

**Urban Water, Sanitation and Hygiene (UWASH) Project
USAID Funded Project No. AID-222-C-11-00001**

Subject: Request for Applications (RFA) No. UWASH Grant RFA No. 2011-987

Project Title:	Urban Community-Based Sewerage System Project
Solicitation Number:	UWASH Grant RFA No. 2011-987
Issuance Date:	September 12, 2011
RFA Clarification Questions Due:	September 20, 2011 at 4:00 pm
Pre-Application Meeting:	September 27, 2011, 10:00 am-12:00 pm at UWASH Office
Site Location Visit:	September 28, 2011 at 09:00 am-completion
RFA Response to Clarifications Due:	September 30, 2011
Proposal due date and time:	October 12, 2011 at 4:00 pm

Dear Applicant:

The United States Agency for International Development (USAID) UWASH Project will issue grant agreement(s) to help address growing urban water supply and sanitation challenges and would like to work with indigenous, local, non-U.S. non-governmental organizations (NGOs), locally-based U.S. NGOs, small and medium enterprises, civil society, local public and private universities, faith-based organizations and other local partners to achieve the country's safe water and sanitation Millennium Development Goal (MDG) targets by expanding access to these services.

This RFA serves to support the program entitled the **“Urban Community-Based Sewerage System Project”** which seeks to increase access to and treatment of household waste water through the development of community-based small-scale sewerage piping systems, with a funding ceiling of US\$100,000 for this grant, subject to the availability of funds. It is the intention of UWASH to implement this grant agreement over a 12-month period, with the possibility of continued programming beyond the initial period, subject to the availability of funds, satisfactory progress under the grant, and continued relevance to UWASH project objectives. The UWASH project has identified illustrative interventions with anticipated results by the end of the program. These should be viewed as a guide in designing submissions and incorporated where relevant. UWASH is not liable for any costs incurred in the preparation and submission of applications.

As the UWASH project is funded by USAID, USAID is substantially involved in the administration of the grants programs, including approval of grantee selection criteria, proposed grantees (“Grantee(s)”), the amount of grants, and the nature of grant activities.

All reasonable, allocable and allowable costs, both direct and indirect, which are related to the grant agreement and are in accordance with applicable cost standards (OMB Circular A-122 for Non-profit Organizations and OMB Circular A-21 for Educational Institutions) may be paid under the grant agreement, except costs associated with preparation and submission of an application under this RFA.

The UWASH project is seeking applications from indigenous, local non-U.S. non-governmental organizations (NGOs), locally-based U.S. NGOs, small and medium enterprises, civil society, local public and private universities, and other local partners who will commit their organizations to high quality services to achieve the targets described in the attached Scope of Work.

As a general policy, in designing and negotiating assistance activities, the UWASH project seeks the largest possible financial participation from a grant recipient. For this RFA, the UWASH project encourages a minimum cost share of 10% of the total program amount (including cash, in-kind contributions and co-funding from other sources). Cost-sharing above 10% is highly encouraged and is factored into the cost criteria for applicant selection. The UWASH project will favor applications – all other things being equal – which plan to use the anticipated funds to leverage other resources for the benefit of this program.

You have received this "Request for Applications (RFA)" through the UWASH Internet site. If you have any questions regarding this RFA, you may contact the UWASH official named in the cover letter of this solicitation. If you are not using Microsoft Office Word 2007 to view this document, you will have to save the document in the format of the word processor that you are using in order to view and print any standard forms. The number of pages contained in this electronic copy may not exactly correspond to the hard paper copy, although all required and relevant information is contained herein.

The implementing agency of the UWASH project, is not responsible for any data/text that may not be received when retrieving this document electronically. If the recipient does not notify the contact person that they have obtained this document, then any amendments to the document may not be available to the recipients. Amendments to solicitation documents generally contain information that is critical to the submission of an application.

To this end, this RFA is being issued and consists of this cover letter and the following documents:

SECTION TITLE

- I. PROGRAM SUMMARY
 - II. GRANT APPLICATION INSTRUCTIONS
 - III. SELECTION CRITERIA
 - IV. AWARD INFORMATION
 - V. CERTIFICATIONS
 - VI. OTHER STATEMENTS OF RECIPIENT
- ATTACHMENT I. SCOPE OF WORK
ATTACHMENT 2. STANDARD FORMS (SF) 424, 424A AND 424B*

Applications must be submitted in two separate volumes:

- Volume 1 - will be the technical application
- Volume 2 - will be the cost/management application.

The UWASH project requires an original and three copies of the technical application and an original and one copy of the cost/management application.

If your organization submits an application, it must be received by UWASH by no later than 4:00 pm on the closing date shown on the cover page of this RFA. Submissions should be made to the place designated below for receipt of applications. Email, facsimile or other electronic commerce applications are not authorized for this application and will not be accepted. Applications should be in English.

Applications and any modifications submitted after the initial application, but in no event after the deadline, shall be submitted in envelopes printed with the name and address of the applicant ("Applicant") and a reference to "UWASH Grant RFA No. 2011-987." The Applicant is responsible for making and retaining a complete copy of the submission. Erasures and any other evident changes must be initialed by the Applicant. The completed application should be sent to:

USAID-UWASH Project Office
Capital City, Country
Attn: UWASH Project Grants Manager

Applications received after the deadline or which are incomplete will not be accepted or considered unless authorized by the Grants Manager and only if all such submissions are treated the same and are evaluated prior to award of any other agreements under this RFA.

