



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 Water Window
Call for Concept Notes*

March 2016

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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 this vicious cycle, The Rockefeller Foundation, the U.S. Agency for International Development (USAID), and the Swedish International Development Cooperation Agency (Sida) have pioneered the Global Resilience Partnership (Resilience Partnership). The Resilience Partnership operates 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 fosters new alliances and drives 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.

Potential teams are encouraged to learn more about the Global Resilience Partnership at <http://www.globalresiliencepartnership.org>.

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.

The Zurich Flood Resilience Program defines flood resilience as, “The ability of a system, community, or society to pursue its social, ecological, or economic development and growth objectives, while managing its disaster risk over time, in a way that contributes to sustainable growth and helps to mitigate disaster risk.”

THE GLOBAL RESILIENCE CHALLENGE WATER WINDOW

The Global Resilience Challenge (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 Water Window Challenge are two-fold: to promote water 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.

Zurich Insurance Group and their Z Zurich Foundation have partnered with the Resilience Partnership to support the Challenge Water Window addressing resilience issues of Flood Prone Communities in the Sahel, the Horn of Africa, and South and Southeast Asia, and building on synergies with the existing work of the Resilience Partnership, the Challenge, and the Zurich Flood Resilience Program (ZFRP).

'Qualifying submissions need to fully embrace the concept of (flood) resilience to shocks and stresses in terms of human, financial, natural, social, and physical capital. This helps us move beyond preparedness.'

The Concept Notes should offer solutions to address real issues affecting flood prone communities and ideas that include a focus on one or more of the following programmatic features of the Resilience Partnership:

- Technology;
- Innovative financing, including risk transfer mechanisms;
- Measurement and diagnostics (e.g. diagnostic tools that provide a platform for data analysis, sharing, and storage);
- Policy and influence; and
- Learning and innovation (e.g. community practices that enhance awareness, community transformation, education, engagement, female empowerment, and action orientation).

Innovation will be defined as “New ideas, new solutions, or the adaption of an existing solution/technology to work in a flood prone community. The supported solutions must address a real need and/or problem as brought out in an analysis applying the resilience concept (brought out already before the submission and thus referencing this need, or as identified in an assessment stage of the winning project), and should have real potential to be brought to scale, contextualized, and applied in other settings.

Concept Notes will be evaluated in two pools:

- Seed grants (up to \$250,000) – tailored to local organizations to invest in new ideas
- Scaling-up grants (up to \$1,000,000) – tailored to larger organizations to bring new ideas or adapted ideas to scale

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 two stages:

- **Stage One: Teams for Flood 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 Concept Note that describes the direction the Resilience Team will take in their Stage Two Implementation, if selected. 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 (up to 20 Finalist Resilience Teams). Finalist Resilience Teams will be selected based on their team composition and the quality of the Concept Note submitted. Finalist Resilience Teams selected during Stage One will be required to submit a detailed proposal and refined budget in Stage Two.

- **Stage Two: Action for Flood Resilience – Implementation**

Proposal and Implementation Plans will be evaluated by the Resilience Partnership Selection Committee and technical assistance will be provided to the Resilience Teams to refine and enhance the potential success of their plans. The Resilience Teams will be eligible for monetary awards of either 1) up to US\$ 250,000 for seed grants, or 2) up to US\$ 1.0 million for scaling-up grants, for the Stage Two implementation of their Proposal to be used for building resilience to the identified problem. The actual form and amount of awards will be determined at the discretion of the Resilience Partnership Selection Committee. Finalist Resilience Teams selected to proceed to Implementation will be required to provide a Detailed 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.

The Resilience Partnership will require a final impact assessment plan from the Resilience Teams. 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 Two 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).

Selection criteria for the Stage One competition are provided in Part V, and will consider 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.

Grant awards will be made in Stage Two 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.

II. TEAMS FOR FLOOD RESILIENCE

A Resilience Team is a group of at least two different 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”).

