

Request for Applications (RFA)

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

1. Problem Statement

The USAID Effective Water, Sanitation, and Hygiene (E -WASH) Program works in six states: Abia, Delta, Imo, Niger, Sokoto and Taraba states. In supporting civil society organizations (CSOs) to support transparency with state water utilities and promotion of improved WASH services, E-WASH assessed civil society organizations in the states. The assessment findings revealed CSOs’ dearth of knowledge and skills in urban WASH. This includes limited knowledge of sanitation and hygiene promotion; poor understanding of the WASH policy environment and actors; weak or absence of gender policies, gender management information systems, and gender mainstreaming in their operations; poor techniques for identifying and analysing target audiences—especially State Water Boards (SWBs)--and consumers for strategic communications and advocacy.

Despite the lack of urban WASH experience and knowledge in advocacy, service delivery monitoring and budget tracking, the CSOs assessed are developing internal relationships and leadership management capacities. The results of the assessments, however, indicated capacity gaps in resource mobilization, minimal participation of mid-level employees in decision-making processes (managerial activities), weak training and capacity development and poor networking with other CSOs.

The WASH CSO Capacity Organizational Assessment Tool (WASHCOAT) improved E-WASH’s understanding of the CSOs’ technical capacity gaps and needs that must be addressed for them to effectively drive advocacy and social accountability, and improve their collaboration with SWBs and private entities toward innovative approaches to support WASH service delivery.

2. Purpose

The E-WASH Program seeks partners in Nigeria to support organizational development and to build technical capacity in urban WASH for civil society organizations and water utilities. In addition, the E-WASH program seeks to build NGO capacity to coordinate with the SWBs and other WASH service providers (including the private sector) to improve urban WASH service delivery.

Under this RFA, RTI International anticipates awarding grants to eligible civil society organizations, faith-based organizations (FBOs), non-governmental organizations (NGOs), Nigerian institutions of higher learning, and/or for-profit entities for the implementation of urban WASH capacity building initiatives in the each of its six 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.

3. Summary

1	Date of Announcement	December 18, 2019
2	Issuing Office	RTI International – USAID E-WASH head office, Abuja Nigeria
3	RFA to be submitted by email to:	Madegbe@ewash.rti.org
4	Submission deadline	January 31, 2020 (Batch One)
5	Notification of Selection	March 16, 2020. (Batch One)

6	Submission Method	Documents must be submitted electronically in English Language
7	Anticipated awards	Six (6) grants
	Funding amount for each award (estimated maximum)	Up to 100,000 USD
8	Duration of award	One (1) year
9	RFA Pre-Application Workshop	January 8, 2020
10	RFA Q & A	January 9, 2019
<p>This RFA is batch one of a series of request to be announced on a quarterly basis until September 30, 2020. The EWASH technical evaluation committee will only review applications that meet the following requirements:</p> <ul style="list-style-type: none"> • 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 		

4. Relationship with the E-WASH Program

As part of the U.S. Government’s (USG) efforts to address gaps in urban WASH services in Nigeria, United State Agency for International Development (USAID) Nigeria will improve urban water service delivery by strengthening the governance and financial and technical viability of six State Water Boards (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 E-WASH activity 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’s E-WASH Services 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 E-WASH activity 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. Program Objectives:

Applicants should propose a program that will support organizational development and technical capacity strengthening of civil society organizations and federal ministry of water resources and state water utilities as described below.

Over the life of E-WASH project, the grantee will build the technical and organizational capacity of core partner CSOs and Federal/State Water Ministries and State Water Boards by implementing one or more of the sub-objectives outlined below. The relevant stakeholder targeted by the intervention will be measured using an organizational tool (the WASHCOAT for civil society organizations and the SWAGAT for state water utilities). E-WASH will use these tools to establish baselines (where none exist) and measure progress toward achieving outcomes as outlined in the indicator section below.

Technical Areas	Targeted Stakeholder	Illustrative Interventions
Resource mobilization	CSOs	<ul style="list-style-type: none"> • Strengthen cross-sectoral partnerships among CSOs to find technical and resource synergies • Strengthen capacity of CSOs for effective resource mobilization and management • Strengthen resource mobilization through developing more refined marketing and branding opportunities.
	F/SMWR and SWB	<ul style="list-style-type: none"> • Connecting private sector water or sanitation actors to the utilities for service provision
Urban WASH Knowledge	CSOs	<ul style="list-style-type: none"> • Strengthen the capacity of CSOs to facilitate urban WASH sector reforms to support the establishment of appropriate institutional structures. • Mentor and train CSOs on core urban WASH technical skills, performance-based contracts and budget monitoring. • Support CSOs to drive urban WASH sector reforms. • Leverage peer learning to harvest what works for successful CSOs. • Implementation of sustainable WASH approaches that involve governments commitments. • Strengthen policy, legislations and tariff reform through advocacy and strategic communications. • Improve liquid waste sanitation, personal hygiene and menstrual hygiene management.