The technical volume and cost/management volume of applications received will be evaluated by an UWASH grant evaluation committee (GEC), using selection criteria specified in Section III. GEC recommendations and comments will be submitted to the Grants Manager. Upon receipt, technical and cost/management negotiations and discussions will then be conducted by the Grants Manager (or his appointed negotiator) only with the highest-ranked applications. Following or during negotiations, submission and re-evaluation of revised applications may be required if deemed appropriate by the Grants Manager (or his appointed negotiator).

Issuance of this RFA does not constitute an award commitment on the part of either the UWASH project or USAID as the funding agency. UWASH and USAID further reserve the right to reject any or all applications received.

UWASH shall not be liable for any costs incurred by Applicants in the preparation and submission of an application.

This RFA and any future amendments can be downloaded from the UWASH project website.

Please inform UWASH by e-mail if you have downloaded this RFA. The notice should include the following information:

Subject: UWASH Grant RFA No. 2011-987

Name of organization:

Name:

Mobile phone number:

Fax number:

Email address:

This will allow UWASH to notify you should there be any revisions to the RFA.

It is the responsibility of the recipient of the application document to ensure that it has been received electronically from the internet in its entirety. UWASH shall bear no responsibility for data errors resulting from transmission or conversion processes.

The internet address for additional information on UWASH grant administration can be obtained by accessing UWASH's website and then selecting Grants Manual.

Any questions concerning this RFA must be submitted in writing to the Grants Manager or he may be reached by phone.

Sincerely,

Grants Manager
USAID-UWASH Project

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ATTACHMENT I – SCOPE OF WORK

ATTACHMENT 2 - STANDARD FORMS (SF) 424, 424A AND 424B*

JaUrban Community-Based Sewerage System Project

Increasing Access to and Treatment of Household Waste Water through Development of Community-Based Small-Scale Sewerage Piping Systems

SECTION I - PROGRAM SUMMARY

The Urban Community-Based Sewerage System Project will be implemented in two sub-districts in the Metropolitan with the purpose of increasing access to and treatment of household waste water through the development of community-based small-scale sewerage piping systems. To achieve this purpose, a community development program (software component) will be implemented that includes:

- Mapping and needs assessment
- Community empowerment and mobilization
- Hygiene education and awareness building
- Alternative financing through micro-credit for sanitation
- Capacity building for local officials and community-based organizations (CBOs)
- Development of engineering design and construction management requirements

The project will begin with the primary mapping of the two sub-districts for needs assessment and identification of the existing infrastructure and socio-economic condition of the community to determine its willingness to (a) accept the intervention and (b) pay for the improved sewerage piping facilities. These assessments will lead to another needs assessment to determine the target communities and number of households that are ready to receive the services of sewerage piping systems. An analysis will also be made on alternative financing through micro-credit for sanitation to households that need or are willing to accept this type of assistance. The target community will thus be empowered and mobilized to achieve the program objective of increased access to and treatment of household waste water through the development of community-based small scale sewerage piping systems.

Hygiene promotion will involve a systematic awareness campaign on the need for better access to a well designed community-based sewerage system. The awareness campaign will incorporate a gender-sensitive approach in all campaign phases.

Capacity building will be provided to local officials and CBOs on organization management, operation and maintenance, finance management, and participatory monitoring and evaluation. The CBO will complete the detailed engineering design (DED) for the sewerage piping system, its bill of quantities (BOQ) and other documents to be used in the development of application documents with the assistance of an engineer.

The activity is scheduled for 12 months and has an estimated cost of US\$100,000. It will be followed by a second grant for infrastructure installation (the hardware component) to be implemented by a different entity. It is anticipated that 200 households will benefit from the program.

UWASH encourages a broad range of ideas and creative interventions that will contribute to the achievement of program objectives.

End of Section I

SECTION II - GRANT APPLICATION INSTRUCTIONS

A. Completion and submission of applications

Eligibility Requirements

All **but** the following may apply:

- any entity which is a “private voluntary organization” (“PVO”) but has not registered as such with USAID (*in certain cases registration can be assisted by UWASH*);
- any entity whose name appears on the “List of Parties Excluded from Federal Procurement and Non-Procurement Programs”;
- any Public International Organization, such as an organ of the United Nations, multilateral development bank, or International Agricultural Resource Center (IARC);
- any governmental organization; or
- individuals.

B. PREPARATION GUIDELINES

All applications received by the deadline will be reviewed for responsiveness to the specifications outlined in these guidelines and the application format. Part B of this Section addresses the technical evaluation procedures for the applications.

Applications should be submitted in two separate parts: (a) technical application and (b) cost/management application. Technical portions of applications should be submitted in an original and three copies and cost/management portions of applications in an original and one copy.

Applications must be submitted no later than the date and time indicated on the cover page of this RFA. Applications that are submitted late or are incomplete run the risk of not being considered in the review process.

Technical applications should be specific, complete and presented concisely. Applications should demonstrate the Applicant's capabilities and expertise with respect to achieving the goals of this program. Applications should take into account the technical evaluation criteria contained in Section III.

