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# **USAID EXPANDING WATER AND SANITATION PROJECT**

**Request For Applications (RFA)**  
**Grants**

**Capacity Building of WASHE stakeholders**

Contract No. 72061122C00004

RFA Reference Number: **EXPANDING WASH /RFA/03/2024**

# **Guidelines for Grant Applicants**

Project Title:	USAID EXPANDING WASH
Announcement Type:	Request for Applications (RFA)
RFA Number:	EXPANDING WASH RFA/03/2024
Issuance Date:	Monday, March 25,2024
Questions to be received by:	Tuesday, April 02, 2024 4.00 PM Zambia Time
Responses on website by:	Monday, April 08, 2024
Deadline for Submission of Applications:	Tuesday, April 30, 2024, 4.00 PM Zambia Time
Submit Applications & Questions to:	<a href="mailto:grants@Expandingwash.org">grants@Expandingwash.org</a>
Website:	<a href="http://www.rti.org/rfp">www.rti.org/rfp</a>

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# Abbreviations

APM	Area Pump Menders
CC	Community Champions
CSO	Civil Society Organization
D-WASHE	District Water Sanitation and Hygiene
EHT	Environmental Health Technicians
EPLS	Excluded Parties List System
FAA	Fixed Amount Award
O&M	Operation & Maintenance
PSE	Private Sector Engagement
PSP	Private Sector Participation
RFA	Request for Application
RTI	RTI International
UEI	Unique Entity Identifier
USAID	United States Agency for International Development
V-WASHE	Village Water Sanitation and Hygiene

# SECTION I –PROGRAM DESCRIPTION

## 1.0 Purpose

The purpose of this grant activity is to contribute towards improved functionality rate of water supply facilities, increased access to water and increased access to sanitation in underserved areas of Zambia.

## 1.1 Project Description

RTI International (RTII) was awarded the USAID Expanding Water and Sanitation Project in January 2022. The purpose of the USAID Expanding Water and Sanitation Project (USAID Expanding WASH) is to professionalize WASH services, to promote accountability for reliable and high-quality WASH services, and to enhance the enabling environment for private sector engagement (PSE) in service delivery in underserved areas of Zambia (Northern, Western and Muchinga provinces). The period of award is five-years.

The overall objective of USAID Expanding WASH project is to maintain and expand sustainable WASH services in peri-urban, rural growth centers, and rural areas of Muchinga, Northern, Western and Southern Provinces in 12 selected districts namely Chinsali, Nakonde, Mpika, Lunte, Mungwi, Kazungula, Kalomo, Nalolo, Kalabo, Mongu, Kaoma and Sesheke. Over the course of a five-year period, the project targets to increase access to water by 15% and increase access to sanitation by 25%.

The three objectives for the project are:

**Objective 1:** Institutionalize market-based WASH service delivery, with financially sustainable and inclusive management models.

**Objective 2:** Increase the accountability of WASH service providers, policymakers, and civic leaders.

**Objective 3:** Increase private sector participation (PSP).

## 1.2 Grants Activity

The general poor state of WASH infrastructure is a significant contributor to the low availability of water in the rural areas, whereas effective infrastructure O&M management is critical to ensuring sustainable and functional WASH systems. The project recognizes the strategic role played by District Water Sanitation and Hygiene (D-WASHE) and Village Water Sanitation and Hygiene (V-WASHE) committees in identification of sites for rehabilitation, coordination of infrastructure upgrade, identification of Area Pump Menders (APMs) and facilitation and development of appropriate enabling environment and entry point private sector engagement. This grant activity seeks to build capacity of District Water Sanitation and Hygiene (D-WASHE) and Village Water Sanitation and Hygiene (V-WASHE) committees, Area Pump menders (APMs) and Community Champions (CCs), with an objective to increase functionality rate of water supply facilities, increase access to water and increase access to sanitation.

The project seeks to work with eligible Enterprise or, Non-Governmental Organizations (NGOs), excluding GRZ institutions, who will undertake specific capacity building activities as described below.

