

**Request for Applications (RFA)  
USAID Effective Water Sanitation and Hygiene Services (E-WASH Program)  
“Civic Advocacy and WASH Stakeholders Engagement Grant”**

**RFA# E-WASH-Partnership-2020-001**

**I. Purpose for Funding Opportunity**

The purpose of the partnership grant is to encourage participation and collaboration with partner State Water Boards (SWBs) toward approaches to support WASH service delivery. The grants will support local entities (CSOs, CBOs, Associations, etc.) that have a coherent plan to achieve on of the following:

- enhance social accountability and institutional transparency within water utilities;
- promote, organize or enhance urban water or sanitation service delivery;
- enhance advocacy and strategic communication efforts to spur transformational change in the sector;
- use behavior change communication to promote key hygiene behaviors; or
- engage in other related sector themes that help achieve E-WASH contract objectives.

The partnership grant will be awarded in combination with technical assistance, training, and/or other inputs toward achievement of specific objectives that respond to expressed local needs in and contributes to achievement of stated expected results in E-WASH partner states. At the time of issuances, these states are: Abia, Delta, Imo, Niger and Taraba. Opportunities for leveraged funds, is encouraged, which are expected to be higher from a private sector partnership with local CSOs.

Issuance of this RFA does not constitute an award, a commitment on the part of RTI or USAID nor does it commit to pay for costs incurred in the submission of an application. In addition, this RFA is not intended to replace any current or future funding agreements organizations may have with any government department.

**II. Summary**

1	Date of Announcement	August 7, 2020
2	Issuing Office	RTI International – USAID E-WASH head office, Abuja Nigeria
3	RFA to be submitted by email to:	<a href="mailto:grants@ewash.rti.org">grants@ewash.rti.org</a>
4	Submission deadline	September 5, 2020 (Batch Two)
5	Notification of Selection	October 6, 2020 (Batch Two)
6	Submission Method	Documents must be submitted electronically in English
7	Anticipated awards	Twenty-Five (25) grants across five (5) states.
	Funding amount for each award (estimated maximum)	Up to 150,000 USD
8	Duration of award	One (1) year with potential for extension
9	RFA Q & A Due	August 28, 2020

**III. Problem Statement**

The USAID Effective Water, Sanitation, and Hygiene (E -WASH) Program works in five states: Abia, Delta, Imo, Niger, and Taraba states. For this award, E-WASH is seeking partners to engage directly with relevant state water boards (SWBs), communities and/or stakeholders **to improve transparency and accountability of the utilities and their provision of water services to their urban populations.** Through increased pressure from the demand side (e.g. customers via civil society organizations), the E-WASH Program believes urban water supply services can be improved.

#### **IV. Background: The USAID E-WASH Program**

As part of the U.S. Government's (USG's) efforts to address gaps in urban WASH services in Nigeria, United States Agency for International Development (USAID) Nigeria is improving urban water service delivery by strengthening the governance and financial and technical viability of five State Water Boards (SWBs) in Nigeria. These efforts align with the USAID Water and Development Strategy 2013/2018 Strategic Objective to improve health outcomes through the provision of sustainable Water, Sanitation and Hygiene (WASH).

They also align with the USAID/Nigeria Country Development Cooperation Strategy (CDCS) strategies to:

- Strengthened good governance
- Improved responsiveness of selected government institutions
- Increased capacity for civic advocacy, monitoring and engagement

The USAID E-WASH Program is part of USAID's wider efforts to build closer coordination with the Government of Nigeria (GON), including the Federal Ministry of Water Resources (FMWR), select State Water Board (SWBs), and allied stakeholders, to advance broad-based economic growth and resilience through improved WASH services in urban areas.

The overall objective of the USAID E-WASH Program is to assist the GON to expand and improve urban water service delivery by strengthening the governance and financial and technical viability of select SWBs in Nigeria. The USAID E-WASH Program recognizes that, for the desired reforms to take place citizens' engagement, citizens' participation, advocacy and mobilization of agencies must be reformed and strengthened. The USAID E-WASH Program will work toward achieving the following mutually reinforcing objectives:

- Create professionally managed and commercially oriented SWBs.
- Improve the financial and operational viability of SWBs.
- Strengthen policy, institutional, and regulatory frameworks for improved WASH services.
- Build national and state WASH advocacy, coordination, and communications for reform.