Applicants should retain for their records a copy of the application and all enclosures that accompany their application. Erasures or other changes must be initialed by the person signing the application. To facilitate the competitive review of the applications, the UWASH project will consider only applications conforming to the format prescribed below.

C. TECHNICAL APPLICATION (Volume I)

The Technical Application is the most critical portion of the application. It should be specific, complete and presented concisely.

Section I of this RFA contains the core of the program, including the program objectives and the desired results. Applicants are expected to use their knowledge of the project area, their experience, and their creative ability to respond. However, in order to give shape to the Applicant's proposal, this Section offers guidelines on each of the technical and programmatic areas.

The Technical Application shall contain the following sections:

- a. Cover Letter
- b. Application Document
 - Summary and Background
 - Project Description
 - Statement of Goals, Objectives, Activities, and Results
 - Beneficiaries
 - Technical Approach
 - Project Management, Workplan and Timeline
 - Project Indicators and Performance Monitoring Plan
 - Gender Analysis
- c. Attachments
 - Institutional Capacity/Past Performance
 - Detailed Performance Monitoring Plan
 - List of Team Members, including Scopes of Work and CVs of proposed personnel
 - Registration Documents, Organization Chart, etc.

Page limitations are specified below for each section. Applications must be on A4 80g/m² paper (210mm by 297mm), single spaced, Gill Sans MT 11 font, and have at least one-inch margins at the top and bottom and on both sides.

The technical approach must set forth the conceptual approach, methodology and results to be achieved by the Applicant's program. The rationale for the appropriateness of the suggested approach in the project area should be explicit.

a. Cover Letter: A **single page** with the name of the recipient, project title, name of contact person, title or position with the organization, address, office telephone number, mobile phone number and email address as well as the name and contact details of the person authorized to contract for the Applicant.

b. Summary and Background: The Summary and Background shall **not exceed two pages** and should summarize the key problems of the project area proposed, innovative interventions to respond to these problems, and anticipated achievements that feed into the three principle objectives of the

UWASH project. The elements of the Applicant's strategy, approach and work plan should also be summarized here. The Summary and Background must be concise and accurate.

c. Narrative: The Applicant should describe the proposed strategy and approach in **20 (twenty) pages** or less. The narrative must have the following elements:

- Summary and Background
- Project Description
- Statement of Goals, Objectives, Activities, and Results
- Beneficiaries
- Technical Approach
- Project Management, Workplan and Timeline
- Project Indicators and Monitoring and Evaluation Plan
- Gender Analysis

d. Annexes

I. Applicant's Team (CVs, Letters of Commitment, and References)

Applicants should provide summary job descriptions and qualifications of all local key professional staff to be funded under the grant agreement. CVs for these staff, **not to exceed 3 pages**, should be provided together with recent references from persons familiar with the individual's work.

Applications should include copies of letters from all key professional staff to the effect that they will accept the position in question for the entire project period of the grant agreement, should the Applicant receive an award. One long-term professional must be identified as Project Manager, who will be responsible for the management and coordination of all activities under the grant agreement. Applicants are encouraged to maximize the sustainability of the program and transfer of skills and technology by utilizing local communities to the greatest extent possible.

II. Institutional Capacity and Performance Record

Applicants must offer evidence of their technical and managerial resources and expertise (or their ability to obtain such) in program management, grants management and training, and their experience in managing similar programs in the past. This section should be no more than **5 pages**. Information in this section should include:

- (a) a brief description of organizational history/expertise;
- (b) past experience and examples of accomplishments in developing and implementing similar programs;
- (c) institutional strength as represented by breadth and depth of experienced personnel in project-relevant disciplines/areas; and

- (d) references for past work: name and address of organization(s) for which work of a similar nature was performed over the past three years; current telephone number of responsible representative of the organization(s) for which the work was performed; contract/grant name and number (if any), annual amount received for each of the last three years, and beginning and ending dates; brief description of the project/assistance activity.

This section should also include a Management Plan that defines:

- (a) the proposed organizational structure and staffing plan, which includes all personnel for backstopping support, management and technical implementation of the program;
- (b) the proposed internal lines of responsibility, authority and communication through which the grant agreement will be managed; and
- (c) the procedures that will be established and maintained to ensure effectiveness, quality, timeliness, responsiveness, early identification and resolution of problems, and cost control.

III. Proposed Performance Monitoring and Evaluation Plan

This RFA contains objectives with illustrative interventions and anticipated results. Applicants should provide a proposed Performance Monitoring and Evaluation Plan that emphasizes the anticipated methodology for monitoring the achievement of results and suggests specific impact indicators, including gender-related indicators.

D. COST/MANAGEMENT APPLICATION (Volume 2)

The Cost/Management or Business Application should be submitted under separate cover from the technical application. Certain documents are required to be submitted by an Applicant in order for a UWASH project Finance Officer or Grants Manager to make a determination of responsibility.

The following sections describe the documentation that Applicants must submit to UWASH prior to any award:

I. Cost Application – Should include a budget for the entire proposed program with an accompanying budget narrative which details the total cost of implementing the program being proposed. The following information should be taken into consideration when developing the budget:

Activity Cost – Direct activities associated with the program to achieve the direct outcome. Costs should be listed in the order that activities will be performed.