**A. Under objective 1, Task 1.2.4-** Orient and build capacity in D-WASHE committees, V-WASHE committees and Area Pump Menders (APMs) in the Operation, Maintenance and Management of water points.

**B. Under objective I, Task 1.3.3-** Build capacity in Community champions (CCs) to implement sanitation behavioral change activities that will address open defecation and improve access to basic sanitation in the target populations.

**C. Support Equipment** - Distribute support equipment (Bicycles, Toolkits and Smart Phones) to APMs, CCs and Environmental Health Technicians (EHTs).

Grant recipients will implement the above activities in the 5 selected districts of Northern and Muchinga province that USAID Expanding WASH project is working in.

In developing their budgets, applicants should include relevant costs relating to Activity A, B and C above. However, note that under **Activity C – Support Equipment** (Bicycles, Toolkits and Smart Phones), these will be procured directly by USAID Expanding WASH Project and will be provided as an in-kind grant for distribution by the Grantee. Therefore, for Activity C, applicants should include in their budgets **only** the costs related to distribution.

The proposed grant activities must be within the framework of the following sub-objectives and tasks and conform to overall USAID Expanding WASH objectives.

**Sub-Objective 1.2: Enhance Construction Quality of Small-Scale Water Systems (New and Rehabilitated Hand Pump Boreholes and Small Piped-water Schemes)**

**Task 1.2.4** - Orient and build capacity in D-WASHE committees, V-WASHE committees and Area Pump Menders in the Operation, Maintenance and Management of water points.

**Activities:**

- Orient the D-WASHE committees and V-WASHE committees in sustainable Operation, Maintenance and Management of selected water points. In addition, developing enabling environment for private sector participation.
- Conduct needs assessment and undertake practical training APMs on repair of non-functional boreholes with hand pumps.
- Equipping APMs: As part of this activity, new water point tool kits for the repair of water points will be procured by the project, as an in-kind grant to the Grantee, and will be distributed by the Grantee under an improved tool kit management system at district and subdistrict level. The target is to train 120 APMs and procure and distribute 30 special & standard tool kits covering all the 5 districts.

**Sub-Objective 1.3: Facilitate Access for the Poor to Adequate Sanitation Facilities**

**Task 1.3.3** – Train CCs to be selected from the 5 target districts on ways to address open defecation and improve access to basic sanitation in the target populations with a market- based approach that supports supply chain development in the construction of toilets.

**Activities:**

- Building of capacity in 90 CC covering all the 5 selected districts. The training will enable CCs to mobilize communities and effectively disseminate sanitation behavioral change messages in villages.
- Equipping the CCs: Distribute 90 Bicycles to be procured by the project and awarded to the grantee as an in-kind grant.
- Monitoring and Reporting: Distribute 35 Smartphones procured by the project and awarded to the grantee, as an in-kind grant, for EHTs to monitor activities and report progress on water and sanitation activities.

## **I.3 Key Results**

- Key Result 1: Increased access to safe water by 3%–5% at midline & 15% at endline
- Key Result 2: Improved functionality rate of water supply facilities by 5%–10% at midline & 25% at endline
  - Train and equip 120 APM in the 5 target districts who will repair a total of
  - 640 number of boreholes rehabilitated.
- Key Result 3: Increased access to basic sanitation 5%–10% at midline & 25% at endline

The grant activities shall be carried out under the close supervision of the USAID Expanding WASH Team and in collaboration with 5 Local Authorities, 5 D-WASHE committees and other Government approved structures at district and subdistrict levels.

## **I.4 Target Audience & Coverage**

The grant activity will seek to create and maximize opportunities to enhance social inclusion, gender equity, and youth empowerment. Towards this end, APMs and CCs selection process will target to include 50% women, youth, and persons with disabilities to foster inclusion in each area.

