Water, Sanitation, and Hygiene Partnerships and Learning for Sustainability (WASHPaLS) #2

Request for Expressions of Interest for

Achieving Rural Safely Managed Sanitation

Opportunity Number: WASHPaLS2-REOI-002
Issuance Date: March 8, 2024
Questions Due Date: March 22, 2024
EOI Submission Due Date: April 19, 2024
Submit to: ard.washpals2.grants@tetratech.com

Dear Applicants,

Tetra Tech, the implementing partner for USAID's Water, Sanitation, and Hygiene Partnerships and Learning for Sustainability (WASHPaLS) #2, pursuant to the Foreign Assistance Act of 1961, as amended, and in accordance with USAID Contract No. 7200AA21C000079, is authorized to provide Grants under Contract (GUC) to meet its program objectives. WASHPaLS #2 is seeking EOIs from qualified organizations to implement programs within the framework of WASHPaLS #2 objectives.

This solicitation will be carried out in multiple phases:

Phase 1: Expressions of Interest – WASHPaLS #2 will receive and review Expressions of Interest (Attachment A) by the submission due date listed above. Applications which are deemed to be responsive to this Solicitation and demonstrate a link to WASHPaLS #2 objectives, will be invited to submit a Full Application. Unsuccessful applicants will be notified that their application will not move to Phase 2.

Phase 2: Full Applications – Those applicants invited to Phase 2 will submit a Full Application (a template will be provided), which will be received and evaluated by the WASHPaLS #2 merit review committee. Further instructions, evaluation criteria, and dates will be provided by WASHPaLS #2 upon notification to proceed to Phase 2. Unsuccessful applicants will be notified that their application will not move to Phase 3.

Phase 3: Pre-Award– This is the final stage before an award is issued and implementation may begin. During this phase, WASHPaLS #2 will work with the applicant(s) to fine-tune the proposed project and budget and ensure incorporation of WASHPaLS #2-specific requirements, including but not limited to best practices, gender considerations, linkages to WASHPaLS #2's performance indicators, and establishment of key deliverables. In addition, WASHPaLS #2 will carry out a cost analysis of the proposed budget to ensure all costs are allowable in accordance with USAID's cost principles and a risk assessment to determine the recipient's capacity to comply with USAID requirements.

WASHPaLS #2 and USAID reserve the right to fund any or none of the applications submitted. Additionally, any award pursuant to this funding opportunity is contingent upon the availability of funds. For the purposes of this program, this Request for Expressions of Interest (REOI)0 is being issued and

consists of this cover letter and the following sections. Please read the REOI in its entirety before submitting your EOI to ensure your organization is eligible and your submission complies with all requirements.

Section 1:   Terms of Reference
Section 2:   Award Information
Section 3:   Eligibility Information
Section 4:   Submission Information
Section 5:   Review Information
Attachment A: EOI Format
Attachment B: Pre-Award Terms and Provisions

Thank you for interest.
Sincerely,

Morris Israel
WASHPaLS #2 Chief of Party

SECTION 1. TERMS OF REFERENCE

Introduction

WASHPaLS #2 conducts implementation research to inform achievement of area-wide sanitation (AWS), which is defined as a systems-based, outcome-driven framework to achieve equitable, universal access and use of safely managed sanitation and hygiene in an administrative area, such as a district or county.[1] The focus of AWS is on predominantly rural administrative areas that may include a mix of small towns/peri-urban communities with both rural and urban characteristics, rural on-road settlements, communities in rural remote areas, as well as areas that are difficult to reach or have challenging physical contexts, as described in the 2019 Guidance on Programming for Rural Sanitation.[2] The predominant sanitation technology in these contexts is on-site sanitation.

In line with Sustainable Development Goal (SDG) 6.2, the end goal of AWS is achieving universal access to safely managed sanitation services (SMSS).[3] Yet, work undertaken by WASHPaLS #2 and others indicates that programming for area-wide rural sanitation and hygiene, particularly in sub-Saharan Africa, is still strongly focused on attaining Open Defecation Free (ODF) status, with less emphasis on ensuring sustained access and behaviors, and on the need to construct (or upgrade existing unimproved latrines into) durable, improved facilities that can be safely managed and are more resilient to the impacts of climate change. This limited focus on attaining ODF persists despite emerging evidence on post-ODF slippage and sustainability challenges[4], the SDG mandated focus on SMSS, and growing emphasis on (and access to) market-based sanitation (MBS).[5]

There is a pervasive lack of clarity among local actors and much remains to be learned on the different technologies and services that constitute safely managed sanitation, particularly in rural settings, and on how to achieve them.[6] This includes knowledge of and access to viable management models, sanitation technologies, and fecal sludge treatment and/or disposal options, but also on the roles played by different local level actors, and the types of systems and interventions that can support the change in focus from ODF achievement towards SMSS.

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[1] USAID. 2023. *Area-wide Sanitation: Overview and Evidence Gaps*. Washington, DC, USAID Water, Sanitation, and Hygiene Partnerships and Learning for Sustainability (WASHPaLS) #2 Activity. https://www.globalwaters.org/resources/assets/area-wide-sanitation-desk-review

[2] WaterAid. 2019. *Guidance on Programming for Rural Sanitation*. Plan International and UNICEF. https://www.fsnnetwork.org/resource/guidance-programming-rural-sanitation

[3] SMSS is defined as use of at least a basic sanitation facility and a handwashing facility with soap and water, which is not shared with other households, and where excreta are treated safely either on-site or off-site. For more detail on definitions and how to monitor SMSS visit Monitoring Safely Managed On-Site Sanitation | JMP (washdata.org).

