phase IV: Integrate and Expand*)
 - Prioritize services that are most required (and cost effective) for PREG Secretariat to achieve its goals
 - Separate functions between National and County Secretariats, as well as special events (e.g., training, planning workshops, joint monitoring, high-level visits, etc.)
- Identify required personnel (e.g., Chief of Party, program coordinator, program assistant, operations manager, procurement specialist, admin officers, data manager, reporting officer, MEL/CLA advisor, communications officer, trainers/facilitators, etc.)
- Identify likely costs (e.g., salaries, office expenses, rent, GIS/information products, knowledge management portal upkeep, utilities and phone expenses, equipment, national coordination meetings and overall administration)
 - Determine cost allocations/contributions to support:
 - Backbone Support
 - National Secretariat members
 - County Secretariat members
 - Organizations designated as County Leads
- How can resources be utilized as an innovative approach to CLA and collective impact? How will impact be measured?

IV. Institutionalizing PREG within USAID

This section outlines basic resource options, steps, and regulations to standardize PREG into its next stage of implementation. USAID staff should confer with relevant Contract/Agreement Officers (CO/AO) and PREG members to determine the best scenario for continued implementation of the PREG Secretariat.

OPTION I: USE AN EXISTING MECHANISM (CONTRACT OR AGREEMENT)

Scenario I A: A current PREG contract holder manages PREG Backbone Support

Recommendation: This is likely the most efficient option that will allow USAID to maintain control and influence. With that in mind, USAID would need to confirm that the proposed Contract Officer (CO) and Contracting Officer Representative (COR) are willing and able to regularly coordinate with other contract holders.

USAID staffing considerations: Depending on the modification of activities, USAID may require up to two staff members (including the COR) to oversee the following: 1) the original contract's stated objectives; and 2) PREG Secretariat initiatives. There is potential that the position(s) could also be justified as a Collaborating, Learning and Adapting (CLA) Advisor. However, this individual would need to be tied directly to the contract in order to maintain a degree of control over the program.

Negative implications: The PREG Secretariat will lose a degree of impartiality if the Backbone Support function is provided by an implementing partner that is also administering resilience activities as a member of the Secretariat.

Steps: Review the ongoing contracts to determine options with current PREG partners. Identify what contracts have the ability and scope to undertake tasks associated with Backbone Support. Key considerations include:

- The potential contract holder should be in the early stages/years of its program and be well below its cost ceiling. There should be enough Level of Effort (LoE) resources remaining in the contract for reallocation to new activities.
- The contract's overarching language should indicate that a modification aligns with the contract's original intent. Terms such as "including," "not limited to," or "coordination" will assist with the Justification and Approval (J&A) process.¹⁰ It is up to the Contracting Officer to determine if a J&A would be required as [ADS 302](#) indicates, "No J&A documents may be processed for approval without obtaining the above-noted prior written clearances from both

¹⁰ ADS 302.3.4.5 Limiting Competition.

Legal Counsel and the ACA.”¹¹ Additional information and links to relevant J&A templates can be found in Section H in [ADS 302.3.4.5](#).

- The potential contract holder should be willing to de-scope planned activities and submit a budget realignment. The contract should then be re-scoped to include coordination and support functions within the Backbone Support role.

Modifications: The potential contract holder would have to provide logistical support to the Contracting Officer Representative (COR) to manage the process.

- The potential contract holder would state that it wants to modify the contract to add additional requirements that address USAID operational priorities.
- USAID would then create/approve the scope of work to identify the roles and requirements to manage/support the Secretariat. USAID would then send the material to the potential contract holder for a response and budget request.
- **Bilateral Modification:** Provisions would need to be added into the scope stating that the contractor agrees to working (and coordinating logistics) with PREG partners (this number may vary according to the terms of the Secretariat and duration of individual USAID contracts).

Coordination with other partners: Because multiple entities need to be involved, the other contract holders would need to agree to coordinate with one another.

- Respective COs should then send a letter (i.e., modification) to partners with appropriate language that clarifies the modified role (of Backbone Support) in relation to other contracts.¹² These letters can compliment previously communicated guidance from the Kenya Mission.
- Cooperative agreement holders technically do not have to agree to abide by the new contract. However, USAID partners are generally inclined to collaborate with other USAID implementers.
 - Provisions can be made within the Terms of Reference (to join the Secretariat), which states that all PREG members agree to coordinate with the contractor charged with Backbone Support.