# **SECTION II – GRANT AWARD INFORMATION**

## **2.0 Type of Grants**

USAID Expanding WASH project expects to award Fixed Amount Award (FAA) with In-Kind hybrid, type of grant to successful applicants. FAA are performance-based, and accountability is on meeting measurable goals and objectives. Payments will thus be measured on achievement of technical results through specified deliverables.

The project will develop specific deliverables that are objective and verifiable to ascertain completion of activities and achievement of the expected goals and results. Milestone payments will be structured detailing required deliverables and timelines.

## **2.1 Estimated Funding Level, Grant Ceilings and Geographical Coverage**

USAID Expanding WASH expects to award **a grant, for Northern region of implementation of the activities**. The grant will comprise a Fixed Amount Award portion and an In-Kind Grant portion (Support Equipment). The amount below **indicates the budget ceilings for the Fixed Amount Awards and excluding the Support Equipment** for the region.

### **I. Northern Region with 5 districts - \$60,000**

Applicants' budgets should not exceed the above amounts. Submission of budgets in excess of the above amounts may result in the rejection of the application, at the discretion of the project.

Before award, the project will discuss the IKG budget amounts to be added to the FAA budget (Support Equipment) based on a detailed needs assessment. The total grant (FAA + IKG) for each region shall not to exceed **USD 150,000**.

The number of awards and amount of available funding is subject to change and RTII reserves the right to make no awards under this RFA.

## **2.2 Anticipated Start Date for the Awards and Implementation Period**

RTII anticipates the start date for the grant activities to be around **September 30, 2024**, upon award with an implementation period of 12 months.

## **2.3 Award Administration**

The Fixed Amount Award will be governed by the Standard Provisions for Fixed Amount Awards as guided under ADS 303.3.25 to Non-governmental Organizations. (NGOs).

# **SECTION III- ELIGIBILITY INFORMATION**

## **3.0 Eligibility Requirements**

This RFA targets organizations with the ability to implement WASH Capacity building activities in Northern region. GRZ organizations are not eligible to apply. Applicants with presence in the named districts shall be given preference. Organizations restricted from receiving US Government funded assistance will not be considered.

Thus, applicants should:

- I. Be legally recognized and registered organisation in Zambia.
- II. Current and updated registration documents and statutes must be submitted.
- III. Provide past performance record to demonstrate experience to implement WASH Capacity building activities that focus on improved Operation, Maintenance and Management of water points and sanitation behavioral change.
- IV. Provide evidence to demonstrate capacity to distribute support Equipment (Bicycles, WASH Toolkits and Smart Phones for APMs, CCs and EHTs) which will be procured as part of the in-kind grant activities.
- V. Provide evidence to show that the entity has been active for the last 12 Months.
- VI. Be directly responsible for preparation and management of the project, not acting as an intermediary or consultant.
- VII. Not be affiliated with a political party nor engaged in any political activities.

## **3.1 Guiding Policies and Procedures**

All grants to be awarded under USAID Expanding WASH will be governed by RTII's policies and procedures on grant administration and in compliance with USAID's policies and procedures.

The project strongly encourages women and youth participation on project teams, and these will be considered favourably.

By way of responding to this RFA, applicants confirm their willingness to; -

- i. comply with all technical and financial requirements for participation in the program, including reporting and documentation of project activities, and
- ii. to participate in assessments, trainings, workshops, or other activities considered important for achieving project goals.

### **3.2 Cost Share**

Cost sharing is not required. However, a commitment to provide in-kind support to the proposed activities e.g., volunteer/staff time, use of the organisation's equipment and free use of office space will be considered as co-funding and is an indication of commitment to the project.

### **3.3 Duration of Grants**

The planned duration of the grant will **NOT** exceed 12 months starting approximately on **September 30, 2024, or shortly thereafter.**

## **SECTION IV: APPLICATION AND SUBMISSION INFORMATION**

### **4.0 Grant Application Instructions**

Applicants will be expected to submit technical and cost applications outlining their approach to achieving the results described in Section I. Before evaluation, each application will be reviewed to assess whether it meets eligibility requirements. Eligible applications will then be reviewed in accordance with the merit review criteria described in Section V.