[4] See for example, USAID. 2021. *Understanding Impacts of a Targeted Toilet Subsidy in Ghana: Final Report*. https://www.globalwaters.org/sites/default/files/washpals_understanding_impacts_of_a_targeted_toilet_subsidy_in_ghana_dec_2021.pdf

[5] USAID. 2018. *Scaling Market-Based Sanitation: Desk Review on Market-Based Rural Sanitation Development Programs*. Washington, DC., USAID Water, Sanitation, and Hygiene Partnerships and Learning for Sustainability (WASHPaLS) Project. https://www.globalwaters.org/resources/assets/washpals/rural-mbs-desk-review

[6] As found for example in USAID. 2023. *Addressing the Human Resource Capacity Gaps in Rural Sanitation and Hygiene: Final Report*. WASHPaLS #2 Activity. https://www.globalwaters.org/sites/default/files/washpals_2_capacity_needs_assessment_-_synthesis_report_-_october_2023.pdf

Through this Request for Expressions of Interest (REOI), WASHPaLS #2 seeks to improve knowledge, understanding, and delivery of SMSS, particularly in rural areas. The REOI is centered around three core themes, identified as knowledge gaps through WASHPaLS #2 work to date:

1. Latrine pit design and modifications
2. Strengthening local capacity and engagement for rural SMSS
3. Management and treatment models for rural fecal sludge management (FSM)

WASHPaLS #2 seeks expressions of interest for grants that, through practical implementation research and learning, explore one or more of these themes. WASHPaLS #2 seeks partners/programs that are implementing or planning to implement some of the adaptations/solutions/approaches outlined below and who would like to add a complementary activity, such as a piloting, testing, evaluating, learning and/or documenting element to their work to contribute to knowledge gaps around SMSS. The themes and associated learning questions are described below as standalone, but applicants are encouraged to make linkages across themes, where appropriate and relevant to their context.

All grant funded activities will be subject to USAID environmental guidelines and construction policy (please see item 6 in Section 2 Funding Restrictions for more details). Additionally, all grants under this call would be expected to collect cost and expenditure data on any of the solutions tested, to contribute to continued analysis of cost-effectiveness of different approaches, interventions and across different contexts. Specific guidance on the type of cost data and the required format will be provided by WASHPaLS #2

1. Latrine pit design and modifications

Pit latrines are the standard in most rural areas in Sub-Saharan Africa and large parts of Asia but face notable challenges in terms of quality and durability. Marketing of improved latrines or latrine components has contributed to better access to quality facilities but is not yet accessible or available to all rural customers. This theme identifies some priority questions around latrine pit design and latrine (marketing) modifications to address these challenges.

1.1 Latrine pit lining

Background and knowledge gap(s)
Community-based Total Sanitation (CLTS) and associated approaches have contributed significantly to reducing or even eradicating open defecation in many parts of Sub-Saharan Africa and Asia but, particularly in Sub-Saharan Africa, have also resulted in the construction of many poor-quality pit latrines. Pit collapse and latrine durability are still major challenges to sustainable access to sanitation, be it from impacts of extreme weather, poor accessibility to quality materials, construction capacities, or affordability. Pit lining provides a solution to the durability challenge, but can be expensive, is not always appropriate, and when applied incorrectly, can inhibit latrine pit effectiveness in terms of pathogen reduction, or result in increased fill rates.

WASHPaLS #2 desk-based research (forthcoming) has identified challenges related to the marketability of existing pit lining solutions, including related to cost, local availability, weight and transport challenges, acceptability, design, and durability (e.g., of natural materials). These marketing challenges are further exacerbated by poor understanding of pit lining functions and requirements (to avoid pit collapse and to enable pathogen breakdown), poor choice of pit lining materials in unstable soils and high-water table or

inundation prone regions, and a lack of well-documented experimentation with different pit lining materials and construction methods.

Learning question and focus of grants

1.1. *What innovations in pit lining materials and methods can deliver a breakthrough in marketability and/or adoption over current market options?*

Applications under this theme should explore innovative materials, designs, and construction techniques to deliver a significant breakthrough in marketability and/or adoption of pit lining (*markedly improve affordability, simplicity of construction, accessibility, acceptability*) over current market options, while retaining or improving pit effectiveness (*in terms of pathogen reduction*) and ensuring a durable lining system (*in terms of structural integrity and pit fill rates*), for a majority of conditions (although not all) that necessitate lining (*any of the following conditions are true: water based anal cleansing, non-rocky soil, risk of flooding, or plan to empty the pit*). This could include:

- techniques and/or additives for the manufacture of permeable/perforated concrete,
- innovations in the use of plastics and recycled materials,
- geotextiles and earth-based solutions,
- innovations or materials commonly used in other sectors (e.g., housing construction) with potential for pit lining applications, and
- Application of (permeable/perforated) partial linings, e.g., of the top part of the pit.

It is critical that the innovations proposed are significant enough that they have the potential to replace current approaches and options available and known in most markets. For example, the way a plastic squat pan has advantages over ceramic ones, e.g. less expensive, easier to manufacturer and ship and install, while still being desirable to customers. WASHPaLS #2 is seeking similar step change in latrine pit lining design, materials, or techniques.