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

Team Lead Organizations

The responsibilities of the Team Lead include:

- a. Entering into an agreement with the Resilience Partnership Representative;
- b. Receiving all grant awards in the form of payments from the Resilience Partnership Representative;
- c. Dispersing funds to Team Members as per the sub-agreements between the Team Lead and each Team Member;
- d. Convening and organizing their Resilience Team to fulfill the obligations of the Challenge; and
- e. Submitting all required reports to the Resilience Partnership Representative in accordance with the signed agreement.

Potential Team Lead organizations include U.S. and non-U.S. foundations, NGOs, faith-based organizations¹, 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.

Team and Team Members

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.

- 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

¹ Programs may not discriminate amongst beneficiaries on the grounds of religious belief or require participants and/or beneficiaries to subscribe to a set of religious beliefs in order to receive assistance. Programs promoting religion or requiring beneficiaries to belong to a particular religion will not be eligible.

organizations) on each team is strongly preferred, particularly for seed grants. Teams should include partners and/or offices in the target Resilience Partnership regions.

- All teams selected to participate in the Challenge must continue to meet these requirements at all times 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 from at least two different sectors, 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).

Awards may not be made if any Team Member is on known trade and/or economic sanctions lists, or that is from, or with a principal place of business in, a country subject to trade and economic sanctions.

Team members may not include employees of The Rockefeller Foundation, The United States Agency for International Development (USAID), The Swedish International Development Cooperation Agency (Sida), Zurich Insurance, and the Z Zurich Foundation, 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.

III. 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, inhabitants are increasingly facing a cycle of extreme drought and flooding. Collectively, these events destroy houses, rendered people homeless and hungry, and result in cash losses and damage to infrastructure. Sahel residents view the flood problem as driven primarily by land use patterns and significant climatic variability. Ruined harvests caused crippling food shortages that put more than half of the population at risk of going hungry in the spring and the number of those who routinely lose crops, cattle, or houses in such floods has been rising steadily since 2005.

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, and famine. These events impact food security, agricultural and livestock assets, and economic development. Flooding puts people's health at major risk with a combination of displacement, living in crowding conditions, lack of clean safe water, the destruction of sanitation systems, and limiting access to roads and transportation. Flooding also has negative impacts in agriculture and food production, including soil erosion, damage to crops and infrastructure, reduced market access caused by flooding, increased morbidity due to increases in human waterborne diseases, and increased livestock mortality due to disease

In 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. Nowhere is the threat from sea-level rise as prominent as it is in Asia, especially for low-lying coastal areas in South and Southeast Asia, including small island developing states in the Pacific, which are highly vulnerable to storm surges, coastal erosion, flooding, and inundation. Sea level rise threatens to displace millions of people, causing the loss of millions of acres of arable land due to encroaching seawater and increased salinity, and billions of dollars in economic costs for infrastructure, industries, coastal zones, and agriculture in the region.

IV. TIMELINE: FROM LAUNCH TO IMPLEMENTATION

The timeline and process for the multi-staged Challenge are presented visually below.

Stage One: Teams for Flood Resilience



March 29, 2016—August 31, 2016

- March 29, 2016 – Call for Teams and period for initial questions opens.
- April 15, 2016 – Period for initial questions ends on Call for Teams.
- May 8, 2016 – Application deadline.
- May 9, 2016 through August 15, 2016 – Applications evaluation and assessment; selection of finalists.
- End of August 2016 – Public announcement of selected Finalist Resilience Teams.

Stage Two: Action for Flood Resilience



Begins end of September 2016

- September 30, 2016 – Finalist Resilience Teams submit Proposals and detailed budgets
- October 2016 / December 2016 – Selection of Award Winners and on-going Proposal Refinement
- January 2017 – Initial awards are made. The amount of each award will be based upon approved budgets submitted by the teams and agreed during the grant negotiation process.
- Stage Two funds will be used to implement selected solutions and reporting thereon for a period not to extend past 31 July 2018.