Direct Labor Cost – Direct salaries and wages for the entire program period of the Grant shall be in accordance with the organization's established personnel policies.

To be considered adequate, these policies must be in writing, applicable to all employees of the organization, be subject to review and approval at a high enough organizational level to assure uniform enforcement, and result in costs which are reasonable and allowable in accordance with applicable cost principles.

The narrative should include a level of effort analysis specifying personnel, rate of compensation, and amount of time proposed. Anticipated salary increases during the period of the Agreement should be included.

Fringe Benefits – If accounted for as a separate item of cost, fringe benefits should be based on the host country prevailing practice and should include a detailed breakdown of all fringe benefits (e.g., health and life insurance, Lebaran bonus).

Supplies and Equipment – Differentiate between expendable supplies and nonexpendable equipment (NOTE: Equipment is defined as tangible nonexpendable personal property including exempt property charged directly to the award having a useful life of more than one year and an acquisition cost of \$5,000 or more per unit, unless the Applicant's established policy establishes nonexpendable equipment anticipated to be required to implement the program, specifying quantities and unit cost.)

Travel and Per Diem – The narrative should indicate number of trips (domestic), and the estimated unit cost. Specify the origin and destination for each proposed trip, duration of travel and number of individuals traveling. Proposed per diem rates must be in accordance with the Applicant's established policies and practices.

Other Direct Costs – This could include any miscellaneous costs such as communications, report preparation costs, etc. The narrative, or supporting schedule, should provide a complete breakdown and support for each item in Other Direct Costs.

2. Cost Sharing – Applicants are required to indicate the amount of cost sharing towards this activity and show all non-UWASH funds immediately available for this purpose in their cost application. A minimum cost sharing level of ten percent (10%) of the total program budget is required for this program. Applicants are, however, encouraged to contribute higher levels of cost share toward this activity.

3. Certifications – Required Certifications include:

- a. Certification Regarding Prevention of Terrorist Financing,
- b. Certification Regarding Drug-Free Workplace Requirements,
- c. Certification Regarding Debarment, Suspension, and Other Responsibility Matters,
- d. Certification Regarding Lobbying.

Complete copies of these Certifications may be downloaded from the following website:

<http://www.usaid.gov/policy/ads/300/303sad.pdf>.

4. Additional Documentation

Upon consideration of award or during the negotiations leading to an award, Applicants may be required to submit additional documentation deemed necessary for the Grants Manager to make an affirmative determination of responsibility.

IMPORTANT NOTE: Applicants should **NOT** submit the information below with their application. This information is provided so that Applicants may become familiar with additional documentation that may be requested by the Grants Manager:

- a. audited financial statements for the past three years that have been audited by a certified public accountant;
- b. bylaws, constitution, and articles of incorporation, if applicable;
- c. a copy of travel, procurement, financial management and personnel policies and procedures, especially regarding salary, promotion, leave, differentials, etc.; and/or
- d. other documentation, as required by the Grant Manager, to substantiate that the Applicant: (1) has adequate financial resources or the ability to obtain such resources as required during the performance of the Grant Agreement; (2) has the ability to comply with the Grant Agreement conditions, taking into consideration all existing and currently prospective commitments of the Applicant, NGOs, universities, small and medium enterprises, and other civil society groups; (3) has a satisfactory record of performance; (4) has a satisfactory record of integrity and business ethics; and (5) is otherwise qualified and eligible to receive an agreement under applicable laws and regulations.

E. ADDITIONAL GUIDELINES

In addition to the aforementioned technical and cost application guidelines, Applicants are requested to take note of the following:

1. Unnecessarily Elaborate Applications

Unnecessarily elaborate brochures or other presentations beyond those sufficient to present a complete and effective application in response to this RFA are not desired and may be construed as an indication of the Applicant's lack of cost consciousness. Elaborate art work, expensive paper and bindings, and expensive visual or other presentation aids are neither necessary nor wanted.

2. Applicant Responsibilities

- a. Applicants are expected to review, understand, and comply with all aspects of this RFA. Failure to do so will be at the Applicant's risk.
- b. Applicants shall furnish the information required by this RFA. An authorized representative of the Applicant shall sign the application and print or type his/her name and title on the Cover Page of the Technical and Cost Applications. Erasures or other changes must be initialed by the person signing the application. Applications signed by an agent shall be accompanied by evidence of that agent's authority, unless that evidence has been previously furnished to the issuing office.
- c. Applicants who include data that they do not want disclosed to the public for any purpose or used by the UWASH project except for evaluation purposes should:

1) Mark the title page with the following legend:

"This application includes data that shall not be disclosed outside the UWASH project and shall not be duplicated, used, or disclosed, in whole or in part, for any purpose other than to evaluate this application. If, however, a Grant is awarded to this Applicant as a result of, or in connection with, the submission of this data, the UWASH project shall have the right to duplicate, use or disclose the data to the extent provided in the

resulting Grant. This restriction does not limit the UWASH project's right to use information contained in this data if it is obtained from another source without restriction. The data subject to this restriction are contained in sheets [insert numbers or other identification of sheets];" and

2) Mark each sheet of data that they wish to restrict with the following legend:

"Use or disclosure of data contained on this sheet is subject to the restriction on the title page of this application."