1.2 Latrine product modifications to reach additional populations

Background and knowledge gap(s)

Current and recent MBS programs have primarily supported sanitation businesses in providing products and services to customers within rural mixed or rural on-road settings, recognizing that populations in remote rural areas can be difficult to reach viably with existing sanitation products and services. However, in an AWS framework all must be reached, and there are knowledge gaps around if and how sanitation enterprises can expand product and service delivery to additional populations within their catchment area, or to expand their catchment areas to push towards area-wide coverage. In many cases, the problems encountered in delivering products and services—particularly of bulky items like slabs or pit lining rings—to remote areas are linked to (costs of) transportation. Solutions are to either construct on-site or to explore ways to make transportation easier and cheaper, or to modify products or delivery systems to better suit these customers. This could involve small modifications to existing products and (delivery) services to make them more accessible to more remote populations, or exploring modularity, i.e., breaking toilet components down into subcomponent parts to facilitate transport. The accompanying product, construction process, and business model need to be feasible and viable for the sanitation entrepreneurs offering the product or service, and affordable, appropriate, and acceptable for the consumers.

1.2. *What adaptations to product and/or delivery systems can facilitate or ease product and service delivery to remote or hard-to-reach rural areas and how can these adaptations be feasibly delivered by market or non-market actors, or a mix thereof?*

Grants under this theme could explore technical adaptations to products or product systems currently marketed by sanitation enterprises (e.g., supported by an ongoing MBS program), to facilitate or ease product and service delivery to new geographies, or experimentation with alternative ways of product delivery/construction, e.g., either on-site or off-site, modular or not, constructed by entrepreneurs or community actors, or a mix thereof.

2. Strengthening local capacity and engagement for rural SMSS

Local-level actors such as volunteers, community-based organization, and (informal) artisans are key contributors to rural sanitation and hygiene service delivery, but are often overseen or underrated in capacity development, programming, and planning for (post-ODF) sustainability and provision of SMSS. This theme explores evidence gaps identified in WASHPaLS #2 work and partner consultations on AWS and the sanitation and hygiene sector human resource (HR) capacity needs assessment.

Background and knowledge gap(s)

A key success of CLTS has been its ability to ignite and facilitate, at an unprecedented scale, collective action and volunteerism within (mostly rural) communities.[7] However, communities struggle to build durable, improved basic toilets, let alone ensure SMSS, without engagement and support from public and private sector partners to provide an enabling environment and access to improved products and services. Nonetheless, a WASHPaLS #2 study[8] found that, with limited institutional actors and formal jobs available to fulfill the rural sanitation and hygiene functions required to attain SMSS, there is, and will likely continue to be, an almost de facto dependence on low-level skilled workers, volunteers, community systems, and the informal sector. This includes community-based structures such as WASH committees, volunteers in the form of natural leaders and 'community consultants', community health volunteers, *Swachaggrahis* (India), or Barangay Health Workers (the Philippines), and community-based (informal) artisans.

Community-based structures and volunteers remain important in continued behavior change and shifting of social norms (e.g., norms and behaviors on intra-household access and usage, or on appropriate use of pit latrines), support to vulnerable households, as well as maintenance and upkeep of latrines and handwashing with soap facilities , facilitation and monitoring of small doable actions towards incremental upgrading of facilities (e.g., such as promoted by the Follow-Up MANDONA approach), and ensuring and monitoring consistency in construction and latrine quality. Sustainably continuing such community action to address the requirements of SMSS may require further institutionalization of and support to community-based structures and volunteers, including from local government institutions, or possibly from market-based actors where community structures support MBS.

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[7] See USAID. 2018. *An Examination of CLTS's Contributions Toward Universal Sanitation.* https://www.globalwaters.org/resources/assets/washpals/examination-cltss-contributions-toward-universal-sanitation.
[8] See USAID. 2023. *Addressing the Human Resource Capacity Gaps in Rural Sanitation and Hygiene: Final Report.* Washington, DC, USAID Water, Sanitation, and Hygiene Partnerships and Learning for Sustainability (WASHPaLS) #2 Activity. https://www.globalwaters.org/sites/default/files/washpals_2_capacity_needs_assessment_-_synthesis_report_-_october_2023.pdf.

With regards to volunteers, while both the public sector and development partners and international non-governmental organizations (INGOs) greatly depend on them to ensure broad program outreach and community mobilization, clear support structures, guidance, and continued capacity development opportunities are lacking. This affects both the quality and sustainability of program delivery. There is also evidence of large-scale mobilization of community volunteers in CLTS campaigns who are then not effectively utilized, or incentivized and capacitated, to support post-ODF sustainability or further progress towards SMS.[9]

Lastly, community structures, volunteers, artisans and (informal) sanitation service providers, but also local government actors supporting these communities, oftentimes lack knowledge on the most appropriate sanitation technologies and treatment options for their rural contexts, and on methods and materials for high quality construction of effective, durable, appropriate latrine types. The recent WASHPaLS #2 study on HR capacity needs in the sanitation and hygiene sectors[10] noted that there is a particular lack of education or capacity development opportunities for lower skills levels (e.g., technical training for semi-literate and illiterate workers and/or people who cannot travel long distances to access specialist education), and a gap in diversified offering of continuous professional development and on-the-job learning, including among the substantial legion of volunteers and informal sector actors. Overall, the study identified a lack of decentralized capacity development opportunities to build capacity at the scale required, and in people's own contexts and localities, beyond geographical centers where universities, colleges, or TVETs may be located.