Regarding County Secretariats: The potential contract holder could award small grants to enable County Secretariats to fulfill objectives as agreed by the National Secretariat. However, given the complexity of the circumstances, it will likely be more efficient to have partners manage these activities at the county level within their own program budgets.

Scenario I B: *A current PREG agreement holder manages PREG Backbone Support*

¹¹ ADS 302.3.4.5h J&A Templates and J&A Posting Requirements.

¹² A Mandatory Reference for ADS Chapter 302: Expedited Acquisition and Assistance Procedures Action Memoranda - Posting Procedures for Justifications & Approvals (J&As).

Recommendation: This is a time sensitive approach that should be considered if a CO permits a contract modification (see Scenario I A).

Negative implications: The PREG Secretariat will lose a degree of impartiality if Backbone Support functions are provided by a partner that is also implementing resilience activities as a member of the Secretariat. Additionally, USAID will lose a substantial degree of control if an agreement holder (as opposed to a contract holder) administers the Backbone Support.

Steps: Review the ongoing agreements to determine the options with current PREG partners. Identify what agreements have the ability and scope to undertake tasks associated with Backbone Support. Key considerations include:

- USAID should verify if the Kenya Mission has a cooperative agreement in place which states that an AOR must coordinate with multiple entities (i.e., PREG members and/or other agreement and contract holders). However, this may not be the case, as this provision would likely extend beyond substantial involvement.
- The potential agreement holder should be in the early stages of its program and well below its cost ceiling. There should be enough Level of Effort (LoE) resources remaining in the agreement for reallocation to new activities.
- The potential agreement holder can contact the Agreements Officer (AO) and Agreements Officer Representative (AOR) and state its intention to reallocate money with an internal modification. The AO/AOR should verify that a Justification and Approvals (J&A) or Justification for Restricting Eligibility (JRE) are not required.¹³

Guiding regulations: ADS Chapter 303: Grants and Cooperative Agreements to Non-Governmental Organizations outlines the requirements for modification with specific references to dollar thresholds, and exceptions to restrict eligibility and requirements for authorizing their use (e.g., exclusive or predominant capability and restricted eligibility for efficiency). A summary of these conditions is described below:

- *Each justification must contain sufficient facts and rationale to justify the use of the specific exception cited. Requirements for the content of justifications and applicable clearances and approval authorities are determined by a combination of the following:*
 - *The dollar threshold of the new award or amount of increase to an existing award (ADS 303.3.6.5a (1))*
 - *The type of exception used (ADS 303.3.6.5a (2))*

¹³ ADS 303.3.6.5 Restrictions to Eligibility.

- Whether the action is a follow on or extension (ADS 303.3.6.5a (3))
- Exceptions to restrict eligibility must not be justified on the basis of:
 - Mobilization costs,
 - Demobilization costs,
 - Continuing relationship (except when sections ADS 303.3.6.5a. (2)(a) or (h) apply,
 - Lack of planning, or
 - Concerns about amount of funds available, such as expiring funds.

OPTION 2: CONTINUE WITH THE CURRENT ORGANIZATION

Recommendation: While it appears this would be the best service option according to PREG partners, it will likely be a lengthy process (potentially 12 months) depending on the funding thresholds and approval requirements.

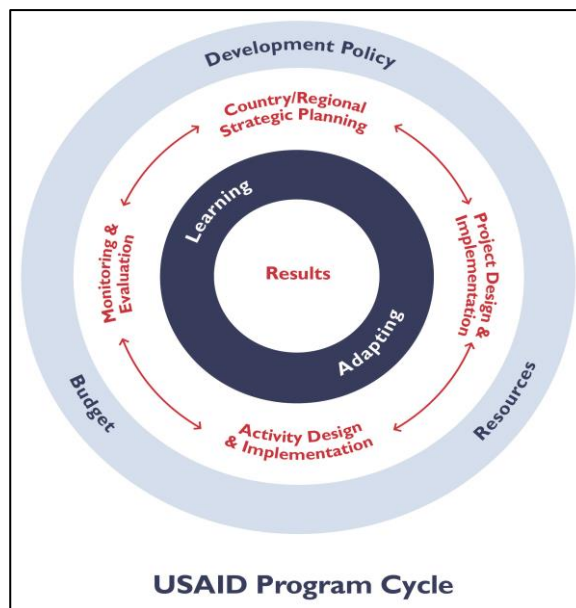
Guiding regulations: While USAID strives to ensure transparency and accountability of offers, awards, and contracts, COs may award contracts that are not considered “full and open competition.” In order to add funds and extend the current period of performance and/or amount of award, the CO would need to follow the J&A process as outlined in ADS 302.3.4.5a Justification and Approvals (J&As):