#### **V. E-WASH Theory of Change**

Increased access to sustainable WASH services will only be achieved in urban areas within Nigeria when SWBs undergo a reorganization process to develop professional and commercially oriented practices that enable them to operate efficiently as commercial entities. They must have autonomous, accountable, and transparent management and strengthened corporate governance with clear priorities for effective and inclusive service provision. Well-functioning SWBs must have performance-based contracts, good monitoring capabilities, trained personnel, cost recovery, a proper tariff structure, and asset maintenance management systems. Creating good corporate governance in SWBs is essential to increase access to sustainable water services.

E-WASH targets urban WASH challenges, especially at the water board or utility level, building from five key assumptions:

- The state governments that own the water boards will be committed to reform efforts.
- Governance improvements in the water boards will be strengthened by state governments' motivation and willingness to entrench corporate structure in the water boards.
- The state governments are committed to adjust tariffs in terms of both cost recovery and affordability.
- Broad-based stakeholder engagement, effective civil society engagement, and accountability mechanisms are necessary to monitor and advocate for reform.
- USAID can continue to work effectively with other development partners, particularly the World Bank and African Development Bank, to achieve meaningful scale and impact; and
- USAID's efforts will catalyze governance improvements within the SWBs.

## VI. Partnership Grant Program Objectives:

As referenced above, to achieve sustainable WASH services in urban areas, there is a strong need for increased stakeholder engagement, especially through civil society engagement. This grant is targeting organizations, as defined for this request, which may help to achieve, at minimum, **one** of the following objectives:

- a) **Improve access to pipe borne water.** Applicants propose ways to support and monitor implementation of the partner SWB's customer strategy to increase active connections that are inclusive (Gender, Equity and Social Inclusion sensitive), by proposing specific strategies for improving willingness to connect and willingness to pay. This may include advocacy for policy change and citizen compliance.
- b) **Strengthen transparency, integrity, and accountability in water supply.** This requires a holistic approach that focuses on reforming the utility by developing and implementing accountability strategies both at the utility and sectoral level. Applicants will propose strategies for adequate sector organization toward improved utility and relevant ministries' responsiveness to transparency and accountability measures in provision of raw materials (such as chemicals and related input), and other USAID-supported equipment provided through the E-WASH Utility Support Fund. Applicants are also encouraged to propose inclusive strategies toward strengthening existing sectoral regulation, improving access and service quality for the urban poor, pro-poor tariffs and, transparent financial performance of the water utility.
- c) **Reduction of Non-Revenue Water (NRW).** Tackling NRW reduction successfully goes beyond technical measures such as metering, maintenance, accurate billing and vigilant revenue collection. There are social issues to consider such as understanding and addressing wayward community behavior that leads to illegal connections, pilferage and wastage. This is done with the understanding that water loss is not just an engineering problem but also reflects a sociocultural situation that requires changes in community behavior and attitudes toward water usage. Applicants will propose feasible strategies for NRW reduction in urban communities serviced by our partners states' water utilities.
- d) **Sanitation and Hygiene Promotion.** The provision of safe water, sanitation and hygienic conditions is essential to protecting human health during all infectious disease outbreaks, including the COVID-19 outbreak. Applicants will propose strategies to ensuring good and consistently applied WASH practices in communities, homes, schools, marketplaces, and health care facilities to further help to prevent human-to-human transmission of the COVID-19 virus and other infectious diseases.

To achieve one of the above program objectives, a successful grantee is expected to deliver a clear technical approach of how they will use a combination of advocacy, coordination, strategic communications and engagement across stakeholder groups to promote WASH sector reforms, accountability, and social transparency. The technical approach should clearly detail their strategy, with which demographics or populations will it target, and the means of implementing. The following sections detail the specific eligibility and application requirements.

Potential applicants are also informed that, if successful in their application, they will be expected to participate in the USAID E-WASH Program's communication advocacy approach, monitoring and evaluation program, engagement tools with SWBs, reporting and capacity development activities. Furthermore, they will be eligible to receive capacity building support directly through E-WASH as well as other affiliated organizations.