Learning question and focus of grants

There are three learning questions to be pursued under this sub-theme:

2.1.a. *How can countries/projects improve volunteer schemes to support achievement of sanitation and hygiene coverage targets and/or (post-ODF) sustainability/SMS, in such a way that strengthens the position and prospects of volunteers and institutionalizes and values their role in the sector?*

2.1.b. *What types and models of community structures/communal action can effectively and sustainably contribute to ensuring (post-ODF) sustained use, maintenance and upkeep, and/or upgrading of household toilets and hygiene facilities, and what external support mechanisms, provisions, or governance structures do they require?*

Grants under these questions could seek to explore, trial, compare or evaluate outcomes or implications of 1) institutionalization/formalization of volunteer schemes into local government mechanisms or national programs, 2) formalization of community-structures, or 3) a combination thereof, to facilitate, support, or undertake (post-ODF) monitoring, enforcement, quality control, latrine construction or rehabilitation, sanitation marketing, safe pit emptying and waste disposal, and/or support to vulnerable households toward ensuring SMSS. Learning could include a focus on:

- monitoring, support, and quality control of volunteer/community-structure activities,

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[9] See USAID. 2023. *Addressing the Human Resource Capacity Gaps in Rural Sanitation and Hygiene: India Country Report* (https://www.globalwaters.org/sites/default/files/washpals_2_capacity_needs_assessment_-_india_-_october_2023.pdf) and USAID. 2023. *Addressing the Human Resource Capacity Gaps in Rural Sanitation and Hygiene: Nepal Country Report*
[10] USAID. 2023. *Addressing the Human Resource Capacity Gaps in Rural Sanitation and Hygiene: Final Report*. Washington, DC, USAID Water, Sanitation, and Hygiene Partnerships and Learning for Sustainability (WASHPaLS) #2 Activity. https://www.globalwaters.org/sites/default/files/washpals_2_capacity_needs_assessment_-_synthesis_report_-_october_2023.pdf.

- levels, types and impact of volunteer incentivization/remuneration,
- appropriate capacity strengthening systems and processes, and other types of (material or technical) support required, and/or
- impact of the formalization process on the position of women, youth, and/or socially excluded groups in communities, including possible unintended consequences (e.g., women being crowded out of volunteer positions when they become remunerated).

Within this, learning should particularly address the systems, processes, and roles of local government and other external support structures and actors to sustain and institutionalize volunteers and/or community structures over time.

2.2. *What adaptations to existing TVET or technical skills-based education offerings and/or online or distance learning initiatives can effectively increase access to and uptake of SMS-relevant learning among people working in sanitation and hygiene in rural geographies, including local government staff, volunteers, and/or (informal) private sector actors active in sanitation and hygiene product and service delivery?*

Grants under this theme should endeavor to clarify and address patterns of access to SMS capacity development opportunities, be they geographical, gender-related, or skills level and literacy-related, to effectively expand access to capacity development opportunities for particular target groups. Focus should lie on the potential of the adaptations to function at scale, sustainably, within existing structures or mechanisms. This could include identifying and filling curriculum gaps on SMS with TVETs, piloting use of online or mobile tools for (on-the-job) learning, testing of sanitation artisan certification schemes or licensing of service providers, formalization or establishment of local artisan/emptier structures for peer-to-peer capacity strengthening, or mechanisms for (remote) capacity development of volunteers and community-based actors.

3. Management and treatment models for rural FSM

Rural FSM is often dependent on households or informal local actors, but generally understudied.[11] A WASHPaLS #2 study on business models for rural FSM[12] concluded that demand for paid recurring FSM services exists in rural areas but, once collected (formally or informally), legally mandated, safely managed waste treatment options are often limited. This theme focuses on knowledge and evidence gaps identified in the abovementioned WASHPaLS #2 study on rural FSM and previous studies and takes into account results from a sector-actor consultation at the AfricaSan 7 conference in November 2023.

Background and knowledge gap(s)
WASHPaLS #2 distinguishes between FSM practices in remote rural areas where transporting waste away from the community is not a viable option, and practices in rural mixed or rural-on-road settings where transport and remote treatment/disposal could be feasible.

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[11] USAID. 2023. *Addressing the Human Resource Capacity Gaps in Rural Sanitation and Hygiene: Final Report*. Washington, DC, USAID Water, Sanitation, and Hygiene Partnerships and Learning for Sustainability (WASHPaLS) #2 Activity. https://www.globalwaters.org/sites/default/files/washpals_2_capacity_needs_assessment_-_synthesis_report_-_october_2023.pdf.

[12] See USAID. 2023. *Two Viable Models for Rural Fecal Sludge Management*. Washington, DC, USAID Water, Sanitation, and Hygiene Partnerships and Learning for Sustainability (WASHPaLS) #2 Activity. https://www.globalwaters.org/sites/default/files/washpals_2_-_rural_fsm_brief_final_-_06.2023.pdf.

With regards to the first, remote rural context, both the WASHPaLS #2 study and a prior study on SMSS in rural areas[13] recommended that fecal sludge should be treated or disposed of locally. Where space and groundwater conditions allow, excreta should be stored and left in the ground to encourage pathogen die-off and limit the risk of fecal exposure, or where latrines have to be emptied and suitable land is available, burying of fecal sludge in pits or trenches as close to the emptying site as possible is encouraged. However, very little documentation exists on such rural FSM experiences in developing countries, and many questions remain on how to effectively and safely manage these proposed practices, particularly in rural remote contexts.

With regards to mixed rural and rural-on-road contexts, the WASHPaLS #2 study found that appropriate management models in rural contexts would likely involve a mix of local government, community, and (informal) private sector engagement. The study identified two common models, both utilizing public private partnerships (PPP), in which local government or another public body (e.g., nearby urban municipality or utility) either manages private sector contractors directly or facilitates private service licensees through a PPP. However, many questions remain on viable business or management models. An additional consideration for the provision of rural FSM services is the extent to which FSM service providers are incentivized or motivated to provide safe FSM services (i.e., assuring worker health and environmental safety), and the extent to which households are willing to pay for/demand safely managed services.

