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Concept Paper Submission Closing Dates: Refer to Individual Addenda

> Subject: **Annual Program Statement Number 7200AA21APS00004**
> **Program Title: Diversifying Partnerships in WASH Program (DiP-WASH)**
> **Catalog of Federal Domestic Assistance: 98.001**

Dear Ladies and Gentlemen:

The United States Agency for International Development is announcing the **Diversifying Partnerships in WASH Program (DiP-WASH).** Through this Annual Program Statement (APS), USAID announces its desire to engage a diverse range of partners, including new, nontraditional, and local partners, on innovative and evidence-based approaches that address persistent challenges in the safe drinking water, sanitation and hygiene (WASH) and water resources management (WRM) sectors that are not adequately addressed by other USAID investments, and that result in increasing the equitable availability and sustainable management of safe water and sanitation for the underserved and most vulnerable.

Individual USAID Missions or Bureaus (also known together as Operating Units) will request Concept Papers via Addenda as the first step in a three-step process that could result in USAID funding for an idea. Interested organizations should read this entire APS, as well as any Addenda, and follow the instructions for submitting a Concept Paper. Applicants should not submit Concept Papers in response to this umbrella APS, but only to Addenda published to this APS.

USAID is available to respond to questions from Applicants about the process. Applicants should submit questions by email to the point of contact (POC) identified in the specific Addendum through which they are submitting a proposal. Applicants should send general questions about the below information by email to Mr. Kyle Davis, Agreement Specialist, at kydavis@usaid.gov, with a copy to rbaltes@usaid.gov.

We sincerely hope that your organization will consider submitting a Concept Paper to work with USAID.

Sincerely,

/s/

Kyle Davis, Agreement Officer, M/OAA/REFS

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SECTION I: PROGRAM DESCRIPTION

A. BACKGROUND AND AUTHORITY

The U.S. Agency for International Development is issuing this APS pursuant to the Foreign Assistance Act (FAA) of 1961, as amended. The Agency will administer any resulting awards in accordance with Part 200 of Title 2 of the Code of Federal regulations (CFR), Uniform Administrative Requirements, Cost Principles, and Audit Requirements for Federal Awards; Part 700 of Title 2 of the CFR; Standard Provisions for U.S./Non-U.S. Organizations; as well as the additional requirements in Section VI of this APS, Information on the Administration of Federal Awards.

<u>Diversifying Partnerships in WASH Program (DiP-WASH)</u>

Problem Statement

~~The w~~Water security, inclusive of the drinking water, sanitation and hygiene sectors, faces long-term persistent challenges in both traditional technical approaches and traditional partnerships. These challenges have contributed to stark inequalities, poor sustainability, and insufficient financing for these basic services and conservation approaches.

At the technical level, these challenges have included
1. Weak or poorly enforced governance at the local, regional and national levels,
2. Inequalities in access to safe drinking water, sanitation and hygiene (WASH) products and services, finance, governance processes, and more, particularly for women and ethnic minorities, the poorest wealth quintiles, rural populations, and marginalized groups such as those with disabilities and LGBTQI+ persons, and those in vulnerable situations,[1];
3. Untrained water and sanitation workforces and low levels of opportunities for women and other marginalized and underemployed groups,
4. Low quality or depleting freshwater, drinking water and safely managed sanitation that is stressed further by climate change and fragile country contexts, and
5. Weak markets and lack of market-based approaches.

Underlying technical challenges in the WSSH sectors are challenges with the capacities of typical WSSH partnerships.[2] These have tended to

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[1] See Box 1: Inclusive Development Approaches to Advance Water Security on page 6 of USAID's Global Water Strategy Plan for more information on marginalized groups:
https://www.globalwaters.org/sites/default/files/us_global_water_strategy_2022.pdf

[2] While USAID's Agency-wide sector contributions have attempted to bring the required and diversified capacities to the table when addressing challenges, the Agency's traditional procurement process has inadvertently concentrated funds. According to the Agency's Acquisitions and Assistance (A&A) Plan, in fiscal year (FY) 2017, 60% of obligations went to just 25 partners, and more than 80% of obligations went to only 75 partners total.

- Only focus on construction, architecture and engineering ;
- Oversimplify approaches to improving governance and market systems;
- Emphasize <mark>water and sanitation</mark> ~~WSSH~~ experts to the detriment of other specialized skills and partners who represent marginalized groups;
- Insufficiently address climate change adaptation; and
- Overlook the enabling environment and sub-national inequalities.

The Diversifying Partnerships in WASH (DiP-WASH) Annual Program Statement (APS) seeks to engage <u>partners</u> that aim to provide solutions for the following problems, presented according to each APS Objective[3]:

1. ***Increased Accountability and Inclusivity of Water Security, Sanitation and Hygiene Governance -*** Many countries still struggle to develop robust, accountable, transparent, and inclusive governance systems; dedicate sufficient financial resources to these sectors, most notably to hygiene;[4] and use financial resources efficiently. Further, WSSH governance efforts often fail to consider challenges beyond water resources, drinking water, sanitation and/or hygiene line ministries, for example connections to climate change policies or factors related to the overall enabling environment. Governance issues are even harder in fragile or conflict-prone areas in which USAID increasingly works. Traditional partnerships often focus on the government itself to the exclusion of many other stakeholders needed for a holistic, functioning governance system. In countries without strong, diverse, and capable civil society engagement in the water and sanitation sectors, institutional governance challenges may be more persistent. Yet, civil society organizations (CSOs), including non-governmental organizations, faith-based organizations, the press and academia, are often overlooked as potential partners, lack capacity to engage, or have specialized expertise in elements of governance - from budget tracking to community mobilization - that are not embedded in the traditional WASH or water resources management (WRM) sector approaches. Lack of civil society participation in WSSH governance results in policies, budgets and institutions that are: (a) poorly responsive to communities; (b) not transparent or participatory in their approaches to policy development, implementation, monitoring and enforcement; (c) poorly accountable to consumers, communities, other government entities, and partners; and (d) not inclusive, particularly of at-risk or underserved communities such as women, Indigenous People, youth, LGBTQI+ people, and those with disabilities resulting in governance

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[3] The U.S. Global Water Strategy (2022-2027) frames the U.S. Government's policy response to global water security challenges. As part of the Global Water Strategy, USAID has also detailed how the Agency will implement its contributions to this interagency initiative. The D iP-WASH APS objectives align with the strategy's priorities and objectives. For more information on the GWS and USAID Agency Plan, please visit: https://www.usaid.gov/water-and-sanitation/us-global-water-strategy.

[4] According to UN-Water Global Analysis and Assessment of Sanitation and Drinking-Water (GLAAS), only 9% of countries with costed hygiene plans reported having enough financial resources to implement the plan.

systems that do not address their needs or capture their solutions.