- *A J&A is only required for an existing award when a proposed action triggers competition requirements. Competition may be required for modifications of existing contracts if there is a cardinal change to the contract (such as an increase to the total estimated amount of the award, a change to the Statement of Work (SOW), or an extension of the period of performance). COs must comply with the applicable J&A requirements in FAR 6, AIDAR 706.302, and ADS 302, when full and open competition is not used for contract and task order modifications that add new work (including more of the same type of work) that was not evaluated as part of the initial competition and that is not (1) the result of a cost overrun, or (2) an extension to the period of performance granting the contractor additional time to complete the deliverables specified in the existing SOW.*
- Additional guidance is outlined in ADS 302.3.4.5h J&A Templates and J&A Posting Requirements as follows:
 - *COs must use the ADS 302max, Template for Justification and Approval for Other Than Full and Open Competition (J&A). A separate J&A template is available under ADS 302max, Expedited Acquisition and Assistance Procedures Action Memoranda - Posting Procedures for Justifications & Approvals (J&As). For the Administrator, approved action memoranda for expedited A&A procedures (also referred to as Expedited Procedures Packages (EPPs) discussed in ADS 302.3.4.5b) is available.*

OPTION 3: DESIGN A NEW PROGRAM/AWARD

Recommendation: Overwhelming feedback from members suggests the following: 1) USAID should lead the PREG process; and 2) Backbone Support should be implemented by an impartial third party that is able to see the bigger picture, provide support to partners (at the national and county levels), and measure the collective impact of the partners.

Considering the lengthy program design (approximately 12 months), USAID may be able to advance the process by focusing on “Approaches that Support Innovation, Co-Creation, and/or Co-Design” (ADS 201.3.4.3 Activity Design Considerations). While it is likely too late to design a new program for 2017, USAID may wish to pursue concurrent paths and design a new program for 2018 while employing one of the above strategies (such as Scenario I A: *Current PREG contract holder manages PREG Backbone Support*) as a short-term “stop-gap” measure.



Guiding regulations: Should USAID decide to develop a Project Appraisal Document (PAD), it would need to follow an approved Project Design Plan (PDP), draft the relevant SoW/ToR,¹⁴ and define implementation mechanisms with draft budgets as outlined in ADS 201 Program Cycle Operational Policy:

- The following program principles are described in ADS 201.3.1.2:
 - A. *Apply analytic rigor to support evidence-based decision-making*
 - B. *Manage adaptively through continuous learning*
 - C. *Promote sustainability through local ownership*
 - D. *Utilize a range of approaches to achieve results*
 - E. *Activity design and implementation*
- The following entities should be involved in the Mission-led design as outlined in ADS 201.3.4.1:
 - A. *Washington Operating Units*
 - B. *Mission Program Office*
 - C. *Mission Technical Offices*
 - D. *Mission’s Office of Acquisition and Assistance*
 - E. *Mission’s Office of Financial Management*
 - F. *Mission’s Executive Office*

¹⁴ The relevant material may include: Statement of Work (SOW), Performance Work Statement (PWS), Statement of Objectives (SOO), and Terms of Reference (ToR), etc.