The study also found that small-scale existing models typically adopt any one method or service configuration for emptying and transport of sludge to a central treatment/disposal location (e.g., either a vacuum truck service connected to a central fecal sludge treatment plant, or use of bikes and pumps with on-site burial). In such a single configuration, options to viably increase coverage, either by urban-rural extension or by expanding the bike and pump service, are generally limited by distance. Safe FSM models based on a hybrid mix or portfolio of methods and services are rare.

Learning questions and focus of grants
There are two learning questions under this theme:

3.1. *What are effective local sludge disposal management and treatment models for remote rural areas where transporting waste away from the community is not a viable option, and how can these models ensure and assess safe management of waste?*

Grants under this theme could seek to pilot, evaluate, and/or document low cost, low technology options and practices, and answer sub-questions including:

- What are effective community-based options for passive, safe disposal of waste, such as communal burying or trenching, and how can these be safely organized and managed locally? Are there thresholds or conditions under/over which these technologies can be safely managed (e.g., site selection, sludge load, time sludge should be left to compost, whether or not additional sludge can be added over time, impact on groundwater, etc.)
- What incentives, sanctions, standards, or other processes can encourage use of safe procedures, tools, and approaches for manual pit emptying and community-based disposal of collected waste?

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[13] Robinson, A., Peal, A. (2020). *Safely Managed Sanitation Services in the Global Sanitation Fund*. WSSCC. https://www.susana.org/en/knowledge-hub/resources-and-publications/library/details/4345

- What are sustainable, effective models of volunteer or informal actor engagement in (rural) FSM, and/or how to increase the employment generation potential of FSM? E.g., of local informal sector actors; women, youth, and disadvantaged populations. (Potential link to Theme 2.)

3.2 *What are (cost) effective models to expand (urban) FSM services to/across rural mixed and rural on-road areas, and what are the roles of public and private partners in these models? For example, rural emptiers using urban FSTPs or the grouping of several rural settlements into coherent geographic areas to improve the viability of rural FSM services, use of smart incentives for local FSM service providers, or provision of a portfolio of services adapted to context.*

Grants under this theme would cover costs to ideate, analyze, and/or evaluate ongoing or planned programming efforts to pilot or expand (a) service delivery model(s) to rural mixed and/or rural on-road areas. This could include efforts by a small-town utility to expand services to surrounding rural areas, or efforts by a rural WASH program to develop or support local service provision models in rural areas, or a portfolio of services with different emptying, transport, and disposal options and costs. Trialing and evaluation could focus on factors such as actual and unit costs, staffing requirements, institutional arrangements, customer feedback, and regulatory/safety compliance.

Under this question, successful grantees may be able to benefit from additional technical assistance from WASHPaLS #2, in line with its broader portfolio of work on MBS and rural FSM business models.

SECTION 2. AWARD INFORMATION

1. Number and Estimated Value of Awards

WASHPaLS #2 anticipates making up to eight awards as a result of this REOI. Awards are anticipated to range from about $100,000 to $225,000. The number and value of awards is dependent on the quality of the EOIs and full applications received, their link to WASHPaLS #2 objectives, and available funding. Organizations can submit multiple EOIs.

2. Period of Performance

The applicant shall specify the period of performance of the project being proposed. It is anticipated that the duration of grants will be 12-15 months but may be shorter or longer depending on the technical scope.

3. Geographic Focus of Activities

It is preferred, but not required, that applicants propose work in one or more of USAID's Water, Security, and Sanitation Hygiene high priority countries, as indicated below:

D.R. Congo	India	Malawi	Philippines	Uganda
Ethiopia	Indonesia	Mali	Rwanda	Zambia
Ghana	Kenya	Mozambique	Senegal	
Guatemala	Liberia	Nepal	South Sudan	
Haiti	Madagascar	Nigeria	Tanzania	

4. Grant Type

WASHPaLS #2 anticipates awarding either Fixed Amount Awards (FAA) or In-Kind Grants (IKG) from this REOI. With an FAA grant, the grant recipient and WASHPaLS #2 will establish a set of pre-identified milestones with a fixed payment tied to the successful completion of the milestone. Activities and outcomes must be priced with reasonable degree of certainty for this type of grant (e.g., conferences, studies, surveys, workshops, etc.). With an IKG, activities are usually simple in nature and WASHPaLS #2 will assume procurement responsibility of all goods and services and provide them to the grant recipient in-kind to complete the grant activity; no funds will be transferred to the recipient.

A grant award will be administered in accordance with applicable regulations as follows:
- For FAAs to US or Non-US organizations: 2 CFR 200, 2 CFR 700, and ADS 303mat, Standard Provisions for Fixed Amount Awards to Nongovernmental Organizations are applicable. For IKGs, WASHPaLS #2 would assume all procurement responsibility.

5. Cost Share Requirements

Cost Share is not required under this REOI.

6. Funding Restrictions

The following restrictions apply to awards issued under this REOI:
- The award will not allow the reimbursement of pre-award costs. That is, only allowable expenses incurred during the period defined within the grant agreement will be reimbursed.
- VAT is not considered allowable.
- Grant recipients may not use grant funds for 'construction' activities as defined in ADS Reference 303maw | Document | U.S. Agency for International Development (usaid.gov) and

included below. Any construction activities or costs must be proposed as the Grantee's own contribution or a third-party contribution which can be further negotiated and discussed with WASHPaLS #2 if the applicant is selected to proceed.

