

Request for Applications (RFA)

USAID Effective Water, Sanitation, and Hygiene Services (E-WASH Program) “Urban WASH CSO Capacity Building Grant”

I. Purpose for Funding Opportunity

The USAID E-WASH Program aims to build the capacity of core partner civil society organizations (CSOs) that are receiving and managing grants from the Program in line with the USAID Forward initiative. Toward this, E-WASH is seeking to partner with eligible civil society organizations, non-governmental organizations (NGOs), Nigerian institutions of higher learning, and/or for-profit entities to build the capacity of its partner CSOs in the intervention states.

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	May 12, 2020
2	Issuing Office	RTI International – USAID E-WASH head office, Abuja Nigeria
3	RFA to be submitted by email to:	grants@ewash.rti.org
4	Submission deadline	June 15, 2020 (Batch One)
5	Notification of Selection	July 8, 2020. (Batch One)
6	Submission Method	Documents must be submitted electronically in English Language
7	Funding amount for each award (estimated maximum)	Up to 200,000 USD
8	Duration of award	One (1) year
9	RFA Q & A Due	May 26, 2020

This RFA is batch one of a series of request to be announced on a quarterly basis until April 2021. The E-WASH technical evaluation committee will only review applications that meet the following requirements:

- Sent electronically by the stated deadline for each batch of RFA
- Conforms with stated requirements
- Submitted by an organization that meets the minimum eligibility requirements

III. Problem Statement

The USAID Effective Water, Sanitation, and Hygiene (E -WASH) Program works in six states: Abia, Delta, Imo, Niger, Sokoto and Taraba states. For this award, E-WASH is seeking partners to support its partner civil society organizations (CSOs) strengthen both technically and organizationally. Beginning in September 2019, E-WASH has engaged through separate grants 15 partner CSOs across its six states to improve transparency and accountability of the respective State Water Boards (SWBs), while they separately are working to improve sanitation and hygiene service quality. More specifically, E-WASH used a self-assessment tool called the E-WASH Urban Water, Sanitation and Hygiene Civil Society Organizational Assessment (WASHCOAT). This tool was applied to these partner CSOs to create a

baseline of each organization’s capacity domains, as enumerated below. This baseline revealed a low net capacity score of 42.2 percent.

S/n	Domain	Average Score
1	Governance	63.7%
2	Urban WASH Experience, Knowledge and Skills	15.0%
3	Advocacy and Strategic Communications	37.7%
4	Resource Mobilization	45.8%
5	Gender Management System	41.0%
6	Knowledge Management and Communications/Monitoring and Evaluation System	57.5%
	Net Capacity Score for E-WASH CSOs	42.2%

When looking at the demand-side of water supply provision, there are two main concerns based on the average scores above. The first is that most core partner CSOs have insufficient urban WASH experience, knowledge and skills (15 percent) required to constructively engage SWBs and public and private sector practitioners to improve service quality through activities in the areas of social accountability, monitoring, service provision, and sanitation and hygiene promotion. The second is they lack capacities and skills to effectively advocate or as well as develop strategic communication messages for engaging decision makers and marginalized groups to influence policy. E-WASH has designed and is gradually implementing an Urban WASH Reform Framework for Strategic Communications to guide aspects of CSO advocacy and communications effort which seeks greater collaboration with the SWBs and its constituents.

The assessments also highlighted capacity gaps in resource mobilization, minimal participation of mid-level employees in decision-making processes (managerial activities), weak staff training and capacity development, and poor networking with other CSOs.

IV. Background: E-WASH Program

As part of the U.S. Government’s (USG) efforts to address gaps in urban WASH services in Nigeria, USAID Nigeria will improve urban water service delivery by strengthening the governance and financial and technical viability of six SWBs in Nigeria. These efforts align with the USAID Water and Development Strategy 2013/2018 Strategic “Objective: 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) which seeks to:

- Strengthen good governance
- Improve responsiveness of selected government institutions
- Increase 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), selected SWBs, and allied stakeholders, in order 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, financial and technical viability of selected SWBs in Nigeria. The USAID E-WASH Program will concentrate on solidifying state, municipal and utility-level governance gain which will manifest in improved water supply services, and improve the ability to regulate, manage, and expand sanitation services.