2. *Increased professionalization of WASH and WRM services* - Globally, it is estimated that an additional $1 trillion is needed each year to achieve water security and to reach universal access to water and sanitation. This means that significant investment from the private sector will be needed. However, lack of capacity in technical, operational, and fiscal performance among water and sanitation service providers in both urban and rural contexts, and among water basin authorities and managers, has contributed to low quality services and poor sustainability, making water and sanitation unappealing sectors for investment. The water and sanitation workforces have also tended to lack inclusivity and rigorous standards of performance, which result in a reduced pool of qualified candidates who could otherwise help to improve the professionalization of the sector, thereby increasing its sustainability and bankability. Historically, the United States Agency for International Development (USAID) has leveraged technical and private sector partners for their expertise in training, business development, and workplace policies, among other gaps, but further progress is needed. Academic and training partners are also key to building a skilled workforce pipeline for all aspects of water and sanitation, from masonry and plumbing to planning, monitoring, and operations. In particular, the ability to grow the pipeline of female employees and other underemployed groups in these sectors has suffered from a combination of factors, including barriers associated with traditional gender norms, discriminatory laws and policies, and inadequate human resources policies.

3. *Improved Water Resources Management and Increased WASH Service Quality along the Full Service Ladders[5]* - The next decades will be characterized by mounting pressure on freshwater resources. Already, at least two-thirds of the global population— more than 4 billion people—lives with severe water scarcity for at least one month every year, while water use has been rising at more than twice the rate of population growth in the last century. Water resources management faces significant challenges in the face of these trends coupled with climate change. As a result, governments often struggle to simultaneously protect valuable natural resources and meet demands for its equitable and sustainable use. Weak technical, financial, planning and monitoring, insufficient attention to nature-based solutions, environmental protection and ecosystem services, poor coordination across water-using sectors such as agriculture, and low levels of participation in resource management, are putting governments on track for failure to meet their targets to reach people with safe drinking water and safely managed sanitation, and to improve water resources management.

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[5] The UNICEF-WHO Joint Monitoring Programme on Water Supply and Sanitation maintains the global definitions of the drinking water and sanitation service ladders, which demonstrate a progression from basic access to high -quality piped water and safely managed sanitation that includes capture, transport and treatment of human waste.

In addition to emphasizing integrated water resources management, water use efficiency, and sustainable freshwater withdrawals, the Sustainable Development Goals (SDGs) put forth a significant challenge to the global community; recognizing that billions of people worldwide still lack access to basic water and sanitation services, the ambition of the SDGs is for countries to both achieve universal access to basic services and to pursue higher levels of service, progressively moving from basic to safely managed services, in addition to achieving universal access to hygiene. This includes improving water quality, wastewater treatment, and safe water reuse; safe water capture, storage, transport, and treatment of human excreta; and behaviors, such as handwashing. These shifts come with a host of challenges, from ensuring that the sector continues efforts to reach everyone with basic services while also pursuing higher levels of service, to strengthening capacities of service providers and authorities in everything from fecal sludge management, operations and maintenance, water quality monitoring and treatment, to data collection and reporting. Lack of national capacity to monitor progress across the full sanitation value chain, and lack of government capacity to consistently monitor water quality are just two of the problems USAID seeks to address with private sector, technical, and civil society partners.

4. *Strengthened WASH markets -* Similarly to poorly professionalized water and sanitation authorities and service providers, weak or narrowly-focused water and sanitation market systems contribute to insufficient sector financing. Many countries lack business climates amenable to new entrants to the water and sanitation market. Additionally, existing WASH businesses often lack the financing needed for their own sustainability and for impact to be felt, a challenge that is particularly acute for female-owned businesses. Furthermore, products and services on the market may be unavailable or unattractive to certain market segments. Insufficient capacity to provide market research, influence policy reforms and incentives, support small and medium enterprises in securing capital and planning for maintenance and operations, develop new products and services, and pilot targeted subsidies for at-risk populations are persistent gaps that must be addressed in order for market systems to contribute effectively to equitable, inclusive, and high-quality WASH products and services.

B. PURPOSE

The purpose of the Diversifying Partnerships in WASH (DiP-WASH) Annual Program Statement (APS) is to engage a diverse range of partners, including new, nontraditional, and local actors, on innovative and evidence-based approaches that address persistent challenges in water security, inclusive of drinking water, sanitation and hygiene that are not adequately addressed by other USAID investments, and that result in increasing the equitable availability and sustainable management of climate-resilient safe water and sanitation for underserved and marginalized communities and people in vulnerable situations.

Diversifying USAID's water security, sanitation and hygiene partnerships is key to the Agency's ability to achieve the four Strategic Objectives in the 2022 U.S. Global Water Strategy and the USAID Agency-specific Plan appended to it:

1. Strengthen sector governance, financing, institutions, and markets.
2. Increase equitable access to safe, sustainable, and climate-resilient water and sanitation services, and the adoption of key hygiene behaviors.
3. Improve climate-resilient conservation and management of freshwater resources and associated ecosystems.
4. Anticipate and reduce conflict and fragility related to water.[6]

To ensure sustainable results and systems strengthening, WSSH development programs need the ability to source targeted expertise through a diversity of partners , and to invest in approaches beyond the fields of construction and health promotion. These approaches include:

- **Governance Approaches**, e.g., public financial management, accountability, transparency, political economy analysis, policy and regulatory reform, advocacy, surveillance monitoring, evaluation, and learning;
- **Financing Approaches**, e.g., public spending, taxes and tariffs, private finance, hybrid and blended finance, microfinance;
- **Social and Behavior Change Approaches**, e.g., behavioral science, nudging; and
- **Market Systems Approaches**, e.g., human-centered design and product development, manufacturing and supply chains, business development services, professionalization of workforce, training and curriculum development.

There are many actors in the water security, sanitation and hygiene sectors that USAID must partner with to ensure successful development outcomes while addressing capacity gaps in traditional partnerships as outlined above. This APS seeks to increase partnerships based upon the specific capacities needed to address persistent challenges in the local context and strengthen local capacity to lead local efforts.