- o Construction means—construction, alteration, or repair (including dredging and excavation) of buildings, structures, or other real property and includes, without limitation, improvements, renovation, alteration and refurbishment. The term includes, without limitation, roads, power plants, buildings, bridges, water treatment facilities, and vertical structures. The term does not include emplacement and removal of prefabricated structures and humanitarian shelters that are designed and constructed to be readily moved, erected, disassembled, stored, and reused (i.e., "relocatable buildings"), unless the emplacement and removal of the relocatable building requires site preparation work that otherwise meets the definition of construction.

- o "Improvements, renovation, alteration, and refurbishment" means – any betterment or change to an existing property to allow its continued or more efficient use within its designed purpose (renovation), or for the use of a different purpose or function (alteration). Improvements also include improvements to or upgrading of primary mechanical, electrical, or other building systems. "Improvements, renovation, alteration, and refurbishment" does NOT include non-structural, cosmetic work, including painting, floor covering, wall coverings, window replacement that does not include changing the size of the window opening, replacement of plumbing or conduits that does not affect structural elements, and non-load bearing walls or fixtures (e.g., shelves, signs, lighting, etc.). It also does NOT include repairs used in humanitarian assistance which constitute minor fixes to physical elements of a currently serviceable structure, if those repairs do not significantly impact or change the primary mechanical, electrical, or structural elements of the real property. Profit or fee is not allowed.[14]

- Sub-awards or consortium partner relationships in which a contractual mechanism is established to transfer funds from the prime grant recipient to another organization to carry out a portion of the grant activities are not allowable. Consultant agreements with individuals, and service contracts with vendors or service providers, are allowed.

- The award will not allow the reimbursement of any goods and/or services that utilize telecommunications and video surveillance products from the following companies: Huawei Technologies Company, ZTE Corporation, Hytera Communications Corporation, Hangzhou Hikvision Digital Technology Company, or Dahua Technology Company, or any subsidiary or affiliate thereof, in compliance with 2 CFR 200.216.

7. Gender Integration

All successful grants must integrate gender issues into the program design. Applicants are encouraged to review USAID's 2023 Gender Equality and Women's Empowerment Policy in the development of Applications. If selected to proceed to an award, WASHPaLS #2 may request changes be made to the program design to ensure that USAID's priorities on gender equality and women's empowerment are adhered to in grant implementation.

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[14] Profit is any amount over and above allowable direct and indirect costs. Commercial organizations must confirm, as a condition of the award, that the proposed grant budget does not include any amount above the allowable direct and indirect costs needed to successfully implement the grant activity, and the Project will analyze all costs to ensure they are allowable, reasonable, and necessary for the grant activity. This prohibition does not apply to profit generated by the grant recipient outside of the grant activity or after the grant end date, or to revenue earned as a result of activities.

8. Environmental and Climate Risk Management Concerns

All grants issued under WASHPaLS #2 will be subject to the USAID requirements for environmental soundness and compliance as required by [22 CFR 216](#) and the USAID requirements for Climate Risk Management in [ADS 201mal](#). An Environmental Review and Climate Risk Management Screening will be conducted by WASHPaLS #2 with input from the successful applicant to determine if activities will have an adverse environmental impact or pose a climate risk, and if proposed mitigation and monitoring measures will sufficiently minimize the impact. When submitting a EOI and Full Application applicants should address any potential impacts and the mitigation and monitoring measures that will be put in place.

9. Branding Strategy and Marking Plan

All grants issued under the WASHPaLS #2 are required to comply with the Marking and Public Communications under USAID-Funded Assistance provision which requires all programs, activities, public communications, and commodities that USAID partially or fully funds under an award or sub-award to be appropriately marked with the USAID identity.

A Branding Strategy and Marking Plan (BSMP) is not required upon submission of a EOI or Full Application. WASHPaLS #2 will provide a BSMP template and work with the successful applicants proposed for award to determine if additional considerations need to be incorporated into each specific award, including budgeting considerations.

Applicants can find additional information in [ADS 320, Branding and Marking.](#)

10. Reporting Requirements

As a condition of award, the grant recipient will be required to submit brief monthly progress reports including information on key performance indicators. Depending on the grant type, the award will outline financial, technical, and deliverable reporting requirements which will be discussed with the recipient prior to grant signing. In addition, grant recipients must comply with the following USAID provisions:

Development Experience Clearinghouse (DEC): WASHPaLS #2 will incorporate programmatic information that grantees provide through regular reporting into WASHPaLS #2's submissions to USAID. Grantees do not need to submit any information to the DEC. For additional information please refer to the applicable Mandatory Standard Provision entitled *Submission to the Development Experience Clearinghouse and Data Rights.*

Development Data Library (DDL): Grant recipients that generate datasets[15] or intellectual work[16] with

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[15] "Dataset" is an organized collection of structured data, including data contained in spreadsheets, whether presented in tabular or non-tabular form. For example, a Dataset may represent a single spreadsheet, an extensible mark-up language (XML) file, a geospatial data file, or an organized collection of these. This requirement does not apply to aggregated performance reporting data that the recipient submits directly to a USAID portfolio management system or to unstructured data, such as email messages, PDF files, PowerPoint presentations, word processing documents, photos and graphic images, audio files, collaboration software, and instant messages. Neither does the requirement apply to the recipient's information that is incidental to award administration, such as financial, administrative, cost or pricing, or management information. Datasets submitted to the DDL will generally be those generated with USAID.