5. 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.

6. Urban WASH CSO Capacity Building Grant Program Objectives:

The overall objective of the CSO Capacity Building Grant is:

- I. To enhance the organizational and technical capacity of E-WASH core partner CSOs to bolster their role in the areas of social accountability, monitoring, service provision, and sanitation and hygiene promotion.
- II. To provide capacity building on COVID-19 Risk Communication and Social and Behavioral Change Communications to promote best hygiene behaviors in at-risk urban communities
- III. Through this award, E-WASH targets an overall 75 percent net change in core partner CSO organizational and technical performance over the life of the E-WASH project (ends February 2022). Hence, the goal is core partner CSO net capacity performance increase of 32.8 percent by 2022.

7. Program Requirements

E-WASH technical assistance for CSOs is guided by self-diagnosis and customized accordingly. Given the shortcomings of "one-size-fits-all" approaches, the successful grantees will propose a capacity-building program that is driven by two elements: 1) the findings from the CSO self-diagnosis through the use of the WASHCOAT described under Section 1, and 2) the capacity development plans

developed by each CSO in close collaboration with E-WASH state teams. This will form the basis for creating tailored training and capacity building plans for the CSOs by the successful grantee(s) to guide the development of a customized capacity-building package that may use a combination of (but is not limited to) the following:

- a) General standardized and specialized training workshops for varying capacity levels;
- b) One-on-one coaching to plan for future action and analyze progress made;
- c) One-on-one on-the-job training and mentoring by qualified trainers and experts;
- d) Communities of practice and networking events for knowledge exchange and peer learning; and
- e) Self-learning tools accessible online (manuals, training videos, etc.)

A. Implementation Principles of Capacity Building Assistance

Successful grantees will include the following principles in their implementation of capacity building interventions and tools:

- **High-quality training materials and trainers.** Applicants must adhere to high-quality training standards, using first-rate training materials and employing the best training professionals experienced in CSO capacity-building and best practices. Participatory and practical skills training methodologies should be used to enhance the learning experience, such as hands-on exercises, case studies, roundtable discussions, role-plays and homework assignments. Certification from professional bodies or institutions is encouraged.
- **Promote institutionalization of new skills, specifically at the community level.** The capacity-building program should maximize opportunities for training participants to apply and transfer newly acquired knowledge and skills within their communities. To that end, the program must incorporate follow-up coaching, mentoring, and/or on-the-job training customized to the specific needs of the participants.
- **Provide self-learning tools.** The successful applicant will make user-friendly training materials and self-learning tools (such as training manuals, handouts, videos, PowerPoint presentations) available to communities and CSOs to encourage sustainability through continued learning outside the workshop setting. Such tools will be easily accessible to all communities and CSOs, including those that are not collaborating with E-WASH. The use of social media networks (Facebook, Twitter, blogs, etc.) is encouraged to share relevant materials, build an online learning community, and support coaching and mentoring.
- **Encourage peer-to-peer learning and networking.** The capacity-building program should encourage CSOs to learn from each other and provide avenues and platforms for them to do so, such as through exchanges, networking events, and informal communications via social media networks or other tools.

B. Monitoring, Evaluation, Research, Learning and Adaptation (MERLA)

One of E-WASH main objectives is to share learning with various stakeholders in the urban WASH sector. To that end, a successful grantee will use the following approaches in a meaningful Monitoring and Evaluation component of the grant.

- **Use of Evaluations to Shape Program Interventions:** E-WASH will focus on rapidly evaluating performance across intervention states, with a view to adapting lessons learned and best practices in the review of program activity implementation. At the end of each grant, the MEL Advisor will develop a Final Evaluation Report (FER) outlining key achievements, encountered challenges and key lessons learnt per

intervention grant. Findings will be incorporated in the design of targeted grants to effectively meet E-WASH program mandates in each intervention state.