Urban WASH Knowledge		<ul style="list-style-type: none"> • Propagating the adverse effect of improper sanitation and facilitate mitigation measures. • Ability to communicate the importance of urban sanitation • Promote sanitation marketing • Build CSO knowledge base on corporatization, commercialization, performance-based contracts and budget monitoring. • Pro-poor service considerations and implications in urban WASH. • Cultivating and engineering a responsive population towards urban WASH delivery.
	F/SMWR and SWB	<ul style="list-style-type: none"> • Assess and strengthen institutional structures for shared WASH engagement. • Development of an effective customer charter. • Promote liquid waste sanitation, personal hygiene and menstrual hygiene management. • Leverage existing social platforms to create public engagement on urban water and sanitation awareness.
GESI Management Systems	CSOs	<ul style="list-style-type: none"> • Build capacity for the development of a gender integration strategy by CSO partners. • Implement a sustainable mentoring program for women in WASH. • Increase the participation of people living with disabilities and vulnerable groups in the WASH sector. • Promote liquid waste sanitation, personal hygiene and menstrual hygiene management. • Facilitate youth groups for girls for knowledge sharing and learning about WASH-related topics.
	F/SMWR and SWB	<ul style="list-style-type: none"> • Build capacity for gender mainstreaming, planning and implementation • Promoting public expenditure tracking forums at state level • Implement a sustainable mentoring program for women in WASH. • Increase participation of people living with disabilities and vulnerable groups in the WASH.
MEL/Knowledge management and communication systems	CSOs	<ul style="list-style-type: none"> • Strengthen CSO MEL systems for effective data management. • Support CSOs to promote regulations and tariff reform through strategic communication. • Activate and maintain a feedback accountability mechanism. • Strengthen CSO capacity for operational research to inform evidence-based decision making. • Support CSO to have effective MEL data-driven Collaborating, Learning, and Adapting (CLA) culture and agenda for a stronger collaboration and informed adaptive management system.
	F/SMWR and SWB	<ul style="list-style-type: none"> • Strengthen monitoring systems for effective data management and benchmarking. • Activate and maintain a feedback accountability mechanism. • Strengthen capacity for operational research for decision making. • Strengthening of data-driven CLA culture and agenda for stronger collaboration and informed adaptive management system.

8. Minimum Eligibility Criteria.

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

- Be legally registered as a non-US non-governmental organization or for-profit private entity 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

9. Program Requirements

Applicants receiving grants will be expected to participate in EWASH's communication advocacy approach, monitoring and evaluation program, reporting and capacity development activities. A successful application will include these expectations in its program description and budget.

a) E-WASH Stakeholder Capacity Building Approach

The implementation of urban WASH reform involves major changes through organizational and technical capacity building for improved service delivery and stakeholder participation in the provision of urban water, sanitation and hygiene services. These changes have the potential to impact the operations of water utilities and other relevant stakeholders including CSOs.

Organizational and technical capacity building for urban WASH stakeholders is required to implement result-oriented reforms. Capacity building efforts must be strategic, intensive and participatory to build understanding and minimize resistance to desired changes. E-WASH will work closely with selected grantees to assess, improve/develop capacity of CSO's and water utilities to support urban WASH reforms. The process will be collaborative and participatory, relying on partners to examine the challenges they face when working within the urban WASH sector, instead of focusing solely on individual organizational priorities.

Based on the results of the assessments, grantees (with the help of E-WASH) will create customized capacity development plans for FMWR, CSOs and state water utilities.

b) Strategies for Performance Monitoring

It is critical that applicants clearly define the tools they propose to use to address identified capacity gaps. Applicants will use specific tools that must be approved by E-WASH to engage CSOs, FMRW, SMWR and the state water utilities, and monitor progress. Such tools may include but not limited to; organization and technical capacity assessment tools, reports of organizational capacity building workshops, and quarterly progress reports.

c) Monitoring, Evaluation, Research, Learning and Adaptation (MERLA)

One of E-WASH main objectives are to share learning with various stakeholders in urban WASH sector. This will be achieved through the following:

- **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.
- **Triangulation of MEL Data with In-Depth Research Findings:** E-WASH will propose targeted research studies within the program context for two purposes: (i) complement E-WASH MEL data and (ii) fill any identified evidence gaps. Where needed, the program will design research studies to complement MEL data with other evidence gathering in consultation with USAID, the GON, and other stakeholders. Thereafter, selected grantees will be engaged to facilitate these research studies.
- **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 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.