[16] "Intellectual Work" includes all works that document the implementation, monitoring, evaluation, and results of international development assistance activities developed or acquired under this award, which may include program and communications materials, evaluations and assessments, information products, research and technical reports, progress and performance reports required under this award (excluding administrative financial information), and other reports, articles and papers prepared by the recipient under the award, whether published or not. The term does not include the recipient's information that is incidental to award administration, such as financial, administrative, cost or pricing, or management information.

WASHPaLS #2 funds will be required to comply with DDL submittal requirements. WASHPaLS #2 will provide guidance and submit on behalf of the grant recipient. For additional information please refer to the applicable Mandatory Standard Provision entitled *Submission of Datasets to the Development Data Library.*

SECTION 3. ELIGIBILITY INFORMATION

1. Eligible Applicants
WASHPaLS #2 invites EOIs from the following types of eligible organizations:

- Civil Society Organizations (CSOs);
- Community Based Organizations (CBOs);
- National, regional, and local organizations; including local and Indigenous organizations led by women, girls and gender diverse individuals and those dedicated to promoting gender equity and social inclusion;
- Non-US NGOs;
- US NGOs;
- Private foundations and universities.

In addition, WASHPaLS #2 will assess all applicants in the following areas prior to grant award, and based on that pre-award assessment, may include additional conditions. Organizations that have not previously received USAID funding are encouraged to apply. To be eligible for award, applicants must demonstrate that they:

- Are legally registered and recognized under the laws of the Country of Implementation;
- Are in good standing with all civil and fiscal authorities;
- Are willing to sign applicable assurances and certifications prior to award (these will be provided in the Full Application); and
- Demonstrate registration with a Unique Entity ID (UEI) (guidance will be provided in the Request for Full Applications)[17]

2. Ineligible Applicants
The following types of organizations are **not** eligible for WASHPaLS #2 grant funding:

- Political parties, groupings, or institutions, or their subsidiaries and affiliates;
- Partner Government Entities (including Parastatals);
- Public International Organizations
- Organizations that appear as ineligible on the SAM, UN 1267, and/or OFAC/SDNBP lists;
- Organizations that promote or engage in illegal activities or anti-democratic activities;
- Faith-based organizations that are not in compliance with ADS 303.3.28, which is in accordance with Executive Order 13279, Equal Protection for the Laws of Faith-based Community Organizations; and/or whose objectives are discriminatory or religious in nature;
- An organization that refuses to sign the required certifications or register for a UEI;

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[17] The Unique Identify ID (UEI) is issued by the US federal government and is used within SAM.gov and other government award and financial systems to identify organization receiving USG funding. Formerly grant recipients were requested to obtain a DUNS number, but as of April 4, 2022, grant recipients are now required instead to have a UEI, which is generated by SAM.gov.

- Organizations that are not legally registered in the Country of Implementation;
- Any entity that has been found to have misused USAID funds in the past three years;
- Any organization that cannot meet USAID requirements; or
- Any organization not approved by USAID.

3. Ineligible Activities

The following activities are not eligible for funding:

- Activities that duplicate the activities of other USG-supported program or programs conducted by other organizations in WASHPaLS #2 target regions;
- Activities that are inconsistent with international standards of human rights or with democratic goals of racial and ethnic tolerance and harmony;
- Ceremonies, parties, celebrations, or "representation" expenses except for those that are specified in the grant (for example, opening ceremonies) to promote the visibility of USAID in the eyes of the communities USAID is trying to serve;
- Involuntary sterilization programs;
- Abortion-related activities and biomedical research relating to abortion;
- Construction, as defined in https://www.usaid.gov/ads/policy/300/303maw; and
- Activities outside the grant agreement scope and/or not approved by USAID.

SECTION 4. SUBMISSION INFORMATION

1. Instructions

Eligible Applicants should submit a EOI following the format provided in Attachment A. EOIs should not exceed (3) three single-spaced pages (not including the cover page) and must contain the information requested in Attachment A. EOIs should be submitted using the following format, and those that do not follow the format provided may be disqualified.:

   a. Language must be in **English or French.** Please note if invited to submit a full application, the application must be in English.;

   b. Font must be **Times New Roman**;

   c. Font size must be **11**;

   d. Paper size must be **Letter** (8.5" X 11');

   e. Margins must be **1"** on all 4 sides of the page.

> Applicants should submit their EOIs electronically in English by the dates indicated on the cover page of the REOI. Please insert the following text into the subject line of the submission email: WASHPaLS #2 EOI-002. EOIs should be directed to:
>
> Attention: Ms. Erica Goldberg, WASHPaLS #2 Operations Specialist
> Email: ard.washpals2.grants@tetratech.com

Questions can be sent to:
Erica Goldberg, WASHPaLS #2 Operations Specialist
ard.washpals2.grants@tetratech.com

2. Submission Dates and Times

EOIs will be reviewed as shown on the cover page of this REOI. EOIs will not be accepted after the date of REOI closing as noted in the cover page.

SECTION 5. REVIEW INFORMATION

1. Initial Screening

Upon receipt of EOIs, the WASHPaLS #2 will review each EOI to ensure it meets the minimum requirements before proceeding with merit review. The initial screening requirements include:

- Applicant has submitted a EOI using the template provided and in accordance with the page length and formatting requirements.
- Applicant is a legally registered entity that meets the eligibility criteria listed above in Section 3.
- Applicant is not found with a negative determination in the SAM, OFAC or UN 1267 lists.