Interested applicants should submit the application package comprising.

1. Attachment A-1: Grant Application Form template full technical program description
2. Attachment A-2: Monitoring and Evaluation Plans
3. Attachment A-3: Implementation Plan
4. Attachment A-4: Detailed Budget
5. AttachmentA-5: Organizational Control Environmental Questionnaire

The applicants should use the format and templates provided as attachments to develop their implementation and monitoring plans. The Technical Application and Implementation & Monitoring plan should not be more than **10 pages**.

The applicants are required to submit full applications of not more than **10 pages** using Times New Roman, size 12 font, include page numbers.

The cover letter, dividers, table of contents, annexes (e.g., monitoring plan, personnel resumes, past performance information, certificates, forms, acronym list, etc.) will not count toward the page limitation. Applicants must send each document described above separately and in PDF format in a folder.

### **4.1 RFA Information Question & Answer Sessions**

All questions relating to this RFA will be sent by email to [Grants@expandingwash.org](mailto:Grants@expandingwash.org) by **Tuesday, April 02 2024, 4:00pm** Zambia time. Questions sent to any other address will not be responded to. Responses shall be posted on RTI website [www.rti.org/rfp](http://www.rti.org/rfp) on **Monday, April 08, 2024.**

### **4.2 Where and How to Send Applications**

Interested applicants must submit their application with the required information to the email address specified below.[Grants@Expandingwash.org](mailto:Grants@Expandingwash.org). Applications are to be submitted **via email ONLY** to be received no later than on the closing date and time indicated in the section below.

#### **4.3 Deadline for Submission of Applications**

All application packages must be received via email no later than **Tuesday, April 30, 2024, 4:00pm Zambia time**. In the subject line include “**Expanding WASH RFA/03/2024**”. Application packages received after this deadline will **NOT** be considered.

Issuance of this RFA in no way obligates RTII to issue any awards. However, RTII reserves the right to make fewer or more awards than expected. RTII will not be liable for any costs incurred in an applicant’s preparation of its response to this RFA. Furthermore, RTII may issue written amendments/addendums to this solicitation at any time before the application submission due date.

### **SECTION V –APPLICATION EVALUATION INFORMATION**

#### **5.0 Evaluation of Applications**

RTII will organize and convene a selection committee that will review and evaluate applications received by the deadline date as follows; -

1. **Assess eligibility of applicant** - Review legal registration and other requirements as stated in Section III. Assess applications to verify compliance with the RFA application instructions set forth in this RFA i.e., number of pages, font type and size, format, and use of provided templates. Applications that will have met eligibility criteria and RFA submission requirements will be shortlisted for the selection review.
2. **Selection criteria review** - Shortlisted applications will be subjected to technical evaluation and scored on their merits against the maximum points available for that criterion in accordance with the breakdown provided in the Evaluation Grid below and against an overall score of 100 points.

The evaluation criteria are divided into headings and sub-headings.

**Table 2: Selection Criteria**

No.	Area(s) of Assessment	Maximum
I.	<b>Organization Capacity and Past Performance</b>	<b>30</b>
I.I	<ul style="list-style-type: none"><li>• The extent to which the proposed management structure and staffing plan demonstrate the ability to successfully achieve the activity purpose and results and proposed approach by the applicant. <b>(3 Points)</b>.</li><li>• Proposed project management team has required experience and expertise relevant to the grant activity. (Submit CVs and signed commitment letters for key personnel). <b>(3 Points)</b></li><li>• Demonstrated evidence of relevant and successful experience in related general WASH activities. <b>(5 Points)</b></li><li>• Demonstrated experience implementing community related activities working in rural districts of Zambia. <b>(5 Points)</b>.</li><li>• Demonstrated experience providing capacity building trainings, activities and support to local leaders, authorities, community leaders. <b>(5 Points)</b>.</li><li>• Demonstrated experience providing training to Area Pump Menders. <b>(4 Points)</b></li></ul>	25