- G. Resident Legal Officer
- H. Mission Environmental Officer
- I. Mission Gender Advisor/Point of Contact
- J. Crosscutting Advisors and Points of Contact in the Mission
- The Acquisition and Assistance (A&A) Design Process outlines six phases to the creation of an A&A activity as outlined in ADS 201.3.4.5:
 1. The Mission or Washington OU reviews and conducts or supplements analysis, as applicable.
 2. The Mission or Washington OU confirms the selection of instrument in accordance with policy and procedures found in ADS 304.
 3. The Mission or Washington OU drafts the Statement of Work (SOW), Performance Work Statement (PWS), Statement of Objectives (SOO), or Program Description (PD) according to instrument-specific requirements.
 4. The Mission or Washington OU drafts cost estimate/budget and other pre-solicitation documents required for inclusion in the GLAAS requisition package.
 5. The Mission or Washington OU clears the activity's GLAAS requisition package through the OU's clearance process.
 6. The Mission or Washington OU enters the requisition package into GLAAS and solicits, negotiates, and awards the activity through an A&A process as required in ADS 302 or ADS 303.

Strategic considerations: A new PREG program would support USAID's goal to move towards efficiency and align with intermediate results (IRs) from USAID's 2014-2018 Kenya Country Development Cooperation Strategy (CDCS) as follows:

- *Development Objective 1: Devolution effectively implemented*
 - *IR 1.1 accountable county governments effectively functioning in targeted counties*
 - *IR 1.2 enabling environment for devolution strengthened*
 - *IR 1.3 informed and empowered citizens participate in county affairs*
- *Development Objective 2: Health and human capacity strengthened*
 - *IR 2.1 increased Kenyan ownership of health, education and social systems*
 - *IR 2.2 increased use of quality health and education services*
 - *IR 2.3 youth empowered to promote their own social and economic development*
- *Development Objective 3: Inclusive, market-driven, environmentally sustainable economic growth*
 - *IR 3.1 increased household food security and resilience – primarily for the rural poor*
 - *IR 3.2 More resilient people and ecosystems in a green growth economy*
 - *IR 3.3 Increased public and private capital flows*
 - *IR 3.4 improved enabling environment for private sector investment*
 - *IR 3.5 private sector engagement in infrastructure development facilitated*

VI. Recommendations

As PREG prepares to enter a new period of growth, the partnership is well positioned to capitalize on its successes. The material outlined in this document provides options for PREG partners and USAID to make informed decisions on the future structure, operations, roles, and resources of PREG. Furthermore, the Kenya Mission can continue to serve as an example of innovation and collaboration, and incorporate the PREG system as a flagship program in the upcoming Country Development Cooperation Strategy (CDCS) for Kenya.

MAKING AN INFORMED DECISION

The table below (*PREG Decision Matrix*) allocates weighted values to priority attributes as indicated by PREG partners. Impartiality and USAID’s ability to maintain control were both recorded as highly valued (weighted as 1.5 or 21%), whereas ease of decision-making, institutional knowledge, additional cost, and ease of mechanism (“mind the gap”) were ranked evenly (weighted as 1 or 14%). Based on the considerations outlined in this document, USAID should explore pursuing options 1 A (Current IP Contract) and 3 (New Program) concurrently to minimize a gap in programming, and increase the long-term impact of PREG. While the weights and scores are estimates based on consultations, this decision matrix should be modified according to USAID’s agreed preferences. For instance, the Kenya Mission may indicate a strategic interest for a longer-term PREG program and decide that additional costs and a programming gap are not immediate concerns. In this instance, the ease of mechanism (“mind the gap”) attribute would be removed (or reduced below 14%), which would change the overall recommendation to develop a new program (Option 3).

PREG DECISION MATRIX

#	Option	Impartial 21%	USAID Control 21%	Ease of Decision -Making 14%	Institutional Knowledge 14%	Cost 14%	Ease of Mechanism (Mind the Gap) 14%	Total Score 100%
1 A	Current IP Contract	40	80	70	100	90	90	66
1 B	Current IP Agreement	40	40	70	100	90	90	57
2	Current Program	100	80	70	100	40	40	64
3	New Program	100	100	80	50	70	35	65
4	Multiple Partners	20	40	40	100	80	70	49
5	Donor Driven	70	100	70	80	60	20	59

VII. Annexes

The following section provides sample ToRs for PREG’s core components (USAID PREG Committee, National and County Secretariats, and Backbone Support). Additional ToRs are included for County Leads as well as sample indicators for Backbone Support. Annexes include:

- Annex I: USAID PREG Committee – Sample ToR
- Annex II: PREG National Secretariat – Sample ToR
- Annex III: PREG County Secretariat – Sample ToR
- Annex IV: PREG County Secretariat Agreement – Sample MoU
- Annex V: PREG County LEAD – Sample ToR
- Annex VI: PREG Backbone Support – Sample ToR
- Annex VII: PREG Backbone Support – Sample Indicators

ANNEX I: USAID PREG COMMITTEE – SAMPLE TOR

USAID PREG Committee: (Overall Leadership and Governance) – Sample ToR

Purpose and Mandate:

- Sets the overall guidance and strategic direction of PREG

Members:

- Resilience coordinator(s), AORs/CORs for programs, technical/program offices, GIS personnel, etc.