## VII. Expected Results and Performance Indicators

Anticipated results for this grant may include, but are not limited to;

1. WASH reforms that improve access to improved water supply and sanitation are introduced, adopted, repealed, changed, or implemented in SWBs.
2. WASH sector reforms, accountability, social transparency, policies, and institutional and regulatory frameworks at the SWB and national levels promoted through advocacy, coordination, and strategic communications.
3. Accountability and social transparency of SWBs are enhanced

Funded recipients will be expected to comply with E-WASH reporting requirements, including the reporting of grant activities, numbers of individuals reached, documentation of lessons learned, and evidence of organizational networking. All projects will submit monthly and annual narrative and financial reports. Feedback will be provided to grantees on reports submitted (monthly reporting will be revised to quarterly reporting for CSOs that demonstrate effective reporting standards)

### **VIII. Minimum Eligibility Criteria.**

**Applicants must meet the following minimum eligibility requirements to qualify for funding under this RFA:**

- Be legally registered in Nigeria
- Have physical space to conduct their activities.
- Have a proven track record of successful implementation of projects in the state.
- Have been active for at least 3 years operating within their sector and respective state.
- Have three (3) or more full time or part time members of staff.
- Be directly responsible for the preparation and management of the project, not acting as an intermediary/consultant.
- Be willing to comply with all technical and financial requirements for participation in the program, including reporting and documentation of project activities, communication strategy and capacity development opportunities.
- Be willing to participate in assessments, trainings, workshops, or other activities considered important for achieving project goals and strengthening organizational capacity
- Be eligible to receive awards from the United States Government.

### **Application content must include:**

- a. Completed Application Cover Sheet with project title; organization name and contact information including contact person, address, telephone, fax, and email address
- b. Executive Summary (not to exceed 1 page)
- c. Completed and signed Grant Application Form
- d. Program description. See instructions in the Grant Application Form (10 pages maximum)
- e. Implementation Plan. See Application Form. (2 pages)
- f. Monitoring and evaluation plan. See application Form (2 pages)
- g. Sustainability Plan. Describe how project activities will be sustained beyond E-WASH funding. (1 Page)
- h. Budget and Budget Narrative. See instructions on Grant Application Form.
- i. Completed Organizational Control Environment Questionnaire (Attachment A)
- j. Past Performance. See instructions in the Grant Application Form.
- k. Anti-Terrorism Certification. See instructions on Grant Application Form.
- l. Proof of registration in Nigeria.

### **IX. Selection Process:**

- a. Screening: This is the initial assessment of applications to eliminate the applications that do not

- meet the minimum eligibility criteria.
- b. Technical Evaluation: This is the in-depth review of applications by the technical evaluation committee
  - c. Final approval by RTI International and USAID

#### **X. Closure and Audit**

Upon completion of the project, the recipient will provide all required final progress, performance, and financial reports.

#### **XI. Evaluation Criteria**

All applications meeting the minimum eligibility requirements and conformance to the requirements of this RFA will be evaluated by a technical evaluation committee. The following evaluation criteria and scoring will be used for review and weighted in favor of results-oriented programs. The evaluation criteria and the points to be awarded include:

##### **A. Technical Approach** **45 points**

- a. *Advocacy and WASH stakeholder engagements* – 10 points
  - The application demonstrates how the project will support civic advocacy and WASH stakeholder engagement, coordinate with government and other WASH service providers (including private sector) managing gender inequities related to access to WASH services and navigate the environment in the chosen state to ensure effective advocacy interventions, the application has clear targets e.g. How many people will the program serve – women, men, girls and boys? What percentage of the population will have physical access to services? The application has clear geographic focus.
- b. *Strategic Communications* – 5 points
  - The application demonstrates how the project will use strategic communications to promote institutional change at the utility level through strategic communications activity, develop the appropriate means of building understanding and generating support for the reforms among stakeholders and, facilitate knowledge sharing, learning and adaptation.
- c. *Building Engagement Strategies with SWBs to Monitor Performance* – 10 points
  - The application demonstrates how the project will use advocacy and stakeholder engagement tools such as Letters, briefing materials, reports of organizational capacity building workshops, Quarterly progress reports and community meetings reports to monitor progress. Support and involve urban WASH community of practice and networks in the design, implementation and monitoring of activities.
- d. *Demonstrated linkages to ongoing programs and commitment to target urban populations and communities* – 10 points
  - The application should describe how the program will support and involve urban WASH community of practice, key WASH stakeholders and networks in the design, implementation and monitoring of activities. The application should highlight the background and experience of the organization working with target communities in E-WASH States; knowledge of gaps in service provision including gender gaps and ability to fill these gaps. Applications should also describe potential synergies with other services, including government, community and private sector actors.
- e. *Sustainability plan* – 10 points
  - The application should demonstrate how the grant is structured to increase the sustainability of the organization, highlighting steps to be taken to facilitate additional funding for related activities beyond the life of this project.