F. EXPLANATION OF RFA TO PROSPECTIVE APPLICANTS

Any prospective Applicant desiring an explanation or interpretation of this RFA must request it in writing soon enough to allow a reply to reach all prospective Applicants before submission of their application. For this purpose, written inquiries may be submitted by facsimile or email to the attention of the Grant Manager or his designee, identifying this RFA by number. Any inquiries must be submitted no later than 7 (seven) calendar days after the issuance date of the RFA. Oral explanations or instructions given before award of the Grant will not be binding. Any information given to a prospective Applicant concerning this RFA will be furnished promptly to all other prospective Applicants as an amendment of this RFA, if that information is necessary in submitting applications or if the lack of it would be prejudicial to any other prospective Applicants.

G. RECEIPT OF APPLICATIONS

Applications must be received at the place designated and by the date and time specified in the Cover Letter of this RFA, and must be considered valid for a period of 30 (thirty) days from the closing date. Late or incomplete applications may only be reviewed if authorized by the Grants Manager and only if all such submissions are treated the same and are evaluated prior to award of any other agreements under the RFA.

H. AGREEMENT AWARD

1. The UWASH project may award one or more grants resulting from this RFA ("Grant(s)") to the Applicant(s) whose application(s) conforming to this RFA offer(s) the greatest value. The UWASH project may (a) reject any or all applications, (b) accept other than the lowest cost application, (c) accept more than one application, (d) accept alternate applications, and (e) waive informalities and minor irregularities in applications received.
2. The UWASH project may award one or more Grant(s) on the basis of initial applications received, without discussions. Therefore, each initial application should contain the Applicant's best terms from a cost and technical standpoint.
3. A written award mailed or otherwise furnished to the successful Applicant(s) within the time for acceptance specified either in the application(s) or in this RFA (whichever is later) shall result in a binding Grant without further action by either party. Before the application's specified expiration time, the UWASH project may accept an application, whether or not there are negotiations after its receipt, unless a written notice of withdrawal is received before award. Negotiations conducted after receipt of an application do not constitute a rejection or counteroffer by the UWASH project.

4. Neither financial data submitted with an application nor representations concerning facilities or financing will form a part of the resulting Grant(s).

End of Section II

SECTION III - SELECTION CRITERIA

Technical applications will be evaluated by a Grants Evaluation Committee (GEC) in accordance with the Technical Evaluation Criteria set forth below. Thereafter, the Cost/Management applications will be reviewed and costs will be evaluated in accordance with the Cost Criteria, also set forth below. Selection for award of Grant agreement(s) (“Award(s)”) under this program is structured so that program quality criteria will be the primary basis for awarding the agreement. These criteria reflect the technical merit of Applicants’ detailed proposals. The numerical rating of 80 points has been allocated to 5 (five) components. Specific point values are assigned to each component but are not broken down across the sub-elements and key concepts.

If an Applicant fails to include information on any of the required areas, the proposal’s overall rating will be decreased. Given the constraints of length, Applicants are encouraged to be concise in the discussion. Award(s) will be made to the responsible Applicant(s) whose responsive application offers the greatest value, based on technical and cost factors set forth below.

Selection Criteria

The criteria presented below have been tailored to the requirements of this particular RFA. Applicants should note that these criteria serve to (a) identify the significant matters which Applicants should address in their applications, and (b) set the standard against which all applications will be evaluated.

TECHNICAL CRITERIA SCORE

Quality and Responsiveness (80 points maximum)

- a. **Level of direct support to UWASH Project Objectives. (15)** The proposed activity must directly support UWASH Higher Results (HR) and meet one or more of the UWASH Intermediate Results (IR).
- b. **Technical Approach. (30)** The technical approach can reasonably be expected to produce the intended outcomes. Attention will be paid to the appropriateness of the proposed methodology, innovativeness, and the reasonableness of the work plan for achieving project objectives. The technical approach must directly contribute to the achievement of UWASH expected results and performance under the activity, and must be measurable under one or more of the UWASH indicators. The technical approach must have a proposed mechanism for monitoring and evaluation that correlates with the UWASH Performance Monitoring Plan (PMP). The technical approach must also incorporate gender issues and should focus on the poor (“MBR” or low-income community) and indigenous peoples. The technical approach must

also show strategies to sustain the program over the long term after the UWASH project intervention is complete.

- c. **Institutional Capability. (10)** The application must show the institution's capability to undertake and accomplish the proposed program in an effective way.
- d. **Key Personnel. (15)** The application must provide skilled key personnel and a staffing pattern to manage the proposed program, attaching the respective CVs.
- e. **Past Performance. (10)** The institution must have experience in implementing programs similar to the one being proposed. The track record for the last three years is a critical factor in assessing the capacity of the Applicant to implement the activity.

COST CRITERIA SCORE

(20 points maximum)

- a. **Cost (15).** Is the proposed cost within the expected range? Are the costs reasonable, allocable, and allowable? Can the organization demonstrate that it adheres to basic accounting and management principles? To what extent does the proposed activity leverage other funding sources?
- b. **Cost Sharing (5).** How much more than the minimum 10% is cash and/or in-kind contribution from the Grantee to the overall project?

TOTAL SCORE (100 points maximum)

End of Section III

SECTION IV - AWARD INFORMATION

1. ESTIMATE OF FUNDS AVAILABLE

Subject to the availability of funds, the UWASH project intends to provide funding for a 12 (twelve)-month period of activity. The total funding for this activity is US\$100,000.