Individual Responsibilities:

Governance

- Coordinates with relevant AO/COs to ensure accountability
- Works with IPs and respective Chief of Party's (CoPs) to oversee contractual/agreement obligations;
- All PREG members agree to coordinate with Backbone Support initiatives

Planning

- Sets the agenda and overall direction of PREG; meets regularly with other AORs/CORs
- Coordinates with relevant AO/COs; Bureau of Policy, Planning, and Learning (PPL) and other back offices

Implementation

- Ensures partner compliance and fulfills USAID obligations as required per contracts/agreements
- Coordinates with the National and County Secretariats to drive PREG agenda; serves on Working Groups as needed
- Works with stakeholders to improve the Collaborating, Learning, and Adapting (CLA) process

Monitoring, Evaluation, and Learning (MEL)

- Coordinates with the Backbone Support to oversee MEL process of collective impact
- Establishes/oversees shared measurements within implementing partners
- Identify gaps in data collection; inform strategy and programming

Knowledge management

- Ensures that information system/knowledge management efforts are maintained
- Relevant GIS/mapping information is updated quarterly (or as agreed otherwise)

Meeting requirements:

- Attend monthly USAID PREG Committee meeting to discuss internal USAID coordination issues
- Attend monthly PREG National Secretariat Meeting (with PREG partners)
- Attend PREG learning events (e.g., needs assessment, joint work planning, joint monitoring visit, etc.) twice per year

Positions:

- Chair/Co-Chair of the USAID Coordination Meeting; Chair/Co-Chair of the PREG National Secretariat

Resources:

- Allocation of time/funding to attend PREG learning events especially when outside of Nairobi
- USAID staff dedicated to managing the PREG Secretariat
- Approximate commitment: 2-3 days per month

Recommendations/Considerations

- The COR/AOR of PREG's Backbone Support should serve as the Co-Chair of USAID PREG Committee meetings as well as the National Secretariat
- USAID personnel with direct oversight (AOR/COR) will increase the likelihood for streamlined efforts (these options are outlined in Section IV)
- Overall coordination efforts will require 1-2 staff members (staffing options may also include a CLA-related position)

ANNEX II: PREG NATIONAL SECRETARIAT – SAMPLE TOR

PREG National Secretariat – Sample ToR

Purpose and Mandate:

- Contributes to the overall strategy of PREG; oversees the work of the PREG County Secretariats
- Meets on a monthly basis discuss programmatic activity throughout the country, share best practices, and address areas for concern with IPs, government partners, and USAID officials

Members:

- Comprised of PREG partners: Chiefs of Party (CoP) and technical experts from IPs, Kenya government authorities such as the National Drought Management Authority (NDMA); USAID PREG Committee members participate as well.

Individual Responsibilities:

Governance

- Coordinates with relevant AOR/CORs to ensure accountability
- Approves governance structure for County Secretariat; approves and oversees County Lead positions
- All PREG members agree to coordinate with Backbone Support initiatives

Planning

- Develops national level plans; participates in joint planning analysis; shares information to ensure mutually informed project designs and procurement plans, evidence-based systems, and knowledge management plans
- Provides inputs to USAID for the Country Development Cooperation Strategy (CDCS) and other initiatives
- Coordinates with County Secretariats through a focal point designated as a “County Lead”; in addition, individual PREG partners coordinate directly with program staff in counties

Implementation

- Participates in National Secretariat meetings and relevant working groups; coordinates national activities
- Works with IPs and respective Chief of Party’s (CoPs) to sequence, layer, and integrate (SLI) programming
- Supports County Leads and County Secretariats to drive PREG agenda; supports training initiatives