10. Program Indicators

Based on the service provided, applicants will be expected to report on the following illustrative indicators:

- Net change in advocacy technical capacity of E-WASH partner civil society organizations.
- Number of reforms introduced, adopted, repealed, changed or implemented consistent with citizen input.
- Number of CSOs receiving USG assistance engaged in advocacy interventions.
- Number of gender sensitive documents/policies developed.
- Number of community-based WASH engagements targeting vulnerable groups (Women/Men/Boys/Girls/People Living with Disabilities - PLWDs).

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).

11. Closure and Audit

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

12. 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. 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.

13. 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.

14. 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

40 points

- **Capacity Building for CSOs, Federal and State Water Utilities:** The application demonstrates how the project will support capacity building in the area of urban WASH knowledge and skills particularly for civil society organizations and federal and state water utilities to improve resource mobilization and gender and social inclusion, knowledge management and monitoring management systems. Coordinate with relevant government and WASH stakeholders (including private sector) and managing inequities in gender and with other vulnerable populations (e.g. disabled, elderly) in the WASH sector, navigate the environment in the chosen state to ensure effective organizational and technical capacity building interventions, the application has clear targets e.g. how many CSOs and water utilities including the FMWR will the program serve. The application has clear geographic focus.
- **Strategies for Performance Monitoring:** The application demonstrates how the project will monitor the capacity building intervention through MEL/knowledge management and

communication systems. Strengthening of MEL systems for effective data management, capacity for operational research for decision making, support effective MERLA data driven CLA culture and agenda for stronger collaboration and informed adaptive management system and maintain an active feedback accountability mechanism.

- **Sustainability plan:** The application should demonstrate how the grant is structured to improve urban WASH capacity, management and monitoring systems for FMWR, state water utilities and CSO's highlighting steps to be taken for sustainability beyond the life of this project

b. Monitoring and Evaluation **30 points**

Monitoring and Evaluation: The application should have a clear set of relevant, reliable and valid indicators, feasible methods to collect the data including, methods to assess client satisfaction. Additionally, the application should include a plan to use this data for reflection on programmatic gaps and strategies for improvement. The application should explain the program measures for performance and outcome reporting.

c. Organizational capacity and performance **20 points**

- **Personnel and Organizational:** The application should demonstrate that the proposed key personnel (males and females) who will manage the project have relevant training, WASH expertise and experience of WASH community dynamics. An outline of the organizational structure and program management approach should be included.
- **Past performance on similar programs:** The application should describe past experiences in the implementation urban WASH capacity building interventions initiatives for CSOs and government agencies. Past performance will be measured upon the following: 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**

Budget Justification: The budget is adequately justified in the proposed Direct Labor and Direct Costs necessary to implement the technical approach. Costs are reasonably supported as necessary and effective to achieve the stated outcomes.

15. Design Team

1. Yvonne Sidhom – Chief of Party
2. Robert Hanjahanja – Deputy Chief of Party, Technical
3. Eric Friesth – Deputy Chief of Party, Operations
4. Abdulsalam Badamasi – Advocacy and Strategic Communications Advisor
5. Bukola Ehimatie – Monitoring, Evaluation and Learning Advisor



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6. Jurbe Godep – Institutional and Policy Development Advisor
7. Soni Elisha – Utility Operations Advisor
8. Michael Kehinde – Utility Technical Advisor
9. Michael Adegbe – Grants Manager

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. Program Description (No more than 10 pages, excluding required attachments detailed below). 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. Results are linked by causal relationships, i.e., a result is achieved because related, interdependent result(s) were achieved. An excellent program description should address the following: An understanding of the “development challenge,” opportunity, or problem. The applicant should discuss what political, social, economic, and environmental conditions(s) require(s) changing. *How does the applicant know what needs changing? What appraisals, evaluations, needs analysis and other methodologies were used to understand what requires changing?*

- Clear identification the beneficiaries, their number, location, and anticipated benefits that they will receive. *What are the intended results (i.e., changes in conditions)?*
- The applicant link of the challenge, opportunity, or problem to the key objectives of the overall project. How will results contribute to the achievement of strategic objectives? What are the external factors and other critical assumptions that are likely to facilitate or hinder the achievement of the results?

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?

- Sustainability Plan. Describe how project activities will be sustained beyond Pathways funding. (1 Page)

10. **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?*

- Applicants are required to submit the **Program Description** that includes Implementation and Monitoring and Evaluation Plans as **Attachment A** to this application.

11. **Budget and Budget Narrative (Required)**. Each application must contain a **detailed line item budget** 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/t11sdn.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>.



- 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:



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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