- **Incorporating Gender Sensitivity:** Gender analyses and sensitivity will be incorporated into all MEL activities, where applicable and in line with E-WASH Gender, Equity and Social Inclusion (GESI) strategy. In addition to collecting gender disaggregated data, engaged partners will report against E-WASH indicators (results framework) to track and measure gender substantive participation in program activities, state, and government activities and positions.
- **Monitoring and Reporting:** Grantees will be required to submit updated Grants Monitoring Reports (GMRs) outlining progress against specific performance indicators tailored to specific grants objectives. E-WASH's state-based Performance Monitoring Specialists (PMS) will conduct routine field-based visits to support grantees during community engagements and strategic advocacy events. The E-WASH MEL system will track achievements toward the program objective of increased access to sustainable WASH services in urban areas in Nigeria and the specific Intermediate Results (IRs) for the program.

8. Expected Results

Recipients under this funding opportunity will support E-WASH to improve the capacity of its partnership grantees in the below areas:

1. Governance
2. Urban WASH Experience, Knowledge and Skills
3. Advocacy and Strategic Communications
4. Resource Mobilization
5. Gender Mainstreaming Systems
6. Knowledge Management and Communications/Monitoring and Evaluation Systems

More specifically, E-WASH expects to see the average capacity as measured through the WASHCOAT assessment to increase from its current 42.2% to a cumulative strength of 75% by the end of 2021.

The recipient(s) of this award shall leverage its strength and resources to directly support E-WASH partnership grantees achieve the illustrious expected outcomes which will result in 75% net change of technical advocacy capacity of its partner CSOs as follows:

1. **Governance:** Recipients of this grant will build the capacity of core partner CSOs to improve internal governance mechanisms that shall include oversight of management, independent internal audits, structure of the board of directors into levels of responsibility, segregation of control and policy development. Average target for this capacity area is **63.7%** (E-WASH WASHCOAT).
2. **Urban WASH Experience, Knowledge and Skills:** Recipients of this grant will build capacity of core partner CSOs to ensure they have improved knowledge and skills in urban WASH, which shall include but is not limited to:
 - Improved staff skills on urban WASH thematic areas for CSOs, especially improving knowledge on urban WASH governance, the policy and regulatory environment and sanitation marketing.
 - Improved organizational ability to provide services for urban WASH, to include educating citizens on their rights to water, how to access clean water, and how to

advocate through existing channels for improved service delivery; Average target for this capacity area is **15.0%** (E-WASH WASHCOAT)

3. **Advocacy and strategic communications:** Recipients of this grant will build the capacity of core partner CSOs to ensure they have improved capacity for advocacy, improved skills in media relations, lobbying, research analysis, political economy, including establishing clear advocacy agenda. Average target for this capacity areas **37.7%** (E-WASH WASHCOAT).
4. **Resource mobilization:** Recipients of this grant will build the capacity of core partner CSOs to ensure they have improved ability to mobilize resources, which could include but are not limited to, clearly defined resource mobilization plans, improved skills in proposal writing, funding raising strategies. Average target for this capacity area is **45.8%**.
5. **Gender management systems:** Recipients of this grant will build the capacity of core partner CSOs to ensure they have improved ability to implement gender management systems and policies in the areas of project and program management and operations. Average target for this capacity area is **41.0%** (E-WASH WASHCOAT).
6. **Knowledge Management/M&E System:** Recipients of this grant will build the capacity of core partner CSOs to ensure they have improved knowledge management/M&E systems, which will potentially lead to improvement in operational quality information management systems. Average target for this capacity area is **57.5%** (E-WASH WASHCOAT).

Note that potential recipients of this grant may apply to conduct capacity building across all the six capacity areas or choose selected areas depending on depending on recipients demonstrated capability and experience. Applicants are encouraged to include COVID19 considerations in their proposals.