Monitoring, Evaluation, and Learning (MEL)

- Works with stakeholders to improve the Collaborating, Learning, and Adapting (CLA) process
- Coordinates with the Backbone Support to identify gaps in data collection; supports county monitoring and reporting

Knowledge management

- Ensures that knowledge management and GIS mapping efforts are maintained and updated quarterly (or as agreed otherwise)

Meeting requirements:

- Attend monthly National Secretariat Meeting (with PREG partners); Attend County Secretariat meeting once per quarter
- Take part in PREG learning events (e.g., needs assessment, joint work planning, joint monitoring visit, and VIP visits) quarterly

Positions:

- Chair/Co-Chair of the PREG National Secretariat

Resources:

- Allocation of time/funding to attend PREG learning events especially when outside of Nairobi; Approximate commitment: 2-3 days per month; Budget requirements: IPs will host meetings on a rotational basis and share costs for tea/coffee

Recommendations/Considerations

- Chair/Co Chair: 1) USAID and 2) options for co-chair include:
 - Government official from relevant ministry/agency; active government leadership should be included as a goal
 - IP rotates by quarter (or depending on theme of the meeting); backbone Support may also serve as a co-chair
 - PREG should establish a memorandum of understanding (MoU) with government partners at the national level

ANNEX III: PREG COUNTY SECRETARIAT – SAMPLE TOR

PREG County Secretariat – Sample ToR

Purpose and Mandate:

- Implements PREG strategy in the counties; supports implementation of the County Integrated Development Plans (CIDPs)
- Meets on a monthly basis to discuss programmatic activity throughout the county, share best practices, and address areas for concern with IPs and government partners

Members:

Comprised of PREG partners: county leadership and technical experts from IPs, county government officials, and county representatives from the National Drought Management Authority (NDMA)

Individual Responsibilities:

Governance

- Nominates County Leads based on approved criteria; All PREG members agree to coordinate with Backbone Support initiatives

Planning

- Develops county level plans; participates in joint planning analysis; coordinates with officials to align CIDPs
- Coordinates with National Secretariats through a focal point designated as a “County Lead”. Individual PREG partners coordinate directly with program leadership in Nairobi

Implementation

- Participates in County Secretariat meetings and relevant working groups; coordinates county activities
- Works with IPs and respective county leadership to sequence, layer, and integrate (SLI) programming
- Supports County Leads and County Secretariat members to drive PREG agenda; participates in training initiatives

Monitoring, Evaluation, and Learning (MEL)

- Works with stakeholders to improve the Collaborating, Learning, and Adapting (CLA) process
- Coordinates with the Backbone Support to identify gaps in data collection; supports county monitoring and reporting

Knowledge management

- Ensures that knowledge management and GIS mapping efforts are maintained and updated quarterly (or as agreed otherwise)

Meeting requirements:

- Attend monthly PREG County Secretariat Meeting (with PREG partners)
- Take part in PREG learning events (e.g., needs assessment, joint work planning, joint monitoring visit, VIP visits, etc.) once per quarter or as needed

Positions:

- Chair/Co-Chair of the PREG County Secretariat: The County Lead serves as the Co-Chair

Resources:

- Allocation of time/funding and administrative resources to plan and implement PREG county activities
- Approximate commitment: 4-5 days per month
- Budget requirements: IPs will host meetings on a rotational basis and share costs for tea/coffee

Recommendations/Considerations

- Chair/Co Chair: 1) County Lead and 2) options for co-chair include:
 - Government official from relevant sector; active government leadership should be included as a goal
 - IP rotates every six-nine months; all County Leads receive an orientation training
 - Counties may opt to conduct an internal PREG application process for the position of County Lead
 - County Secretariat members will vote on County Leads and the National Secretariat will have final approval
 - PREG should establish a memorandum of understanding (MoU) with government partners at the county level

ANNEX IV: PREG COUNTY SECRETARIAT AGREEMENT - SAMPLE

PREG County Secretariat Agreement – Sample MoU¹⁵

Terms:

- As a member of the PREG (insert county name) County Secretariat, (insert organization) agrees to support PREG's vision to:

“Through collaborative activities and approaches in the ASAL areas of Kenya, USAID PREG partners will more effectively support the Government of Kenya to develop individuals, communities and systems resilience capacities resulting in sustainable reductions in humanitarian assistance needs, prevalence/depth of poverty, household hunger and acute/chronic under-nutrition.”