V. SELECTION CRITERIA FOR STAGE ONE

Flood Pillar Criteria:

Teams must have understanding of flooding work either on its causes, adaptation, or managing its risks and consequences in a more resilient method. The Concept Notes and Proposals will be scored based upon the following criteria:

- 1. (15%) Understanding of flood resilience**
 - a. (5%) Applicants must demonstrate a basic understanding of the drivers of community resilience to floods
 - b. (10%) Applicants must demonstrate an understanding of the economic, environmental, social, and technical aspects of flood risk reduction, management, and recovery
- 2. (15%) Clarity of the proposal**
 - a. (10%) Applicants must clearly set out the proposed outcome and how it will be achieved
 - b. (5%) Applicants must use a multidisciplinary and collaborative approach to problem and development of potential solutions including commitment to participatory design and public engagement.
- 3. (20%) Innovation**
 - a. (10%) Applicants must demonstrate how the proposal is innovative? What is new?
 - b. (10%) Applicants must illustrate how the proposed intervention will add to learning and knowledge in resilience.
- 4. (15%) Focus on inclusive communities**
 - a. Applicants must clearly identify how inclusion challenges, such as poverty, gender, and vulnerability considerations, are addressed in the proposal
- 5. (5%) Risk analysis and prevention of harmful effects**
 - a. Applicants must discuss how flood resilience can truly be achieved without hampering other resilience or capabilities?
- 6. (20%) Development Impact**
 - a. Applicants must discuss the size and breadth of the developmental impact. How many people will be made resilient and at what cost?
- 7. (10%) Potential for wider impact**
 - a. Applicants must demonstrate how the choice of approach, practice, and technology is scalable and replicable in the proposed region? And how will this be achieved, e.g., could there be a role for the private sector?

In addition, all Concept Notes and Proposals must successfully address team capacity, experience, and composition; value for money approach; feasibility of the implementation plan with respect to budget and timelines; as well as any anticipated effects on the environment from the proposed activities.

VII. SUBMISSION REQUIREMENTS

A. Application Components

Applicants must address the following in their Stage One applications (up to a maximum of 8 single-sided pages, plus Letters of Commitments and Team Members' resumes or C.V.s).

1. List of Team Members (1 page): Must 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. Concept Note (5 pages): Concept Notes should clearly identify the team's selected region and their topic of interest for implementation and/or scale-up in Stage Two. 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. Type of Grant: Is your team applying for a seed grant or a scale grant (choose only one)?
 - b. Priorities: What are the critical and unaddressed barriers to building resilience to acute shocks and chronic stresses related to flood prone communities in your region? What evidence substantiates this initial assessment? What innovative idea or solution does the team propose to help flood prone communities reduce their exposure to flood risks and to increase their ability to grow successfully in the face of uncertainty?
 - c. Objectives: How would addressing these priorities and barriers contribute to building flood resilience (beyond preparedness) in the chosen region? What is the potential scale and scope of social impact were the barriers to be overcome? How do inclusion challenges, such as poverty, gender, and vulnerability considerations, effect the proposed solution?
 - d. 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. Budget: Using the Budget Template, the Budget should describe Stage Two proposed spending on the Implementation Plan.
 - a. Seed grants: Up to \$250,000 (budget template plus up to 1 page of assumptions)
 - b. Scaling-up grants: Up to US\$ 1,000,000 (budget template plus up to 1 page of assumptions)
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 midnight EDT on 8 May 2016.
2. All applications must be submitted in English and in PDF format.
3. Applications must not exceed 8 single-sided pages, including text, images, and/or drawings. Applications exceeding the page count requirements will not be considered.
4. Text must be in 11-point font size and file size cannot exceed 10 megabytes.
5. Applications must be uploaded to <http://waterwindow.globalresiliencepartnership.org/>. Emailed or 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 'Teams for Flood Resilience'. 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, Concept Notes, 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 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 Water Window 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 Water Window website, <http://waterwindow.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 Concept Notes, Proposals, and 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 Zurich Insurance and the Z Zurich Foundation, The United States Agency for International Development (USAID), The Rockefeller Foundation, The Swedish International Development Cooperation Agency (Sida), the Global Resilience Partnership, and the Global Resilience Challenge or Global Resilience Challenge Water Window 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 English version and future versions in any other language(s).

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.