If core partner CSO capacity is built to 75% across the capacity areas highlighted above, then partner CSOs will have the ability to promote WASH sector reforms, accountability, social transparency, policies, and institutional and regulatory frameworks at the SWB and national levels through advocacy, coordination and strategic communication (**Sub intermediary result 4.1 of E-WASH results framework**)

Grantee performance will be evaluated using E-WASH program indicators:

- I. **DO3-20: (outcome):** Net change in advocacy technical capacity of core partner civil society organizations (standard from DO PMP indicators)
- II. **DO3-21: (output):** Number of CSOs receiving USG assistance engaged in advocacy interventions (standard from DO PMP indicators)
- III. **DO3-18: (outcome):** Number of reforms introduced, adopted, repealed, changed or implemented consistent with citizen input (standard from DO PMP indicators)
- IV. **EWA2.1.1.2.2: (outcome):** Number of WASH sector reforms introduced, adopted, repealed, changed or implemented consistent with knowledge, best practices, lessons learned and evidence from CLA events & MERLA data (custom)

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).

9. Minimum Eligibility Criteria.

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

- Be legally registered as a civil society organization, non-governmental organizations (NGOs), Nigerian institutions of higher learning, and/or for-profit entities and have capacity to operate in Nigeria.
- Have a physical office in Nigeria.
- Have a proven track record of successful implementation of WASH-related capacity building interventions in Nigeria.
- Have been active for at least 3 years operating within their sector and respective state.
- Have three or more full- or part-time 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 funded awards from the United States government

10. Closure and Audit

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

11. 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 to include an outline of the organizational structure and program management approach. See application form. (2 pages)
- f. Sustainability Plan. Describe how project activities will be sustained beyond E-WASH funding. (1 Page)
- g. Monitoring and evaluation plan. See application form. (2 pages)
- h. Budget and Budget Narrative. See instructions on Grant Application Form.
- i. Completed Organizational Control Environment Questionnaire.
- 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.

12. 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.

13. 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

40 points

- a) *Project Design and Feasibility – 25 points*
 - The degree to which the application is responsive to this RFA and adequately addresses Urban WASH CSO Capacity Building Grant Program objectives by proposing a comprehensive technical approach and methodology that integrates assessments and other inputs into individualized Action Plans, designs and implements capacity-building assistance that integrates the “Implementation Principles of Capacity Building Assistance,” and incorporates MERLA to continuously refine interventions and activities.
 - The potential of the proposed actions to successfully and efficiently achieve the objectives and results outlined in the application’s Program Description;
- b) *Sustainability and impact – 15 points*
 - The extent to which the proposed actions introduce innovative, potentially replicable, and self-sustaining approaches;
 - The level of coordination with local, national or international stakeholders and institutions, both public and private that enhance the impact and sustainability of E-WASH CSOs;
 - The plan for ensuring that the proposed solution(s) will be sustained once the grant funding expires;
 - Reliable quantitative and qualitative indicators for measuring and evaluating the proposed actions’ impact.

B. Organizational, Technical, and Management Capability

25 points

- a) *Technical and Management Capacity – 15 points*

The technical and managerial capacity of the applicant to successfully carry out Program Description implementation on a timely basis and to produce the targeted results. This includes an evaluation of:

 - The extent to which the applicant demonstrates expertise in implementing similar WASH programs, WASH sector experience, knowledge and skills, and the ability to support the technical capacity development of other organizations.
 - The experience and expertise of the management team and the proposed personnel; and
 - The provision for appropriate monitoring, evaluation, and reporting mechanisms and staff.
- b) *Organizational Capability – 10 points*
 - The general financial strength of the applicant;
 - The organizational structure and good governance practices of the applicant.

C. Past Performance –

25 points

- Past performance in achieving positive results when implementing activities similar to those proposed;
- Experience working with USAID/other donor funds and ability to meet reporting and accountability requirements;
- Demonstrated ability to gather and analyze data on program outcomes.

D. Cost Effectiveness

10 points

The budget is adequately justified, realistic and effective to implement the technical approach. Costs are reasonably supported as necessary and effective to achieve the stated outcomes.

+-

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.
 - d. 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>.
 - e. 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.
 - f. 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

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
 - **(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:



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

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.

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