No.	Area(s) of Assessment	Maximum
1.2	<ul style="list-style-type: none"> <li>Demonstrated active presence (on-going activities) in all the districts in a selected region. <b>(5 Points)</b></li> </ul>	5
2.	<b>Implementation Plan</b>	<b>35</b>
2.1	<ul style="list-style-type: none"> <li>Problem identification and statement- Applicant ably identifies the existing gaps/problem. <b>(5 Points)</b></li> <li>Articulates workable strategies to demonstrate an understanding of need to orient and build capacity in D-WASHE committees, V-WASHE committees, Area Pump Menders, and Community Champions. <b>(5 Points)</b></li> </ul>	10
2.2	<b>Project goal, objectives, and activities.</b> <ul style="list-style-type: none"> <li>Clarity of the overall project objectives and approach. <b>(5 Points)</b></li> <li>Proposed activities are logical and aligned to the RFA objectives and are linked to the project expected results. <b>(5 Points)</b></li> <li>Describes in detail and coherently the activities that will be conducted under each grant activity. <b>(5 Points)</b></li> </ul>	15
2.3	<b>Project approach and strategies</b> <ul style="list-style-type: none"> <li>Demonstrates how applicant will meaningfully collaborate with D-WASHE, V-WASHE and other relevant stakeholders to promote coordination and collaboration in implementation of grant. <b>(5 Points)</b></li> <li>Application demonstrates clearly how it will enhance social inclusion, gender equity, and youth empowerment. <b>(5 Points)</b></li> </ul>	10
3.	<b>Sustainability</b>	<b>10</b>
3.1	<ul style="list-style-type: none"> <li>Applicant's previous work demonstrates tangible impact on the target groups and has evidence of replication. <b>(5 Points)</b></li> <li>Project plans show evidence of careful and realistic planning about ensuring sustainability and ownership at the local level. <b>(5 Points)</b></li> </ul>	5
4.	<b>Cost Efficiency</b>	<b>25</b>
4.1	<ul style="list-style-type: none"> <li>Applicants must use the budget template provided as part of the application guidelines to develop their budgets. Budget items are consistent with the proposed activities presented in the implementation plan and are necessary, reasonable, and allowable. Unit costs match typical local market prices (i.e., salary/allowances rates appear in line with typical cost norms). Operational costs (Salaries, allowances, overheads, and administrative costs) are not more than 25% of the total budget. <b>(15 points)</b></li> <li>Costs of distribution of Support Equipment are reasonable. <b>(5 Points)</b></li> <li>Costs include reasonable estimates of facilitative allowances to be paid to D-WASHEs, V-WASHEs, APMs, CCs, HWEs to undertake activities. <b>(5 Points)</b></li> </ul>	25
	<b>TOTAL ASSESSMENT SCORE</b>	<b>100</b>

## **5.1 Pre-Award Assessments**

RTII must be fully satisfied that the applicant has the capacity to adequately perform in accordance with the principles established by USAID. An award can be made only after RTII makes a positive determination that the applicant possesses, or can obtain, the necessary management competence to carry out the grant activity and will practice mutually agreed upon methods of accountability for funds and other assets funded by USAID. At a minimum, RTII will conduct a pre-award assessment on selected applicants to make determination of responsibility.

## **5.2 Unique Entity Identifier (UEI):**

Beginning April 4, 2022, the Unique Entity ID (UEI) from SAM.gov is the authoritative identifier for those doing business with the federal government. The DUNS Number is no longer valid for federal award identification. The Unique Entity ID is generated in SAM.gov ([www.sam.gov](http://www.sam.gov)). If you are registered in SAM.gov (active or not), you already have a Unique Entity ID. It is viewable at SAM.gov.

Whereas applicants can submit their applications without the UEI number, however, grant recipients must provide the UEI before they can receive any funding.

Due to delays in processing of UEIs, applicants are encouraged to apply for the number early.

**[END OF SECTION V]**