##### **B. Monitoring and Evaluation** **20 points**

- a. *Monitoring and Evaluation* – 30 points
  - The application should have a clear set of relevant, reliable and valid milestones that are aligned to meeting the indicators above. There should be clear description of the applicant's MEL

structure that will inform a robust data management from methods of data collection and reporting. Additionally, the application should include a plan to use this data for reflection on programmatic gaps to improve service delivery. The application should explain the program measures for performance and outcome reporting.

**C. Organizational capacity and past performance**

**25 points**

a. *Personnel and Organizational* – 15 points

- The application should demonstrate that the proposed key personnel (males and females) who will manage the project have relevant training, WASH expertise and understanding and experience of WASH community dynamics. An outline of the organization structure and program management approach should be included.

b. *Past performance on similar programs* – 10 points

- The application should describe past experiences in the implementation of advocacy intervention initiatives that promote accountability and social transparency. Past performance will be measured upon the quality of service (including consistency in meeting goals and targets, effectiveness in solving problems); cost control (including forecasting costs as well as accuracy in financial reporting); timeliness of performance (including adherence to schedules and effectiveness of office management to make prompt decisions and ensure efficient operation); client satisfaction; effectiveness of key personnel; and proven experience managing proposed funding amounts.

**D. Cost Effectiveness**

**10 points**

a. *Cost Effectiveness* – 10 points

- Cost application will be evaluated based on the principles of allowable and reasonable. This will consist of a review of the cost portion of the Applicant's proposal to determine if the overall costs proposed are realistic for the work to be performed, if the cost reflects the Applicants' understanding of the requirements, and if the costs are consistent with the Technical Application. Evaluation of the Cost Application will consider but not be limited to the following:
  - Cost reasonableness
  - Cost effectiveness
  - Are the budget estimates realistic for the proposed activities?
  - Do the budget allocations result in optimal use of project funds and ensure that there are sufficient resources to implement the proposed project activities?
  - Completeness and adequacy of proposed budget information
  - Overall cost control/cost savings evidenced in the proposal (avoidance of excessive salaries and staffing, excessive office visits, and other costs in excess of reasonable requirements).

**Grant Application Form Instructions:**

1. All applicants are required to complete and submit this application form.
2. All the attachments (A to E) referenced in this application are required parts of the application and must be attached to the completed application form. Therefore, a complete application should consist of this form and all the attachments.
3. By signing and submitting this application, the applicant attests to the Anti-Terrorism Certification in item 14.
4. Applicants must complete only Part I (items 1-14) and submit all the required attachments Part I – Application – All applicants must complete ALL of Part I.

1. Date of application:	
2. Name of applicant:	
3. Address of applicant:	
4. DUNS Number: (instruction attached)	
5. Names and titles of officer(s) authorized to represent the applicant and his/her alternate: a. Authorized Officer: b. Alternate:	
6. Proposed period of performance:	
7. Proposed budget:	
Signature/Name/Title	

8. Executive Summary (No more than 1 Page) and a Program Description (No more than 10 pages, excluding required attachments detailed below) (Required). Applicants are required to submit the **Program Description** that includes **Implementation Plan, Sustainability Plan, and Monitoring and Evaluation Plans** as **Attachment A** to this application.

The applicant must describe in detail the program of activities proposed to be supported by the grant. The program description must be results-oriented and demonstrate likely success in achievement of the stated indicators. Result is a significant, intended, and measurable change in the condition of the beneficiary, or a change in the host country, institutions, or other entities that will affect the beneficiary directly or indirectly. Clear identification of the beneficiaries, their number, location, and anticipated benefits that they will receive. *What are the intended results (i.e., changes in conditions)?*

9. Implementation Plan (Required). An excellent implementation plan should show how the anticipated results would be achieved. What activities, processes, or strategies are essential to achieve the results? Why will the planned work lead to the intended results? What is the anticipated timetable for the achievement of the results?