USAID thus seeks to engage with a set of new partners with the local knowledge, relationships, and capacities to address the sector's complex and often highly localized drivers of change. Established partners can play a support role to strengthen the capacity of new,
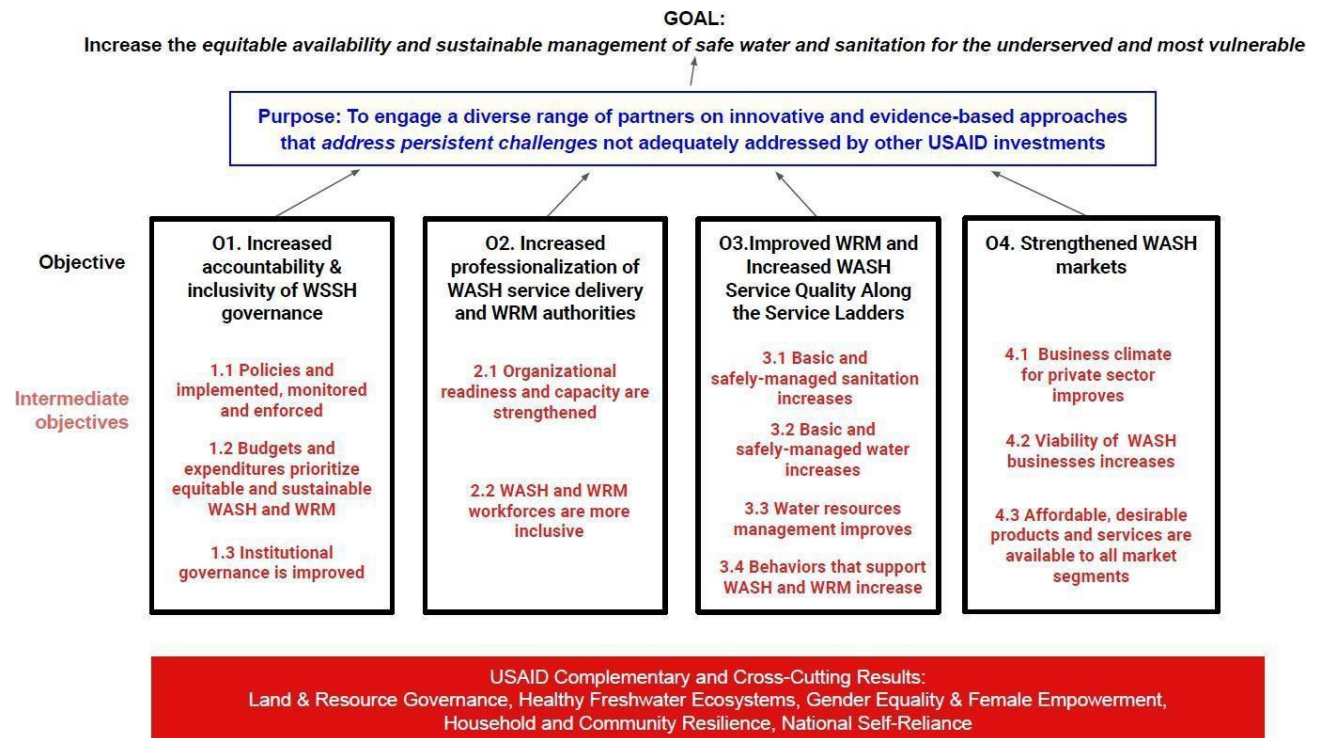
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6 2022 U.S. Global Water Strategy (https://www.globalwaters.org/2022-global-water-strategy)

nontraditional, and local partners (e.g., through technical oversight, compliance support, and/or mentoring, among other approaches).

DiP-WASH Logic Model

This APS's logic model has four Objectives, each of which has intermediate objectives that support it. Addenda and proposals under this APS are not required to focus on a single Objective and its sub-objectives; rather, the Objectives and intermediate objectives are designed to be mutually reinforcing and should be viewed as a menu of options that allows Missions and Operating Units to focus on the right combination of levers and partners to ensure their specific results can be achieved.

The APS Logic Model is presented below and is available here:

GOAL:
Increase the *equitable availability and sustainable management of safe water and sanitation for the underserved and most vulnerable*

Purpose: To engage a diverse range of partners on innovative and evidence-based approaches that *address persistent challenges* not adequately addressed by other USAID investments

Objective

| O1. Increased accountability & inclusivity of WSSH governance | O2. Increased professionalization of WASH service delivery and WRM authorities | O3. Improved WRM and Increased WASH Service Quality Along the Service Ladders | O4. Strengthened WASH markets |

Intermediate objectives

O1. Increased accountability & inclusivity of WSSH governance
- 1.1 Policies and implemented, monitored and enforced
- 1.2 Budgets and expenditures prioritize equitable and sustainable WASH and WRM
- 1.3 Institutional governance is improved

O2. Increased professionalization of WASH service delivery and WRM authorities
- 2.1 Organizational readiness and capacity are strengthened
- 2.2 WASH and WRM workforces are more inclusive

O3. Improved WRM and Increased WASH Service Quality Along the Service Ladders
- 3.1 Basic and safely-managed sanitation increases
- 3.2 Basic and safely-managed water increases
- 3.3 Water resources management improves
- 3.4 Behaviors that support WASH and WRM increase

O4. Strengthened WASH markets
- 4.1 Business climate for private sector improves
- 4.2 Viability of WASH businesses increases
- 4.3 Affordable, desirable products and services are available to all market segments

USAID Complementary and Cross-Cutting Results:
Land & Resource Governance, Healthy Freshwater Ecosystems, Gender Equality & Female Empowerment, Household and Community Resilience, National Self-Reliance

C. Funding Priorities and Programmatic Focus

The DiP-WASH APS provides the broad framework for USAID's interest in engaging a diverse range of partners, including new, nontraditional, and local partners, on innovative and evidence-based approaches that address persistent challenges in the safe drinking water, sanitation and hygiene (WASH) and water resources management (WRM) sectors as described in Section I.B of this APS. This umbrella funding opportunity establishes the overall purpose, criteria, process, and rationale under which the Agency's Operating Units will issue specific and to-be-determined requests (referred to as Addenda).

This APS describes the process through which organizations can work with USAID to achieve sustainable development outcomes, results, and impact. The APS itself is **not** a request for concepts. USAID is under no obligation to review general concepts submitted under this overall program statement, or to provide feedback on such submissions. USAID will *only* accept applications for awards under the DiP-WASH APS based on specific guidance provided through separate Addenda, issued by USAID Mission, Bureau, or Independent Office (B/IO) under this overall DiP-WASH frame.

USAID will express specific programmatic and geographic priorities through individual Addenda, issued on an as-needed basis, which reflect the particular programmatic or geographic focus of a USAID Mission, or B/IO. This approach will ensure that specific Addenda reflect the objectives and nuances of each unique environment, and that USAID Missions or B/IOs are in a position to review and issue awards for those applications (with assistance from USAID Washington when necessary).

This APS seeks to address four key objectives targeting persistent gaps and challenges in existing WASH partnerships. These are presented in the Logic Model above. Solutions to each challenge will rely upon a combination of assistance by partners from the private sector, civil society, academic and technical institutions for success. Intermediate Objectives (IO) are also indicated in the above Logic Model.

Activities under this APS may seek to address one or more of the Objectives and IOs; they are designed to have impact on their own, and to be reinforced by others. Because there is a high risk of climate change related shocks, including but not limited to droughts, floods, water contamination, and infectious disease outbreaks, in most counties in which USAID supports WSSH programming, as well as ongoing risk of conflict and other crises, USAID encourages flexibilities to be built into activity design under this APS, including, shock responsive programming, crisis modifiers, and collaborating, learning and adapting (CLA). The ~~current~~ COVID-19 pandemic underscored~~s~~ the importance of resilient water and sanitation systems to building resilience in the face of crises. Lessons learned from activities designed to respond to COVID-19, including WASH for infection prevention and control, availability of water and soap to enable handwashing, and challenges with continuity of water operations and sustainability, should be applied to Addenda under this APS to ensure sufficient flexibilities and appropriate systems approaches are prioritized for building resilience.

DiP-WASH is a global mechanism. Geographic priorities will be established through Addenda issued to this APS.

Desired Program Outcomes and Impacts

In order to achieve the Objectives and Intermediate Objectives in the above Logic Model, as well as address the persistent sector problems previously discussed, the APS and its Addenda will support activities that drive success in four Objective areas.

Objective 1: Increased Accountability and Inclusivity of Water Security, Sanitation

and Hygiene Governance

Objective 1 seeks to improve national government policies, plans, regulations, standards, budgets and processes such that access to safe drinking water, sanitation and hygiene, and improved water resources management benefit more people. This Objective more specifically seeks to address inequalities by increasing access and participation for underserved and marginalized groups and persons in vulnerable situations.