2. Evaluation Criteria

All EOIs which pass the initial screening will be evaluated by WASHPaLS #2 Review Evaluation Committee (REC) based on the following evaluation criteria:

1. Does the EOI clearly address one or several themes and learning questions outlined in this REOI?
2. Does the EOI clearly articulate the problem, challenge, or barrier(s) to SMS it intends to address, and the Theory of Change by which it will do so?
3. Does the EOI present a clear and applicable approach that will contribute toward WASHPaLS #2 objectives?
4. Does the EOI clearly discuss potential scalability and sustainability of the technical approach/innovation to be studied? Does the technical approach include a plan to engage and/or imply local stakeholders and systems, including, as appropriate, local government, youth, women, indigenous peoples, and other marginalized groups?
5. Does the EOI adequately address how the project would be managed?
6. Does the organization have relevant prior experience in the technical area to effectively carry out the proposed activity?
7. Does the EOI adequately demonstrate the internal capacity and experience to comply with the administrative requirements (for example: experience implementing grants with USAID or other donors)??

ATTACHMENT A: EOI FORM

Cover Page / Introduction (1 page):

Name of Applicant Organization:		Address:
Contact Person(s):	Phone:	E-mail:
Type of Organization: (e.g., non-profit, commercial, private university, etc.)	Country of legal incorporation:	Proposed Country of Implementation: Registered and legally able to operate in the Country of Implementation? (Yes/No) Provide proof of current registration.
Proposed Duration of Grant Activity (number of months):	Proposed Grant Activity Title:	
Proposed Total Grant Budget:	Proposed Geographic Area(s) with the country:	

Proposed Thematic Area (multiple thematic areas can apply):

☐ Latrine pit design and modifications

☐ Strengthening local capacity and engagement for rural SMSS

☐ Management and treatment models for rural FSM

I, the undersigned, hereby submit this EOI to WASHPaLS #2 for review and consideration. I have materially participated in its preparation. To the best of my knowledge, all information provided is current, complete, and accurate and based on the need to efficiently and effectively meet the needs of the target population.

Additionally, I certify that myself nor any employee of the organization who assisted in the preparation of this Application have or are aware of any real or potential conflict of interest with a USAID or WASHPaLS #2 official involved in this REOI.

I acknowledge that USAID is not a party to this solicitation and agree that any concerns about the solicitation process will be presented – in writing with full explanation – to the WASHPaLS #2 for consideration.

Signature*: _____   Date: _____

Printed Name*: _____

Title: _____

*Must be authorized representative of the applicant, authorized to obligate the applicant contractually.

EOI: Please provide the following information in three pages or less

1. Profile of your organization. (~0.5 page)

2. **Technical Approach (1.5 pages)**

Notes: Briefly describe your technical approach including:

- Statement that clearly articulates the problem or evidence gap in programming that the proposed Activity will address, and REOI learning question(s) this relates to.
- Technical approach, including a theory or hypothesis of change and description of planned activities, outputs, outcomes, impact/goal.
- Description of how the approach is innovative and/or informed by evidence or local practice, and has the potential to be scaled-up, institutionalized, and/or sustained
- The national and/or local context in which the Activity will be based.
  - Discuss current policies, programs or partnerships relevant to the proposed work
  - Reference existing analyses, needs assessments, or recent evaluations as may be appropriate, and how the proposed approach builds on these to address the learning question(s)
- Plan for engaging with local stakeholders and local systems
- Plan for engaging youth, women, indigenous peoples, and other vulnerable groups, and/or address GESI concerns or considerations
- Environmental impact, risk, and/or climate change considerations

Timeline and Expected Results (0.5 pages)

Note: Briefly describe the Activity's expected timeline and results, including:

- Timing for the Activity, showing major tasks and timelines.
- What indicators will be used to measure progress and achievement
- Who will be the target beneficiaries

Program Management (0.5 pages)

Note: Briefly describe how the Activity will be managed including:

- Key personnel involved in the activity and brief summary of relevant experience
- Where program operations will be based
- If there will be a remote management component, describe what backstop or Home Office support would be provided to programs located in a developing country

Previous Experience and Organizational Capacity (0.5 pages)

Note: Briefly describe the organization's capacity to manage the Activity including:

- Past performance in managing technical programs of similar size, scope, and complexity
- Experience in managing U.S. Government funds or other donor funds for similar sized projects

ATTACHMENT B: PRE-AWARD TERMS AND PROVISIONS

CONFLICT OF INTEREST PRE-AWARD TERM (August 2018)

a. Personal Conflict of Interest

1. An actual or appearance of a conflict of interest exists when an applicant organization or an employee of the organization has a relationship with a WASHPaLS #2 or USAID official involved in the competitive award decision-making process that could affect that WASHPaLS #2 or USAID official's impartiality. The term "conflict of interest" includes situations in which financial or other personal considerations may compromise, or have the appearance of compromising, the obligations and duties of a WASHPaLS #2 employee or recipient employee.

2. The applicant must provide conflict of interest disclosures when it submits a EOI or application. Should the applicant discover a previously undisclosed conflict of interest after submitting the EOI or application, the applicant must disclose the conflict of interest to the WASHPaLS #2 Operations Specialist no later than ten (10) calendar days following discovery.

b. Organizational Conflict of Interest

The applicant must notify WASHPaLS #2 of any actual or potential conflict of interest that they are aware of that may provide the applicant with an unfair competitive advantage in competing for this financial assistance award. Examples of an unfair competitive advantage include but are not limited to situations in which an applicant or the applicant's employee gained access to non-public information regarding a federal assistance funding opportunity, or an applicant or applicant's employee was substantially involved in the preparation of a federal assistance funding opportunity. WASHPaLS #2 will promptly take appropriate action upon receiving any such notification from the applicant.

(END OF REOI)