10. Sustainability Plan (Required). Describe how project activities will be sustained beyond funding. (No more than 2 Page)

11. Monitoring and Evaluation Plan (Required). An excellent Monitoring and Evaluation Plan should contain a set of indicators that would permit continuous measurement of progress toward targeted results. *For each result, what is the performance indicator? What is the baseline data? What is the performance target? What is the timetable for achieving results? For each performance indicator, what is the definition and what is the unit of measurement? What are the plans for reporting and using the performance information?*
12. Budget and Budget Narrative (Required). Each application must contain a **detailed line item budget** presented in MS Excel accompanied by a **budget narrative** explaining all costs. Lump sum budgets will be considered non-responsive and will be rejected. An acceptable budget will have all costs broken out by unit costs and should clearly show the number of units used for each line item. Each line item should identify the type of cost, e.g., labor units, units of materials and/or equipment, travel, transportation, communications, etc. The narrative will describe how the applicant arrived at each unit cost and the number of units for each line item.
- **Direct Labor**. The applicant must propose direct labor costs for each person providing direct support to the work requirements set forth in the Program Description. The budget must include the name of the person, position, direct salary rate and the number of direct labor hours that each person will perform in support of the solicitation requirements.
  - **Direct Costs** All travel estimates, material/equipment purchases, consultants and any other direct costs shall be separately identified, detailed, and reasonably supported by market rates and/or historical costs.
  - The budget must be in Nigerian Naira.
  - Applicants are required to submit the **Budget and Budget Narrative** as **Attachment B** to this application.
12. Organizational Control Environment Questionnaire (Required). All applicants are required to complete the questionnaire attached to this application. U.S. Agency for International Development (USAID) regulations require RTI International (RTI) to obtain information from all applicants in order to determine an applicant's ability to comply with prescribed standards for (a) financial management, (b) property management, (c) procurement, and (d) reports and records. Please answer all questions to the best of your ability; do not leave blanks. Failure to provide the necessary information may cause your application to be rejected.
- Applicants are required to submit the completed **Organizational Control Environment Questionnaire** as **Attachment A** to this application.
13. Past Performance References (Required). All applicants are subject to a past performance reference check. Applicant should provide the contact information for partners (international donor, government department, private donor, other organization) with whom the applicant has worked in the last three (3) years, in the implementation of a similar program. The reference information shall include the procuring/financing organization, location, current telephone or e-mail information, points of contact, award number if available, dollar value of activity, and brief description of work and dates performed.



Contact Name/Organization	Award (Number, value, brief description).	Address	E-mail	Telephone
(1)				
(2)				
(3)				

14. **Anti-Terrorism Certification (Required).** It is **a mandatory requirement** by USAID and a condition of award that the applicant must certify that it does not support terrorism. Applicants unable to submit this signed certification will not be eligible for an award.

**By signing and submitting this application, the applicant provides the certification set out below:**

- I. The applicant, to the best of its current knowledge, did not provide, within the previous ten years, and will take all reasonable steps to ensure that it does not and will not knowingly provide, material support or resources to any individual or entity that commits, attempts to commit, advocates, facilitates, or participates in terrorist acts, or has committed, attempted to commit, facilitated, or participated in terrorist acts, as that term is defined in paragraph 3.
- II. The following steps may enable the applicant to comply with its obligations under paragraph
  - a. Before providing any material support or resources to an individual or entity, the applicant will verify that the individual or entity does not (i) appear on the master list of Specially Designated Nationals and Blocked Persons, which list is maintained by the U.S. Treasury's Office of Foreign Assets Control (OFAC) and is available online at OFAC's Website: <http://www.treas.gov/offices/eotffc/ofac/sdn/tl1sdn.pdf> , or (ii) is not included in any supplementary information concerning prohibited individuals or entities that may be provided by USAID through RTI.
  - b. Before providing any material support or resources to an individual or entity, the applicant also will verify that the individual or entity has not been designated by the United Nations Security (UNSC) sanctions committee established under UNSC Resolution 1267 (1999) (the "1267 Committee") [individuals and entities linked to the Taliban, Usama bin Laden, or the Al Qaida Organization]. To determine whether there has been a published designation of an individual or entity by the 1267 Committee, the Recipient should refer to the consolidated list available online at the Committee's Website:<http://www.un.org/Docs/sc/committees/1267/1267ListEng.htm>.
  - c. Before providing any material support or resources to an individual or entity, the applicant will consider all information about that individual or entity of which it is aware and all public information that is reasonably available to it or of which it should be aware.
  - d. The applicant also will implement reasonable monitoring and oversight procedures to safeguard against assistance being diverted to support terrorist activity.
- III. For purposes of this certification
  - a. "Material support and resources" means currency or monetary instruments or financial securities, financial services, lodging, training, expert advice or assistance, safehouses, false documentation or identification, communications equipment, facilities, weapons, lethal substances, explosives, personnel, transportation, and other physical assets, except medicine or religious materials."
  - b. "Terrorist act" means:

- i. An act prohibited pursuant to one of the 12 United Nations Conventions and Protocols related to terrorism (see United Nations terrorism conventions Internet site: <http://untreaty.un.org/English/Terrorism.asp>);
  - ii. An act of premeditated, politically motivated violence perpetrated against noncombatant targets by subnational groups or clandestine agents; or
  - iii. Any other act intended to cause death or serious bodily injury to a civilian, or to any other person not taking an active part in hostilities in a situation of armed conflict, when the purpose of such act, by its nature or context, is to intimidate a population, or to compel a government or an international organization to do or to abstain from doing any act.
- c. "Entity" means a partnership, association, corporation, or other organization, group or subgroup.
- d. References in this Certification to the provision of material support and resources shall not be deemed to include the furnishing of USAID funds or USAID-financed commodities to the ultimate beneficiaries of USAID assistance, such as recipients of food, medical care, microenterprise loans, shelter, etc., unless the Recipient has reason to believe that one or more of these beneficiaries commits, attempts to commit, advocates, facilitates, or participates in terrorist acts, or has committed, attempted to commit, facilitated, or participated in terrorist acts.
- e. The applicant's obligations under paragraph I are not applicable to the procurement of goods and/or services by the applicant that are acquired in the ordinary course of business through contract or purchase, e.g., utilities, rents, office supplies, gasoline, etc., unless the applicant has reason to believe that a vendor or supplier of such goods and services commits, attempts to commit, advocates, facilitates, or participates in terrorist acts, or has committed, attempted to commit, facilitated or participated in terrorist acts.

**IV. In Agreement to the terms and conditions above:**

Name of Applicant Organization:	
Name and title of officer or his/her alternate authorized to represent the Applicant (either name that appears in Box 5 of this Application.	

Signature: \_\_\_\_\_ Date: \_\_\_\_\_

## ORGANIZATION INSTRUCTIONS

### PURPOSE OF THIS STEP:

The federal government has adopted the use of DUNS numbers to track how federal grant money is allocated. DUNS number identifies your organization.

This process should take no more than 2 business days.

### WHAT IS A DUNS NUMBER & WHY DO I NEED OBTAIN ONE?

The **Data Universal Number System (DUNS)** number is a unique nine-character number that identifies your organization. It is a tool of the federal government to track how federal money is distributed. **Most large organizations, libraries, colleges and research universities already have DUNS numbers.**

Ask your grant administrator or chief financial officer to provide your organization's DUNS number. If your organization is based in the U.S., a DUNS number can be requested by phone or online.

Webpage for phone number: [http://fedgov.dnb.com/webform/pages/reqDuns\\_phone.jsp](http://fedgov.dnb.com/webform/pages/reqDuns_phone.jsp)

If your organization is located **outside the United States**, you can request and register for a DUNS number through the following web site.

Webpage for registration: <http://fedgov.dnb.com/webform/displayHomePage.do>

### **This is the information you will need to have available in order to obtain the DUNS number. (If your organization does not already have one):**

- Legal Name of organization
- Name of the organization CEO
- The primary type of business your company engages in (NCIA/SIC CODE)
  - To obtain this code please go to [www.naics.com/search.htm](http://www.naics.com/search.htm)
  - **(Also see list attached)**
- Any other name your business might be recognized by, i.e. doing business as (DBA)
- Physical organization address (city, state, and zip code)
- Mailing address if separate from headquarters
- Telephone number
- Name of the primary contact person and his or her title
- Number of employees at your location
- Is this a home-based business?

If your organization does not have a DUNS number, use this Dun & Bradstreet (D&B) online registration process to receive one free of charge.

**NOTE:** Obtaining a DUNS number places your organization on D&B's marketing list that is sold to other companies. You can request not to be added to this list during your application.

### **Restrictions**

Grant funds provided under the terms of this RFA shall not be used to finance any of the following commodities as per ADS 312, Eligibility of Commodities:

Ineligible Commodities: Military equipment, surveillance equipment, commodities or equipment for the support of police or other law enforcement activities, abortion equipment and services, luxury goods, gambling equipment, weather modification equipment.



## Effective Water, Sanitation, and Hygiene Services (E-WASH) Program

Restricted Commodities: Agricultural commodities, motor vehicles, pharmaceuticals, contraceptives and condoms, pesticides, used equipment, fertilizer.