Objective 1 is divided into three IOs.
    1.1 Policies are implemented, monitored and enforced
    1.2 Budgets and expenditures prioritize equitable and sustainable WASH & WRM
    1.3 Institutional governance is improved

1.1 Policies are Implemented, Monitored, and Enforced

The existence of water and sanitation policies, plans, and regulations, while critical, is insufficient to overcome decades of persistent challenges in the WASH and WRM sectors. Laws and policies must be codified in regulations and standards, which in turn must be enforced. Standards and enforcement of policies, plans, and regulations should be continually monitored, assessed, and reformed when needed to ensure they reflect barriers and respond to changes in context or operating environment. Intersecting vulnerabilities, such as poverty, geography, disability, ethnicity, identification with or membership in an indigenous group, and gender, make some people especially challenging to reach with services or to participate in WSSH decision-making, and thus require targeted and specialized approaches to ensure that policies reflect the needs and solutions of these communities and individuals and are equitable. Improved governance and improved inclusivity require partnerships with civil society organizations that can infuse the sector with new policy ideas and innovations, facilitate inputs from and dialogue between communities and end-users with decision-makers, and facilitate opportunities for continued future engagement. Civil society is also a key partner in building mutual accountability through social mobilization and advocacy, both of which are a key element in the ongoing process of improving policies, their implementation, and their enforcement.

Further, climate change, increasing state fragility, economic impacts from the COVID-19 pandemic, and increase in potential hotspots for water-related conflict, and other destabilizers, require consideration of policies, budgets, standards and regulations that may fall outside the remit of water and sanitation line ministries. These include climate change adaptation, regional approaches to transboundary water resources management, nature-based approaches, and broader enabling environment considerations such as land tenure or civil registration. Partners with these specific expertise may be important, in addition to diversified civil society partners, to consider the full scope of governance interventions needed in the local context, including for local capacity strengthening ~~development~~.

1.2 Budgets and Expenditures Prioritize Equitable and Sustainable WASH & WRM

In order to ensure WASH financing is reaching those most in need and is always supporting

services that will be sustained, it is important that budgets and planning align with policies and regulations, and that budget allocation and execution improves and is transparent. Financial incentives and accountability mechanisms should be improved and introduced as well. For example, Finance Ministers do not always prioritize budgets according to national or sub-national policies and plans or have access to data that helps them to make evidence-based allocation decisions, while service providers may not allocate funds to hardest-to-reach areas despite what district plans indicate. Funds available for climate resilient WSSH may be difficult to access or implement, or lack coordination across Ministries. Civil society partners have an important role to play as they can support accountability measures and ensure that the population understands what funding is available, while climate change partners may provide important expertise in ensuring that budget plans and execution respond sufficiently to water-related impacts of climate variability and increase overall community resilience.

1.3 Institutional Governance is Improved

IO 1.3 focuses on improving national standards, certifications and controls that guide improved service delivery and efficiency. Water and sanitation service authorities and providers, and water basin authorities and other water managers, are too often unable to implement national policies and effectively use budget allocations. Institutions must also be accountable to users and communities and individuals in vulnerable circumstances, and ensure feedback cycles. Additionally, service providers often fail to respond to regulations or certification requirements. In order for policy reform and enforcement to be meaningful, water and sanitation service authorities and providers, basin and water user authorities and other institutions must uphold them. This may require supporting these institutions to improve their own governance, such as by changing their own policies, including human resources policies; or creating new job categories that meet specialized needs, all of which lay the governance groundwork to support improved professionalization of the sector. Partners from the private sector, such as business development firms, standards institutes, associations or entities with targeted capacities in strengthening operational or financial management skills, are important for IO 1.3.

Objective 2: Increased Professionalization of WASH Service Delivery & WRM Authorities

A major barrier to sustainable, equitable and affordable services is a lack of accountability and capacity among service providers, such as in low-resource water and sanitation service providers. Similarly, a major barrier to effective water resources management is a lack of capacity and sustainable finance to cognizant basin authorities, institutions or water user entities. Skills may be lacking in financial management, human resources, allocation planning, data collection and utilization for decision-making, maintenance, risk assessment and risk planning, or many other areas of operations. For example, in areas without utilities, such as remote rural areas, community management models are often used; these generally suffer from greater lack of professional skill sets than those in urban areas. Low professional capacity in utilities creates a perceived risk to investors, perpetuating large gaps in funding for both capital expenses and

operations and maintenance. Lack of risk mitigation planning creates vulnerabilities in the face of shocks and stressors. At the same time, the majority of the formal workforce in low- and lower-middle income countries is men. Women are absent from the workforce for many reasons, but the net impact is a missed opportunity for strengthening the WASH and WRM workforces, ==addressing discriminatory laws and practices==, and ~~for~~ strengthening women's economic empowerment. Youth training and employment opportunities in WSSH operations, maintenance, and technical trades may simultaneously address high rates of youth unemployment and critical human resources challenges in the sector.

As such, USAID seeks to contribute to a professionalized WASH and WRM workforce through activities that benefit all relevant employers, employees, and trainees; and through a specific focus on enabling women and other underemployed groups to enter these jobs, as a strategy for increasing access to high-quality sustainable services, improving WRM, and driving market-based approaches.

Objective 2 has two IOs:
      2.1 Organizational Readiness and Capacity are Strengthened
      2.2 WASH and WRM Workforces Are More Inclusive

2.1 Organizational Readiness and Capacity Are Strengthened

Technical and operational expertise among water and sanitation service providers, such as utilities, maintenance or masonry companies, installers and engineers, is foundational to ensuring that water, sanitation and hygiene WASH services become good investments, reach higher quality, and are more sustainable and equitable. A lack of standards, incentives, and other policies to set minimum expectations and allow consumers to choose qualified providers, as outlined under Intermediate Objective 1.3, coupled with a lack of training and educational opportunities create ongoing challenges to water and sanitation service access and quality. Similarly, technical expertise among water resource managers is fundamental to ensure policies, overall WRM and allocation plans, and monitoring systems are effectively developed and implemented, and respond effectively to climate change. In both the WASH and WRM contexts, employers must be incentivized to offer training and to hold employees to associated standards, to incentivize potential employees to seek training, and more. Additionally, institutions addressing WRM and WASH both suffer from insufficient capacity to respond to shocks and stressors, such as through risk assessment and preparedness or mitigation planning. USAID seeks to support efforts to increase the overall professionalization of key elements of the WASH and WRM workforces, including in developing employee skills, institutional financial controls and operational planning, and other actions that support professionalized institutions that can succeed in changing contexts. Academic, curriculum development, business management, training, technical institutions, and business or industry associations may all be important partners. In cases where the business or industry associations are weak or non-existent, USAID seeks to support the development and strengthening of such associations as they can be important vehicles for the professionalization of the overall WASH and WRM workforces.