2. PERIOD OF PERFORMANCE AND START DATE

The period of performance anticipated herein is 12 months from date of award. The estimated start date is on or about October 10, 2011.

3. TYPE OF AWARD

The type of grant agreement anticipated is a Standard Grant Agreement.

End of Section IV

SECTION V – REQUIRED CERTIFICATION

1. Certification Regarding Prevention of Terrorist Financing
2. Certification Regarding Drug-Free Workplace Requirements
3. Certification Regarding Debarment, Suspension, and Other Responsibility Matters
4. Certification Regarding Lobbying

End of Section V

SECTION VI – OTHER STATEMENTS OF RECIPIENT

I. AUTHORIZED INDIVIDUALS

The recipient represents that the following persons are authorized to negotiate on its behalf with the UWASH project and to bind the recipient in connection with this application or grant:

Name/Title/Telephone No./Facsimile No.

2. TAXPAYER IDENTIFICATION NUMBER (TIN)

TIN/NPWP: _____

3. CONTRACTOR IDENTIFICATION NUMBER – DATA UNIVERSAL NUMBERING SYSTEM (DUNS) NUMBER

- (a) In the space provided at the end of this provision, the recipient should supply the Data Universal Numbering System (DUNS) number applicable to that name and address. Recipients should take care to report the number that identifies the recipient's name and address exactly as stated in the proposal.
- (b) The DUNS is a 9-digit number assigned by Dun and Bradstreet Information Services. If the recipient does not have a DUNS number, the recipient should call Dun and Bradstreet directly at 1-800-333-0505. A DUNS number will be provided immediately by telephone at no charge to the recipient. The recipient should be prepared to provide the following information:
 - (1) Recipient's name
 - (2) Recipient's address
 - (3) Recipient's telephone number
 - (4) Line of business
 - (5) Chief executive officer/key manager
 - (6) Date the organization was started
 - (7) Number of people employed by the recipient
 - (8) Company affiliation

- (c) Recipients located outside the United States may obtain the location and phone number of the local Dun and Bradstreet Information Services office from the Internet Home Page at <http://www.dbisna.com/dbis/customer/custlist.htm>. If an offeror is unable to locate a local service center, it may send an e-mail to Dun and Bradstreet at globalinfo@dbisma.com.

The DUNS system is distinct from the Federal Taxpayer Identification Number (TIN) system.

DUNS: _____

4. TYPE OF ORGANIZATION

The recipient, by checking the applicable box, represents that:

- (a) If the recipient is a U.S. entity, it operates as a foundation or association incorporated under the laws of the State of _____, a nongovernmental nonprofit organization, a private college or university, a public college or university, or
- (b) If the recipient is a non-U.S. entity, it operates as a foundation or association organized under the Indonesia laws and regulations, a nongovernmental nonprofit organization, a nongovernmental educational institution, a private college or university, a public college or university, a small or medium enterprise, a civil society organization, a faith-based organization, or a community-based organization.

5. RECOMMENDED REFERENCES

- Mandatory Standard Provisions for U.S. Nongovernmental Recipients
<http://www.usaid.gov/policy/ads/300/303maa.pdf>
- Mandatory Standard Provisions for Non-U.S. Nongovernmental Recipients
<http://www.usaid.gov/policy/ads/300/303mab.pdf>
- Education for All – Fast Track Initiative
<http://www.educationfasttrack.org>
- Automated Directives System (ADS) Chapter 320 Branding and Marking (May 2009)
<http://www.usaid.gov/policy/ads/300/320.pdf>
- Automated Directives System (ADS) Chapter 303, Grants and Cooperative Agreements to Non-Governmental Organizations,
<http://www.usaid.gov/policy/ads/300/303.pdf>
- Certifications, Assurances, and Other Statements of the Recipient (May 2006); An Additional Help for ADS Chapter 303
<http://www.usaid.gov/policy/ads/300/303sad.pdf>

End of Section VI

ATTACHMENTS:

I. SCOPE OF WORK

PROJECT TITLE:	Community-Based Shallow Sewer System
TYPE OF ACTIVITY:	Community Development, Mobilization and Development of Detailed Engineering Design (DED) & Bill of Quantities (BOQ)
PROJECT DURATION:	12 months
BUDGET:	US\$100,000

Introduction: The Urban Water, Sanitation and Hygiene (UWASH) Project is a five-year development project funded by the United States Agency for International Development (USAID). UWASH promotes the goals of the U.S.-Country Comprehensive Partnership by improving access to urban water and sanitation services, thereby strengthening individual health. In addition, the UWASH project assists the Government to make significant progress towards achieving the Millennium Development Goal (MDG) targets by expanding access to safe drinking water and adequate sanitation services, particularly for the urban poor, who are currently those with the most limited access to these services.

Only 1% of the population in urban areas is connected to the city sewerage system. The poor quality of sanitation facilities and the fact that 18% of the population defecates in open areas are the reasons for high mortality because of diarrhea (100,000 children in country died of diarrhea in 2009). A study by the Water and Sanitation Program (WSP) shows that high rates of morbidity and lack of productivity due to poor sanitation facilities lead to losses of 2.3% in GDP.