Others: Purchases of goods or services restricted or prohibited under the prevailing USAID source and nationality and other regulations found under ADS 310 or from countries and suppliers as may be identified by USAID's consolidated list of debarred, suspended, or ineligible subcontractors at <http://www.epls.gov/>

**ATTACHMENT A**  
**Organizational Control Environment Questionnaire**  
**For Grants to Non-US Organizations with Simplified and / or Fixed Amount Awards**  
**anticipated to be under \$150,000**

RTI International uses this questionnaire to verify applicant has the capacity or potential capacity to adequately perform in accordance with the principles established by the US Government and other donors to ensure that its accounting, record keeping and overall financial management systems meet applicable standards and to determine if the applicant's system of internal controls is reasonable in the applicable cost principles.

Legal name of applicant organization: \_\_\_\_\_  
 Name and title of individual completing this questionnaire: \_\_\_\_\_  
 Signature of Individual Completing: \_\_\_\_\_  
 DUNS Number \_\_\_\_\_

**A. General Information**

1. Type of Organization: (Check either NGO or HG)

- Nongovernmental (NGO)
- Governmental (or host government [HG] institution) \*

\*An HG institution or a subdivision of it is an organization that functions as a governing body and in which the host government owns at least a 50 percent share or receives at least 50 percent of its financial support from the host government. Examples of HG entities are ministries, or local or state governments or agencies. (Check one below)

- Non-Profit
- Educational
- For-Profit
- Other \_\_\_\_\_

2. Is your organization incorporated or legally registered?

- Yes

No

3. City and country of incorporation or legal registration:

4. Date of incorporation or legal registration: \_\_\_\_\_

5. Is your organization required to pay taxes on revenue/income, or is it exempt from such taxes?

- Required to pay taxes on revenue/income
- Exempt from taxes on revenue/income

6. Please list the number of employees of your organization:

\_\_\_\_\_ Full-time employees  
 \_\_\_\_\_ Part-time employees or Volunteers

7. Has your organization received funding from any agency of the U.S. Government (e.g. USAID, CDC, OFDA) in the last 3 years?

- Yes
- No

If yes, please identify the source and specify the amount(s) received from each source, by year below:

\_\_\_\_\_  
 \_\_\_\_\_  
 \_\_\_\_\_

8. What is your organization's fiscal year?

\_\_\_\_\_

9. Do you anticipate expending \$750,000 or more in funds received directly or indirectly from the U.S. Agency for International Development during your fiscal year?

- Yes  
 No

**B. Indirect/Overhead Rates**

1. Does your organization have a Negotiated Indirect Rate Agreement (NICRA) with the U.S. Government?

- Yes  
 No

If YES, please attach a copy to this Questionnaire and go to the next section.

If NO, does your organization plan to recover administrative costs or overheads (rent, utilities, phone costs etc.) charge an indirect or overhead rate to the budget of the grant agreement?

- Yes  
 No

If YES, please describe how your organization recovers administrative or overheads costs.

2. Has the indirect rate been audited?

- Yes  
 No

If YES, please provide a copy of an audit report with the audited indirect rate and an explanation of the indirect rate costs.

3. Is the indirect rate charged equally to all funders of your organization?

- Yes  
 No

If NO, please explain.

**C. Financial Management**

1. Is your accounting system [ ] manual or [ ] automated? If automated, what accounting software program are you using? Specify.

2. Do you have documented policies and procedures for processing financial transactions in accordance with laws, regulations, or management policy? If you answer yes, you also agree to make these documents available for inspection.

- Yes  
 No

3. Is your accounting system capable of accurate, current, and complete reporting of the utilization of grant funds for all types of costs (including but not limited to labor, travel, materials, and equipment)?

- Yes  
 No

4. Do you use a documented chart of accounts containing a description of each account and are journal entries prepared, reviewed, compared with supporting details where necessary, and approved each accounting period?

- Yes  
 No

5. Is your accounting system capable of tracking and documenting separately the utilization (see above) of grant funds by source?

- Yes  
 No

6. Are the liquid assets (cash) of your organization kept in an interest-bearing bank account?

- Yes

No

7. What is the name of your organization's bank? \_\_\_\_\_

**D. Personnel:**

1. Does your organization utilize an electronic timesheets system in accordance with United States Government regulations?

- Yes  
 No

2. Does your organization have a timekeeping policy requiring employees to submit timesheets at least once a month?

- Yes  
 No

If the \_\_\_\_\_ answers to the prior questions have been negative, please explain how do you record the hours worked for the assign project/activity?