WASH and WRM Workforces Are More Inclusive

In order to build more inclusive WASH and WRM workforces, the pipeline of trained women and people from other underemployed groups, such as youth, includes formal science, technology, engineering and math (STEM) education, vocational, operational, and on-the-job technical and skills training. Women are absent from the formal workforce for a variety of reasons, beginning with barriers to education in their youth and with gender norms that follow them throughout their life cycles. These may arise from gender norms alone, or be reflected in legal structures, as well. Opportunities for certification, mentorship and peer engagement can provide the support needed for women and other groups to navigate employment in sectors they are discouraged from joining. Employers in both technical and operational categories must actively recruit and retain women and other underemployed groups and individuals experiencing vulnerable circumstances, such as iIndigenous pPeoples, LGBTQI+ persons, and persons with disabilities, and support opportunities for them to advance through retraining or other opportunities. Academic, technical and vocational partners, including those who are not traditionally active in the WSSH sectors, will be important in targeting women and other underemployed groups for training. Civil society, technical advisory organizations, and other non-traditional WSSH partners have an important role to play in improving the enabling environment for women and other underemployed groups to seek science, technology, engineering and math (STEM) education, technical and operational training, and jobs with WASH- or WRM-related employers as well as to promote workplace policies, such as menstrual health and hygiene (MHH) policies that include both norms change and attention to facilities needed to manage menstruation, and reasonable accommodations for persons with disabilities, which create an equitable, safe, and appealing on-the-job environment.

Objective 3: Improved Water Resources Management and Increased WASH Service Quality Along the Full Service Ladders

Despite significant progress in expanding access to safe drinking water, and progress, though less so, in expanding access to improved sanitation and hygiene, large gaps remain, inequalities are persistent and growing, the services that exist often are not high quality, and progress is insufficient at the current pace to achieve Sustainable Development Goal 6 (SDG6) targets by 2030. The higher the level of service, the greater the gaps in data, particularly those related to feces capture, transport and treatment; regulation and monitoring of water quality and fecal sludge management; water and sanitation safety planning and risk management; and more sustainable and equitable management of the water resources that underpin drinking water service delivery.

Underlying these are surveillance, statistical and reporting capacity for SDG 6 targets 6.2 and SDG 3 target 3.9, and their domestic equivalents, as well as consistent use of data for decision-making. Significant data gaps result in the inability to monitor improvements in water resources management or the quality of water and sanitation services, and in understanding water and

sanitation access rates among marginalized individuals and communities. As countries seek to move from basic services to improved or safely managed services, surveillance and monitoring capacity becomes a more apparent gap. As a result, efforts to improve water resources management, including through nature-based solutions and <mark>watershed</mark> protection, and increase the quality of drinking water and sanitation services are interdependent with efforts to strengthen national government capacity to monitor these services, particularly through national information management systems and national statistics offices, and to apply these data to policy, implementation, and budget decisions.

USAID thus seeks to address the following Intermediate Objectives through a variety of means that depend upon civil society, academic, and technical partners for their success:

     3.1 Basic and Safely managed sanitation services increase

     3.2 Basic and Safely managed drinking water services increase

     3.3 Water resources management improves

     3.4 Behaviors that support improved WASH and WRM increase

NOTE: While this Objective seeks to improve water and sanitation up the service ladders[7] USAID acknowledges that significant gaps remain in efforts to reach universal access to basic drinking water supply and sanitation. Where relevant and feasible, activities under Objective 3 are encouraged to address water and sanitation quality at all levels of the service ladders.

3.1 Basic and Safely Managed Sanitation Increases:

Sanitation and hygiene investments are among the most cost-effective development instruments. In order to support countries to maintain progress in providing basic sanitation and hygiene access, while also moving progressively toward safely-managed sanitation, governments, service authorities, and sanitation service providers in rural and urban areas are anticipated to require significant additional support. Achieving universal access to safely managed sanitation will require significant investment in inclusive governance, financing, planning, risk management, technical and management capacity. USAID aims to bring private sector and technical stakeholders into new partnerships in order to facilitate improvement in the quality of sanitation services including fecal sludge management services and their governance systems (planning, organizational capacity, transparency and accountability), and to target marginalized communities for improved access to sanitation.

3.2 Basic and Safely Managed Water Increases:

For those who currently have access to basic water services, supplies are often inadequate to meet basic needs, contaminated by pollutants, unreliable, or inefficient, for example due to non -

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[7] For further information, see the UNICEF/WHO Joint Monitoring Programme on Water Supply and Sanitation explanations of the drinking water service ladder and sanitation service ladder.

revenue water. All water services should be improved or upgraded to ensure everyone, including those living with disability, chronic disease, or other barriers, can equally access high-quality services, regardless of where they fall on the service ladder. Achieving universal access to safely managed water services will require significant investment in inclusive governance, financing, inclusive planning, risk management, efficiency, and technical and management capacity. New partnerships are needed that build government and service provider capacity to ensure drinking water quality, including quality assurance, customer service, regular testing, risk mitigation, and safety planning; and to target marginalized communities for improved access to safe drinking water.

3.3 Water Resources Management Improved:

A reliable supply of high-quality freshwater is essential for WASH and other domestic uses. Additionally, reliable and well managed water supplies are critical for agriculture, industry and power generation, which together account for the majority of freshwater use globally. Improving WRM requires additional investment in data, institutional strengthening, finance, and cross-sector and cross-border cooperation. Given the importance of water to feed the world's growing population, improvement in water resources management often depends on coordination and collaboration with agricultural water users and managers as well as related line Ministries and other stakeholders focused on climate change or environmental protection, energy, and biodiversity conservation. Unique partnerships are needed that promote better resource allocation and planning, watershed restoration or conservation to protect water-related ecosystem services, water conservation, and that support private sector partners to improve water security throughout their supply chains. Additionally, WRM partnerships should expand participatory and equitable approaches to water resource management with diverse stakeholders, and emphasize processes and approaches that embed sustainable finance as part and parcel of the approach. Indigenous or traditional knowledge and resource management and allocation practices should be incorporated, where contextually relevant, in all WRM approaches; this has an implication for partnerships, as well.

3.4 Behaviors that support improved WASH and WRM increase

Beyond products and services, a critical factor in sustainable WASH access is human behavior. The willingness of communities and individuals to connect to services, invest in household latrines, adopt improved hygiene behaviors, or collectively protect a community water source, among other behaviors, can determine whether WASH and WRM investments are sustained and maintained or are short lived. Specific and intensive social and behavior change (SBC) interventions are especially critical for hygiene, including handwashing and menstrual health and hygiene, while also providing an opportunity to address harmful gender norms that lead to unequal impacts of WASH gaps on women and girls. Despite recognition of its importance, WASH and WRM activities do not allocate sufficient financial and human resources to develop evidence-based theory- driven SBC interventions. New partners, including the private sector, community-based organizations and research institutions, are needed to identify locally-specific barriers to and opportunities for

triggering and sustaining change through innovative, holistic SBC programs. Partners that can provide insights into specific socio-cultural and/or accessibility factors that influence context-specific behavior should be considered to ensure appropriate targeting of messaging and approaches.

Objective 4: Strengthened WASH Markets

With so many people lacking access to basic WASH services and the issue of lack of sustainability of such services, developing countries have an enormous challenge ahead. Not only are massive public investments required but private investments are essential to delivering affordable, sustainable, high quality water, sanitation, and hygiene services. The inclusion of new private sector partners, and increased engagement with existing private sector partners, will be critical for USAID's ability to achieve its water and sanitation objectives.