- As such (insert organization) agrees to support the following goals:
 - Provide strategic guidance, vision, and oversight for the PREG (insert location) County Secretariat
 - Integration of PREG activities within the County Integrated Development Plan (CIDP)
 - Development of collective impact goals within the county
 - Openness to share information and use data to inform strategy
 - Track progress of the work using agreed-upon common indicators
 - Communicate effectively with partners and government bodies
 - Interact with the County Lead and the Backbone Support on strategy, community engagement, and shared measurement
- Provide leadership:
 - Consider how my own organization can align with collective impact goals
 - Serve as a vocal champion of CIDP and PREG efforts in the county
 - Work to improve aid effectiveness and promote local engagement and accountability
- Play an active role by:
 - Participation at the regularly scheduled meetings; meet on a monthly basis to discuss programmatic activity throughout the county, share best practices, and address areas for concern with IPs and government partners
 - Review materials prior to meetings and prepare for discussion, active listening, and meaningful dialogue
 - Commit to participation in PREG Secretariat for one year

Confirmation of Agreement:

- (Insert organization) will be represented by (insert name) and (insert name) as an alternate in the PREG (insert county name) County Secretariat and be reached at the following contact details: (insert details).

¹⁵ This material builds on concepts found in “Tools for Steering Committees” from the Collective Impact Forum.

ANNEX V: PREG COUNTY LEAD – SAMPLE TOR

PREG County Leads– Sample ToR

Purpose and Mandate:

- Facilitates implementation of PREG strategy in the counties; supports implementation of the County Integrated Development Plans (CIDPs); shares responsibilities with Backbone Support at the county level
- Meets on a monthly basis to discuss programmatic activity throughout the county, share best practices, and address areas for concern with IPs and government partners

Members:

- The County Lead is chosen by the County Secretariat, approved by the National Secretariat; and also serves as the county representative for one of the PREG IPs

Individual Responsibilities:

Governance

- Responsible to County Secretariat and individual program's Chief of Party (CoP)

Planning

- Coordinates joint planning analysis; coordinates with officials to align programming with CIDPs
- Coordinates with National Secretariats through close coordination with the Backbone Support

Implementation

- Facilitates County Secretariat meetings and relevant working groups; coordinates county activities
- Works with IPs and respective county leadership to sequence, layer, and integrate (SLI) programming
- Supports County Secretariat members to drive PREG agenda; participates in training initiatives
- Coordinates implementation of a common agenda at the county (i.e., shared measurement, mutually reinforcing activities, continuous communication, and Backbone Support); facilitates training initiatives

Monitoring, Evaluation, and Learning (MEL)

- Works with stakeholders to improve the Collaborating, Learning, and Adapting (CLA) process
- Coordinates with the Backbone Support to identify gaps in data collection; supports county monitoring and reporting

Knowledge management

- Ensures that information system/knowledge management efforts are maintained
- Relevant GIS/mapping information is updated quarterly (or as agreed otherwise)

Meeting requirements:

- Facilitates monthly PREG County Secretariat Meeting (with PREG partners)
- Coordinates PREG learning events (e.g., needs assessment, joint work planning, joint monitoring visit, VIP visits, etc.) once per quarter or as needed

Positions:

- Chair/Co-Chair of the PREG County Secretariat

Resources:

- Allocation of time/funding and administrative resources to plan and implement PREG county activities
- Approximate commitment: 4-5 days per month

Recommendations/Considerations

- Chair/Co Chair: 1) County Lead and 2) options for co-chair include:
 - Government official from relevant sector; active government leadership should be a goal
 - Clarification needed if County Leads should apply for positions or be elected by County Secretariat and approved by National Secretariat

ANNEX VI: PREG BACKBONE SUPPORT – SAMPLE TOR

PREG Backbone Support – Sample ToR

Purpose and Mandate:

- Serves as the “switchboard” for communications between USAID and the implementing partners

Members:

- Third-party organization – Africa Lead II serves in the role of Backbone Support

Individual Responsibilities:

Governance

- The Backbone Support function holds little governance authority but plays a key role as the connective tissue between stakeholders at all levels. The organization reports to USAID and is responsible for initiatives that drive collective impact among PREG members

Planning

- Compiles implementation plans from County and National Secretariats; engages with USAID to develop guidance documents and standard operating principles; submits templates to USAID (or the Secretariat) for approval; provides templates to stakeholders; provides orientation to new PREG members, particularly the county lead
- Manages the provision of technical services (in-house, partner supported, or outside-contracted)
- Maintains open communication lines for PREG partners to share information

Implementation

- Participates in National Secretariat meetings and relevant working groups; coordinates county activities
- Works with IPs and respective County Leads to capture efforts to sequence, layer, and integrate (SLI) programming
- Coordinates implementation of a common agenda at national and county levels (i.e., shared measurement, mutually reinforcing activities, continuous communication, and Backbone Support); facilitates training initiatives

Monitoring, Evaluation, and Learning (MEL)

- Works with stakeholders to improve the Collaborating, Learning, and Adapting (CLA) process
- Coordinates with the County Leads to identify gaps in data collection; supports county monitoring and reporting
- Monitors overall progress towards coordination (common indicators), quality of performance, and lessons learned
- Drafts collective impact monitoring/reporting templates for USAID’s approval

Knowledge management

- Ensures that information system/knowledge management efforts are maintained and material is updated on shared drive
- Relevant GIS/mapping information is updated quarterly (or as agreed otherwise)
- Capture and consolidate partner recommendations; share information products with relevant stakeholders

Meeting requirements:

- Attend/facilitate National Secretariat meetings (1 per month); attend county events as required (once per quarter in each county); Coordinate PREG learning events (e.g., needs assessment, joint work planning, joint monitoring visit, VIP visits, etc.) once per quarter in each county or as needed

Positions:

- Chair/Co-Chair of the PREG National Secretariat: The Backbone Support organization can serve as a Co-Chair is nominated by the Secretariat

Resources:

- Multiple positions required; approximate commitment: full time
- Chair/Co Chair: Backbone Support may be elected to serve as a Co-Chair at the National Secretariat

ANNEX VII: PREG BACKBONE SUPPORT – SAMPLE INDICATORS

PREG Backbone Support – 30 Sample Indicators ¹⁶	
Guide vision and strategy	<ul style="list-style-type: none"> • Partners accurately describe the common agenda • Partners publicly discuss / advocate for common agenda targets • Partners' individual work is increasingly aligned with common agenda • USAID PREG Committee and key leaders increasingly look to Backbone Support for strategic guidance and leadership
Support aligned activities	<ul style="list-style-type: none"> • Partners articulate their role in the initiative • Relevant stakeholders are engaged in the initiative • Partners communicate and coordinate regularly <i>with and independent of</i> Backbone Support • Partners report increasing levels of trust with one another • Partners increase scope / type of collaborative work • Partners improve quality of their work • Partners improve efficiency of their work • Partners feel supported and recognized in their work
Establish shared measurements	<ul style="list-style-type: none"> • Shared data system is in development • Partners understand the value of shared data • Partners have robust / shared data capacity • Partners make decisions based on data • Partners utilize data in a meaningful way
Build public will	<ul style="list-style-type: none"> • Government and community members are increasingly aware of issues • Government and community members express support for initiatives • Government and community members feel empowered to engage in issues • Government and community members increasingly take action
Advance policy	<ul style="list-style-type: none"> • Target audience (e.g., influencers and government) is increasingly aware of initiatives • Target audiences advocate for changes to the system aligned with initiative goals • Public policy is increasingly aligned with initiative goals
Improve systems¹⁷	<ul style="list-style-type: none"> • Shared decision-making and accepted improvements to PREG governance structure • Increased knowledge, skills, values, and motivation among partners • Collaboration/alignment among cross-sector partners who have not historically worked together • Alignment of existing resources leveraged to support initiative goals • Formal and informal policies support initiative goals • Stronger cultural competence among partners

¹⁶ This material has been modified from “27 Indicators for Backbone Effectiveness” by FSG & Greater Cincinnati.

¹⁷ This material has been modified from “Measuring Backbone Contributions to Collective Impact.” [Stanford Social Innovation Review](#). Oct 2013.