UWASH and a local government-owned enterprise providing a wastewater piping collection system are collaborating in piloting a community-based shallow sewer program through the UWASH Grants Program. The program is expected to provide access to waste water piping connections to at least 200 households (HH). This grant program is one of a series of two activities to be implemented: (1) community development activities, and (2) provision of physical infrastructure in the two sub-districts.

The grant program outlined in this Scope of Work focuses specifically on community development activities (the software component): community mobilization and empowerment and DED & BOQ development, preparation of application documents for local contractors to use in the bidding process, and construction supervision. The second activity (the hardware component) will be implemented separately through another grant anticipated in the third month of progress in the first grant.

Background: This program will be implemented in the service area of the local government-owned enterprise. Although located not too far from centers of trade and office buildings, several villages in these two sub-districts are flood-prone areas, with a river crossing these areas. Both sub-districts are also located near a traditional market, shopping center, railway stations and a bus station, encouraging migrants to settle there. Home and room rental businesses are plentiful in several areas. Most migrants and temporary residents work in the informal sector as traders, laborers, domestic help or scavengers.

Based on observations, three specific locations have the greatest potential for increased access to waste water piping connections.

The Grantee should choose one or two of the three alternative locations mentioned above to meet the program target of 200 households gaining access to waste water piped household connections.

Location 1

This area is located next to the river and is home to more than 5,700 households with a total population of 29,775 people. The National Statistics Bureau (BPS) categorizes 557 of these households (nearly 10%) as Class I “Welfare” Families or as “Pre-Welfare” Families. In addition, one of the six neighborhoods in this area is categorized as a slum. Based on the condition of the buildings and dwellings, 44% are classified as semi-permanent houses while 22% are classified as non-permanent. One location with plenty of potential for household waste water connections is Location 1, with 150 houses (see photo below). The main drawback of this site is that it has a relatively flat topography and is located somewhat further from the secondary pipeline than are the two other locations.



Location 2

This area is located near the river and railway station. The population here is 33,585 people or 7,355 households, with the entire land area serving as a residential area. In terms of household welfare, 991 families are categorized as Welfare or Pre-Welfare. In addition, four of the 11 neighborhoods in this area are classified as slums, namely 5, 9, 13 and 14. These four neighborhoods have a total of 676 slum households, comprising 29% of all households there. While over half of the buildings are permanent, 42% are classified as semi- or non-permanent. Potential waste water household connections can be found in this location (100-150 houses). The sloping topography in this area would make it easier to install tertiary pipes. In addition, this area is quite close to the secondary pipe networks (less than 30 meters away).



Location 3

This area is located near the river sluice and a railway station. A market for second-hand materials and goods is also located here. This location has 12 neighborhoods. Three neighborhoods are located along the river and considered flood-prone areas, and two of these neighborhoods are classified as slums. They are home to 560 slum households comprising 2,022 people. The potential number of waste water household connections is lower here than in the other two locations, with around 100 houses. However, the sloping topography and closeness to the secondary pipeline (less than 30 meters away) would make it technically easier to perform pipe installation work there.



Current State of Sanitation Facilities

The sanitation facilities (toilets) currently used by people in all three locations are similar, consisting of individual or communal toilets equipped with a septic tank. However, many of these septic tanks do not meet the criteria established by the GOI because they have not been emptied in more than five years, and most probably are either sealed soak pits or bottomless tanks. The narrow access roads make it difficult for vacuum trucks to perform desludging services.

Domestic grey water is mostly discharged into a gutter or ditch that flows into the nearest body of water, such as the river. In some of the more densely populated areas, there are many public toilets without septic tanks.

Objective: The main objective of the community development activity is to develop a partnership between local communities and service providers that increase access to adequate sanitation (including for the urban poor) in order to achieve improved health and economic well-being.

The detailed objectives of the activity are to:

1. provide access to adequate sanitation facilities in urban areas (*increase access*)
2. increase awareness and participation of communities and local government agencies involved in providing access to adequate sanitation facilities (*increase capacity*)
3. promote hygiene behavior change in urban areas (*behavior change promotion*)
4. create an innovative pilot program that is sustainable and affordable so that it can be replicated by governments and other parties (*sustainability and replication*)

Contribution to UWASH Project Outcomes: The activities described above constitute an innovative program that applies a community-based approach to increasing access to the city sewerage system managed by the local government-owned enterprise. The program will contribute directly to increasing the number of households and people with access to safe sanitation facilities (HR-2 of the UWASH project) and the number of people participating in training programs (HR-4).

These activities will also support the implementation of activities for the Mobilize Demand (MD) component of the UWASH project, namely:

1. Increase in number of households willing to pay for improved sanitation facilities (MD-1)
2. Community groups or government cadres implement programs to improve access to safe drinking water and adequate sanitation (MD-2)
3. Households adopt proper hygiene behaviors (MD-5)

Collaboration with government agencies contributes to the achievement of Component 2 Capacity Building, particularly with respect to involving local governments and institutions in implementing an integrated sanitation program under the city development plan (IC-5).

Program Description: The community development activities are intended to prepare the communities for the physical infrastructure that will be provided later. These activities are expected to help mobilize community members, including poor (MBR) households, to become actively engaged in and contribute to implementation of the program, which is one of the indicators for making this program a success. The activities will be implemented by a non-governmental institution – either an NGO or a university.