Multinational, national, U.S. small businesses,[8] and national or regional small and medium enterprises (SMEs) have unique expertise in developing and scaling up market-based approaches that are critical to helping countries provide affordable, desirable products and services and build and maintain a well-financed and well-governed water and sanitation service. Experiences globally show that the key challenges relate to the capacity and financial sustainability of service providers and policy, regulatory and institutional issues. In order to build strong WASH markets, USAID aims to support partnerships that address the enabling environment, support WASH businesses to launch and grow, and facilitate research and development of products and services that meet peoples' needs, desires, and budgets.

As such, Objective 4 includes three IOs:

     4.1 Business climate for private sector improves
     4.2 Viability of WASH businesses increases
     4.3 Affordable, desirable products and services are available to all market segments

4.1 Business Climate for Private Sector Improves:

In many of the countries in which USAID supports water and sanitation programming, private sector markets remain weak or support various sectors unevenly. A necessary precondition for stronger WASH markets is a stronger business climate overall, one in which clear, enforceable, and supportive, but not disruptive policies and incentives are in place, and in which businesses themselves understand the market system and work together to strengthen it.

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[8] The Federal Acquisition Regulation (FAR) defines a small business concern, including its affiliates, as independently owned and operated, not dominant in the field of operation in which it is bidding on Government contracts, and qualified as a small business under the criteria and size standards in 13 Code of Federal Regulations Part 121 (also see FAR Subpart 19.102). A small business subcontractor is defined as a concern that does not exceed the size standard for the North American Industry Classification Systems (NAICS) code that the prime contractor determines best describes the product or service being acquired by the subcontract. For more information please see USAID's Office of Small and DisadvantagedBusiness Utilization and its FAQs.

Civil society, academic institutions and the private sector should contribute sound understanding of the policies and incentives on which individual investments can be based. This work may link directly to DiP-WASH Objective 1, and may underlie success in Intermediate Objectives 4.2 and 4.3 as well. In countries where industry and trade associations are weak, non-existent, or missing representation from the water and sanitation sectors, challenges in building WASH markets are likely to persist.

4.2 Viability of WASH Businesses Increases:

In order to reach all market segments, and all geographies, with affordable and desirable WASH services, products, and supplies, small and medium WASH enterprises are essential. However, in many markets, significant barriers exist to their success. For example, lack of financing for scale-up, poor planning or understanding of the market, and inadequate operational rigor or poor maintenance of products can all prevent a WASH SME from succeeding and reaching those in need of its offerings.

Many WASH SMEs currently suffer from poor business development, management, or scale-up plans. This, in turn, can contribute to their inability to secure needed capital to sustain and grow their businesses. Partners with expertise in business development, management, operations, and finance, particularly those from the private sector, will be important to provide targeted support to new and growing WASH enterprises. As business models improve and as SME WASH services are tested and proven effective, capital will be easier to attract. For those SMEs able to secure additional capital, specific types of support may be needed to ensure efficient, effective and responsible use of new funds.

For enterprises owned by women or other marginalized populations, access to capital or to markets may be further blocked by cultural norms or policies that restrict the ability to access credit and financial services. In order to lift these barriers and create an equitable market for all entrepreneurs, civil society actions in support of APS Objective 1 may be particularly effective compliments to market-based approaches.

4.3 Affordable, Desirable Products and Services Are Available to All Market Segments:

WASH and WASH-related businesses of all sizes and purposes face numerous challenges in developing and marketing, and selling products and services, including innovative technologies, that meet the needs and budgets of consumers. Needs and budgets vary greatly by wealth quintiles, geographies, gender, disability, and even culture or religion. Businesses with products and services that are successful among middle-class or urban residents may find their reach limited without innovation; those that succeed in one cultural context may find that expectations, especially around sanitation and menstruation, vary greatly among the next, requiring participatory approaches to improving products, services and the supply chain in order to expand their reach. These adjustments and specializations to ensure reach, a reliable supply chain, and

scale across market segments may be blocked by a lack of household investment or access to finance, targeted subsidies or focus on services targeted to the underserved and vulnerable. A lack of female-led WASH businesses can contribute directly to a lack of products and services for all market segments. Affordability of some products, such as menstrual hygiene supplies, may be directly impacted by where manufacturing takes place or by trade barriers. Partners from the private sector with expertise in research and development of products and services, including those related to hygiene and behavior change, social impact investments, closing the digital divide or improving access to financial services, and market segmentation will be especially needed to achieve IO 4.3. Other partners, such as from civil society, may be helpful with household demand generation and household investment in WASH services and products, as well as in identifying demand specifically from marginalized groups or on sensitive topics such as menstruation.

Summary of Conclusions from Analysis

DiP-WASH is based upon market, gender and sustainability analyses. A brief summary of the findings of these analyses is below. As a result of these analyses, DiP-WASH emphasizes local capacity strengthening, including creating the option to focus on New Partnership Initiative approaches, as well as recommending attention to equity and inclusion across its Objectives.

Market Analysis

Market analysis conducted for the preparation of DiP-WASH identified significant gaps in USAID's traditional technical approaches and in USAID's traditional partnerships, as outlined in the Problem Statement above. This analysis concluded that:

- Civil society partners are underutilized in efforts to address WASH and WRM governance, finance, equity and inclusion, resulting in efforts that may struggle to reach all demographics and geographies with services and resources and in governance systems that may be unaccountable to all people they are meant to serve;
- Lack of professionalized water and sanitation service providers, behavior change promoters, and water resource management authorities, which contributes significantly to inadequate services and products and to poorly maintained or financed systems. This, in turn, makes WASH unappealing to investors, perpetuating a cycle of insufficient sector financing and poor sustainability;
- The ambition of Sustainable Development Goal (SDG) 6 requires simultaneous efforts to reach everyone with basic water and sanitation services while also upgrading services to achieve benchmarks of safe drinking water, safety managed sanitation, good hygiene behaviors, and sustainable water resource use. This creates a need for governments, service authorities and providers to rapidly acquire the capacity to plan for, finance, implement and monitor new and more rigorous service approaches. As a result, significant transfer of technical knowledge will be required; and
- The private sector is already making significant contributions to WASH and WRM, but

these are often happening in contexts that do not have in place the enabling environment required for the private sector to contribute sufficiently. This includes lack of capacity to reach all market segments, to support small and medium water and sanitation enterprises to develop and grow, or to develop products and services that address critical gaps identified by communities.

Gender Analysis

DiP-WASH focuses on equity and inclusion as an underlying factor in achieving all four of its Objectives. Women and girls often have disproportionately low access to WASH services and to water resources as compared to men, despite their traditional gender roles as key users and managers of these services and resources for multiple uses at the household and community levels. These traditional roles mean that women also have significant untapped knowledge about service gaps and water resources management and allocation, yet they are often unable to participate in decision-making or governance processes that would tap this expertise. While women, girls, and gender non-binary individuals may face significant risk of undignified or unsafe water collection or sanitation practices, they are also untapped change agents for improving equitable outcomes in WASH and WRM. Although there are significant human resources gaps in the water and sanitation sectors, women more often lack formal employment as compared to men and thus are not employed in the sector. Increasing training and employment opportunities for women creates an opportunity to address professionalization of water and sanitation services and authorities while also improving women's economic empowerment.