**E. Procurement and Property Management System**

1. Does your organization have a documented procurement procedures or policy?

- Yes  
 No

2. Do \_\_\_\_\_ you always solicit quotations from vendors before making a purchase over the local currency equivalent of \$3,000?

- Yes  
 No

3. Do you have a property management manual?

- Yes  
 No

**ATTACHMENT B**  
**Detail Budget format**

RTI International/USAID						
Name of NGO:						
Period of Performance:						
Line Items	Base Rate/Description		Qty	%/Frequency	Unit Rate	Amount (NGN)
<b>I. DIRECT LABOR</b>						
A	Salary					
	1	Project Manager			/Month	
	2	Program Officer			/Month	
	3	M&E Officer			/Month	
	4	Finance Officer			/Month	
<b>TOTAL DIRECT LABOR</b>						<b>0</b>
<b>II. TRAVEL AND PERDIEM</b>						
	In-Country Travel/Expenses					
	Program staff travel					
	1	Accommodation			/Per Person, Per Day	
	2	M&IE			/Per Person, Per Day	
	3	Air Travel			/Per Person, Per Day	
	4	Local transportation to conduct and monitor activities			/Per Person, Per Day	
<b>TOTAL TRAVEL AND PERDIEM</b>						<b>0</b>
<b>III. SUPPLIES &amp; EQUIPMENT</b>						
	1	Laptop Computers + MS Office			/Unit	
	2	All in one printer/copier & scanner			/Unit	
	3	Printer tonner cartridge			/Unit	
	4	Projector			/Unit	
	5	Digital Camera			/Unit	
<b>TOTAL SUPPLIES AND EQUIPMENT</b>						<b>0</b>
<b>IV. OFFICE EXPENSES</b>						
	1	Office rental			/Unit	
	2	Bank Charges			/Unit	
	3	Electricity Bill			/Unit	
	4	Generator Fueling and Maintenance			/Unit	
	5	Internet			/Unit	
	6	Communication			/Unit	
	7	Stationaries,			/Unit	
<b>TOTAL OFFICE EXPENSES</b>						<b>0</b>
<b>V. OTHER DIRECT COSTS</b>						
	<b>Support for Meetings of Urban WASH Structures:</b>					
	1	Monthly meeting of Urban WASH Community of Practice			Transport & Refreshment per person	
	2	Monthly meeting of Urban WASH customer Associations/Committees			Transport & Refreshment per person	
	3	Monthly Women's Group Meeting			Transport & Refreshment per person	
	4	Monthly Youth Group Meeting			Transport & Refreshment per person	
	5	Monthly School WASH Club Meetings (During School Term Only)			Refreshment per person	
	6	Quarterly Coalition Meetings with Urban WASH Structures			Transport & Refreshment per person	
	7	Quarterly Town Hall Dialogue with Local Authorities & Key WASH Stakeholders			Transport & Refreshment per person	
<b>Support for Urban WASH Activities with Key Stakeholders:</b>						
	1	Annual WASH Summit at state level;				
	a.	Hall Hire			Hall	
	b.	Banners			Workshop Materials	
	c.	Note Pad & Pen			Workshop Materials	
	d.	Participant Welfare			Transport & Refreshment per person	
	2	Advocacy Visits to Government & Urban WASH Stakeholders;				
	a.	Urban WASH Community of Practice			Transportation	
	b.	Urban WASH customer Associations/Committees			Transportation	
	c.	Women's Group			Transportation	
	d.	Youth Group			Transportation	
	3	Women's Group Household Visits;			Transportation	
	4	School Term WASH Competitions;				
	a.	Participant Refreshment			Refreshments	
	b.	Prizes			Prizes	
	5	Quartely WASH Campaign/Folk Media;				
	a.	Hall Hire			Hall	
	b.	Banners & Flyers			Materials	
	c.	Public Address System			Equipment	
	d.	Drama Costume			Materials	
	e.	Hand Sanitizers			Materials	
	f.	Different types of latrine flipcharts			Materials	
	g.	Pen (Marker)			Materials	
	h.	Participant Welfare			Refreshment per person	
	i.	Transportation for organizing committee (Women, Youths, school WASH clubs)			Transportation	
<b>TOTAL OTHER DIRECT COSTS</b>						<b>0</b>
<b>TOTAL DIRECT COSTS</b>						<b>0</b>