The community development activities include:

1. *Mapping and needs assessment* to determine the target and number of households (including MBR) willing to connect to a piped city sewage system

2. *Socialization and community mobilization* to mobilize and increase community participation in and contributions to the program, including forming community-based organizations (CBOs) and providing land (community contribution to land, if required), and to install piping system connections from the network to houses
3. *Strengthening community groups* to raise awareness, increase participation and draw out contributions from the community through a series of training on management and organization, operations and maintenance, finances and bookkeeping, tariff structures, participatory monitoring and evaluation, and so on.
4. *Facilitating access to financial institutions for alternative funding (micro-credit for sanitation)* to recover the cost of connecting pipes to the home, toilet repairs/construction, and connection fees for urban poor (MBR).
5. *Promotion and campaign* for hygiene behavior change.
6. *Development of Detailed Engineering Design (DED) and Bill of Quantities (BOQ)*, including preparation of application document to be used in the bidding process with local contractors/small-and-medium enterprises.
7. *Construction supervision* to help oversee the construction progress with local contractors in the field and to make sure that all works comply with the schedule and agreed volume.

Activities and Implementation Schedule: The following is a list of the *minimum* activities that need to be done by the Grantee by adopting appropriate strategies and approaches during the 12 (twelve) months of the Grant.

1. Socialization and detailed needs assessment – **Month 1**
 - Socio-demographic overview of the area
 - Problem identification and transect walk
 - Community mapping and identification of potential households to obtain access to the wastewater piping system
 - Development of Community Action Plan (CAP)

Deliverable #1: Report on Needs Assessment Results (overview of the area, CAP and maps, including poor/MBR households)
2. Community mobilization – **Month 2**
 - Establishment and capacity building of CBO, including setting up the organization and management
 - Selection of land for placement of the facilities (if needed)
3. Development of DED and BOQ – **Month 3**
 - Development of DED and BOQ
 - Preparation of application documents for local contractors

Deliverable #2: CBO management is established, including organization chart and regulation; DED, BOQ and application documents are submitted
4. Micro-credit facilitation – **Months 4-5**

- Identification of potential financial institutions (bank, people's credit bank (BPR), cooperative, etc.)
 - Facilitation of meeting between financial institutions and UWASH
 - Facilitation of micro-credit promotional program to prospective households (poor/MBR)
5. Behavior change promotion – **Months 4-9**
- Preparation of training modules
 - Implementation of training for cadres and communities
 - Health and hygiene campaign (community level)
- Deliverable #3: Training module and curriculum*
6. Construction Supervision – **Months 5-8**
- Supervision of construction works to match schedule, design and volume of materials
 - Mobilization of community contribution to physical works and construction
7. Capacity building for CBO – **Months 5-10**
- CBO training (management, administration, finance, O&M)
 - Development of SOP
 - Preparation of participatory monitoring and evaluation system
8. Monitoring and evaluation – **Months 8-12**
9. Commissioning and handover – **Months 11-12**
- Deliverable #4: Final report including SOP, monitoring form, and finance*

The DED, BOQ and application documents should be ready for submission in the third month so that UWASH can issue a new RFA to seek and select a local partner to do the construction works, including installation of tertiary piping system in accordance with the DED approved jointly by the community and UWASH. The local government-owned enterprise will provide technical assistance in the preparation of the DED and BOQ as well as in coordinating field activities with the community and local government.

Collaboration between Institutions: This program is a collaboration between several organizations, including UWASH, NGOs/CSOs, local governments and communities.

- **UWASH** will provide funds to Grantee and be responsible for ensuring that Grantee carries out works in accordance with the scale and schedule of works agreed on by all parties.
- **Grantee** as program implementer will be responsible for: (1) coordinating and establishing good relations with the local government, community and other stakeholders, including PD PAL Jaya; and (2) implementing community development activities in accordance with the agreed scale and schedule of works.
- **Community** will be responsible for participating actively in the program and will later be responsible for owning, operating and maintaining the facility.
- **Local Government** will be responsible for monitoring and providing long-term assistance to communities.

Budget: The budget ceiling for the software/community development activities described above is US\$100,000. Grantee should be able to mobilize funds or other form of contribution from communities for the construction works and any necessary physical repairs after construction.

Cost Sharing: As a prerequisite to receiving the grant program, the Grantee shall provide contributions (cost sharing), which can be either in-kind or in cash, of at least 10% of the total program budget. The cost sharing may also come from co-funding from a third party.

Initial Environmental Examination (IEE) and Environmental Monitoring and Mitigation Plan (EMMP): Based on conditions and circumstances and the anticipated activities described above, it can be concluded that initial community development activities will consist of non-physical activities such as training, behavior change campaigns, and promotion. It is recommended that these activities do not have a negative impact on the environment. Under regulation 22 REG 216, this is referred to as “categorical exclusion.”

Should there be other activities outside of this Scope of Work, the Grantee in coordination with UWASH shall be required to prepare a new IEE and EMMP for approval by USAID prior to implementation of the activities. The EMMP must include: (1) type of activity, (2) potential negative impact, (3) mitigation plan, (4) indicators for monitoring.

II. Standard Forms (SF) 424, 424A and 424B (will be made available during the pre-application conference)