The DiP-WASH Gender Analysis found significant opportunities to improve outcomes for women, girls, and gender non-binary individuals by increasing their self-efficacy, training or educational opportunities, and livelihood opportunities through local capacity development, increased engagement, and alleviation of legal, social and cultural barriers to their full participation in society. See Annex I for a more detailed summary of the DiP-WASH Gender Analysis.

Environmental Impact and Climate Risk Analysis

Applicants must follow applicable terms of 22 CFR 216, ADS 204, and EO 13677.

Sustainability Analysis

DiP-WASH is designed to address many sustainability challenges in the WASH and WRM sectors as identified through market research and sustainability analyses. Key challenges to be addressed are included below:
- Poor governance in government and institutions, resulting in low water and sanitation service uptime, insufficient financing, lack of preparedness for shocks and crises, inadequate accountability and participation of at-risk and underserved groups, and insufficient attention to climate variability and environmental degradation.
- Poorly trained water and sanitation workforces and inadequate institutional human

resources policies, coupled with lack of access to technical education and training, particularly for women, contribute to poor maintenance, inequitable water allocation, and low investment.

- The high ambitions of Sustainable Development Goal 6 urges governments to seek to provide safe drinking water and safely managed sanitation, a significantly higher technical bar than basic water and sanitation. Both types of services must be pursued simultaneously. This dual workstream creates a risk that governments shift attention away from new and existing basic services, with negative impacts on operations and maintenance - and thus sustainability - and that they attempt to deliver safely managed services without sufficient technical expertise. Additionally, weak climate risk management and attention to ecosystems services can lead to challenges sustaining water basins and biodiversity, thus contributing to inadequate sustainability in water protection, quality, availability and allocation.

- Inadequate or insufficient water and sanitation private sector stakeholders, in particular small and medium enterprises, may leave underserved market segments without acceptable, affordable water and sanitation products and services. This is exacerbated by difficulties faced by female-led small and medium enterprises in attaining financing, creating a risk that products and services most appealing or affordable to women and girls are unavailable. Private sector engagement is also essential to closing significant financing gaps in the sectors, estimated to be $114 billion annually through 2030 in capital expenditures alone, and a total of an additional $1 trillion annually to achieve global water security and universal access to WASH by 2030. Without additional investment, water and sanitation services will remain subject to breakdown, low quality, and inequitable reach.

D. PROCESS AND TIMELINE

OVERALL PROCESS

USAID has outlined the process through which potential applicants may apply under potential Rounds in Section IV of this APS.

Extensive Partnership: Co-Creation and Shared Responsibility

A critical component of the DiP-WASH APS is the co-creation process. Past experience demonstrates that the most successful partnerships are grounded in mutually reinforcing relationships among implementing partners, local constituents and stakeholders, and USAID Operating Units. Co-creation may also ease the burden of entry to USAID partners for new, nontraditional, and local actors; facilitate adaptive management and shock-responsive programming, including to political violence; and ensure that non-traditional capacities and expertise are well understood for the contributions they can make. When relevant, co-creation seeks to maximize collaboration and to simplify access for a diverse set of partners. Co-creation is also a tool to identify the specialized capacities and expertise that are needed to achieve the objectives of a given Addendum. Co-creation requirements and processes will be detailed in Addenda, as applicable. [79]

Note: None of USAID's communication during a co-creation process of this APS and its Addenda should be interpreted as a commitment to making an award of USAID funding. Applicants are advised that participation in the co-creation process is entirely at their own risk; the U.S. Government is not responsible for any cost incurred by the Applicant if the Applicant decides to accept the invitation to co-create with USAID. A commitment to an award of USAID funding is only made when an award agreement is signed.

DiP-WASH Principles

All DiP-WASH APS activities should **adhere to the principles below**, which will guide partners in considering the ways in which traditional approaches and partnerships may best be adjusted to address persistent challenges in WASH and WRM approaches highlighted above. In addition to these principles, Applicants must also be responsive to the U.S. Global Water Strategy 2022-2027, including its principles; and the issuing M/B/IO's strategic plan (including Regional/Country Development Cooperation Strategies) and programming priorities or Agency initiatives as outlined in the Addendum.

Principle 1: Sustainability

As a persistent challenge in the WASH and WRM sectors, approaches to increasing sustainability are essential to DiP-WASH. Sustainable water and sanitation systems are those that are based on strong policy, are well regulated and financed, and reach everyone regardless of demographics or geography with affordable, desirable high-quality products and services.

Principle 2: Systems Approaches

Governance, service delivery and market systems are highly complex and must be addressed holistically in order for them to result in policies, budgets, products, services, and investments that are sustainable and equitable for all demographics, communities, and market segments. USAID recommends the use of systems- and networks-based analytical approaches to inform activity design and to support continuous adaptation and learning. Inherent to strong governance, service delivery and market systems are mutual accountability, clear roles and responsibilities of stakeholders, and local capacity. These systems should ultimately contribute strategic transitions from foreign donors to local resources, including strengthening the abilities of local institutions and actors to sustain outcomes, mobilize local resources, and address challenges, with an eye toward ending the need for foreign assistance.

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[9] For information about a typical co-creation process, please see the flow chart for the New Partnerships Initiative (NPI) as an example

Principle 3: Local Context

Local context and stakeholders underlie the DiP-WASH APS, whether through their roles in governance processes, as advocates, as consumers, or as part of the WASH and WRM workforces. This includes the specific needs and expertise of women, youth, ~~i~~Indigenous ~~p~~Peoples, those with disabilities, LGBTQI+ persons, and others who are underserved or underrepresented. It also includes an understanding of the relationship between WASH and WRM and environmental sustainability. Local capacity and network development and other tools may be deployed to ensure that DiP- WASH activities successfully build off of the local context, thus leading to greater resilience and self-reliance. DiP-WASH seeks to put people in charge of their own development.

Principle 4: Equitable and Inclusive Outcomes

Lack of access to safe drinking water, sanitation, hygiene, and water resources remains most challenging for underserved and marginalized communities and marginalized groups/individuals in vulnerable situations, such as women and girls, persons with disabilities, Indigenous Peoples, lesbian, gay, transgender, queer and intersex individuals (LGBTQI+), ethnic minorities, and youth, as well as the lowest wealth quintiles. This APS seeks to specifically address access barriers experienced by these communities and to increase partnerships with the civil society organizations led by and for-them. This may include capacity strengthening for inclusive development, gender sensitivity, and skills needed to improve enabling environments for all people to benefit from WSSH policies, services, and products. Increasing measurable participation of underrepresented groups, as relevant, is also essential, thus increasing equitability of access to water and sanitation. This principle includes, but is not limited to, Diversity, Equity, Inclusion and Accessibility (DEIA), in that DEIA in activity design, implementation, monitoring and reporting contribute to inclusive outcomes of WSSH investments. Proposed activities under the DiP-WASH APS **must** be compliant with all USAID policies related to at-risk and marginalized groups, including following do- no-harm principles. Proposed activities are strongly encouraged to include performance metrics that track equity of outcomes; all people-level indicators are required to be disaggregated by sex.

NOTE: At a minimum, Concept Note/Applications should demonstrate considerations for disability, gender, and crisis or conflict-sensitivity.

Principle 5: Leverage for Sustainable Impact

Ability to build from and leverage existing institutions and financing in partnership with the proposed effort is critical to effectiveness, value for money, and sustainability. Resources, capabilities, and working relationships should be leveraged in a manner that generates sustainable solutions and impacts in support of the Objectives of this APS and its addenda. Concept notes that propose leveraging approaches should indicate which partner will be

reporting and confirming the provision of the leverage and substantiating the value of that leverage.[10]

[END OF SECTION I]

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[10] Valuations of leverage should be grounded in objective measures and meet a "reasonable person" standard, keeping in mind that USAID is a USG agency whose programs are subject to Congressional review and significant public attention and scrutiny. USAID has developed some illustrative guidance and a leverage tracking sheet for use if an Applicant is asked to submit a full proposal. The tracking sheet is not required, but some partners may find it of value. To obtain the guidance and sheet, please contact gda@usaid.gov.

SECTION II: FEDERAL AWARD INFORMATION

This program is authorized in accordance with the Foreign Assistance Act (FAA) of 1961, as amended. Issuance of this Program Statement and/or related Addenda do not constitute an award commitment on the part of the U.S. Government, nor do those commit the U.S. Government to pay for any costs incurred in the preparation or submission of questions, comments, suggestions, or an application. Applicants submit Concept Paper applications at their own risk, and all preparation and submission costs are at their expense.

The DiP-WASH APS is **not** a request for concept papers. Concept papers must be submitted in response to, and in accordance with the instructions provided in, a specific Addenda. Specific information and instructions for awards under this APS will be provided in individual Addenda.

A. ESTIMATE OF FUNDS AVAILABLE AND NUMBER OF AWARDS CONTEMPLATED

The DiP-WASH APS is not supported by specific funds. Any funding for proposed programs under this APS will come through the specific Addenda issued by USAID Missions or B/IOs. Proposed applications should meet minimum and maximum application funding amounts as described in each Addendum.

Multiple awards may be made as a result of addenda issued from this APS. The actual number of awards under individual addendum are subject to the availability of funds and the viability of concept papers/applications received. Accordingly, USAID reserves the right to award multiple awards, one award, or no awards at all under each Addendum.

B. START DATE AND PERIOD OF PERFORMANCE FOR FEDERAL AWARDS

Applications must offer a period of performance in accordance with the guidance provided in an Addendum. The initial period of performance must be 60 months or less. USAID anticipates making the first awards within six (6) months after the effective date of the first Addendum.

C. EXPECTED IMPLEMENTING MECHANISM

Awards resulting from this APS may take the form of a grant (including but not limited to a fixed amount award) or cooperative agreement. Each addendum will define the types of award instruments available for potential awardees. If an addendum anticipates awarding a cooperative agreement, the expected USAID substantial involvement will be included in the Addendum. An acquisition mechanism will not be awarded under any addenda issued from this APS.

[END OF SECTION II]

SECTION III: ELIGIBILITY INFORMATION

A. GENERAL INFORMATION

Eligibility for this APS is <u>not restricted</u>, subject to any clarification in this APS and additional detail provided in any of its Addenda. However, USAID missions and operating units have been encouraged to issue Addenda to this APS that utilize New Partnerships Initiative (NPI) approaches.

The objective of DiP-WASH is to diversify USAID's partners in water, sanitation, hygiene and water resources management activities. As such, all partner types, such as U.S. small businesses, businesses that provide WASH services or supply chains, financial providers, minority-serving institutions, utility and trade associations, civil society organizations and networks led by and for marginalized groups, universities/academic institutions including U.S. minority-serving institutions, and others are encouraged to join consortia or to submit Concept Notes in response to Addenda.

Additionally, entities meeting USAID's definitions of **new or underutilized ==organizations partners== (NUPs)**, **local entities, or locally established partners**, are encouraged to apply. Each Addendum may further restrict eligibility if the issuing M/B/IO determines it is in its best interest.

Concept Notes submitted under Addenda issued under this APS must follow all instructions in this Program Statement, and should address the Merit Review criteria in Section V. Each Addendum will provide limits, if any, on the number of proposals a single organization or individual may submit.

There is no requirement for **cost-sharing** or matching in this APS, however USAID encourages leverage and cost-sharing, especially by larger or international partners. Addenda issued by Missions or other USAID Operating Units may require cost-sharing or matching. Instructions on such cost-sharing or matching will appear in each Addendum. Leverage can take the form of financial or in-kind support. Resources, capabilities, and working relationships should be leveraged in a manner that generates sustainable solutions and impacts in support of the Objectives of this APS and the Addendum to which Applicants are responding. Concept notes should indicate which partner will be reporting and confirming the provision of the leverage and substantiating the value of that leverage. Valuations of leverage should be grounded in objective measures and meet a "reasonable person" standard, keeping in mind that USAID is a U.S. Government agency whose programs are subject to Congressional review and significant public attention and scrutiny. For guidance on cost-sharing in grants and cooperative agreements see 2 CFR 200.306.

B. ELIGIBLE APPLICANTS

All potential Applicants are eligible to submit a Concept Note, provided they follow all requirements and instructions provided in the individual Addendum to which they are applying. Each Addendum may further restrict eligibility if the Mission or B/IO determines it is in its best interest.

To be eligible, all Implementing Partners must be legally registered entities under applicable law and eligible under the relevant laws to receive funding from a foreign source. Individuals, unregistered, or informal organizations are not eligible to be Implementing Partners.

U.S. and Non-U.S. Non-Profit Organizations (NGOs)

Qualified U.S. and non-U.S. private non-profit organizations may apply for funding under this APS. Foreign government-owned parastatal organizations from countries that are ineligible for assistance under the Foreign Assistance Act (FAA) or related appropriations acts are ineligible.

U.S. and Non-U.S. For-Profit Organizations

Qualified U.S. and non-U.S. private for-profit organizations may apply for funding under this APS. Foreign government-owned parastatal organizations from countries that are ineligible for assistance under the FAA or related appropriations acts are ineligible. Potential for-profit applicants should note that, pursuant to 22 CFR 226.81, the payment of fee/profit to the prime recipient under grants and cooperative agreements is prohibited. However, if a prime recipient has a subcontract with a for-profit organization for the acquisition of goods or services (*i.e.*, if a buyer-seller relationship is created), fee/profit for the subcontractor may be authorized.

U.S. and Non-U.S. Colleges and Universities

Qualified U.S. and non-U.S. colleges and universities may apply for funding under this APS. USG and USAID regulations generally treat colleges and universities as NGOs, rather than governmental organizations; hence, both public and private colleges and universities are eligible. Non-U.S. colleges and universities in countries that are ineligible for assistance under the FAA or related appropriations acts are ineligible.

Private Voluntary Organizations (PVO)

A local or indigenous PVO, which by definition is a non-U.S. PVO operating in the same foreign country in which it is organized, is eligible to receive funding. Local PVOs are not required to register with USAID. In accordance with 2 CFR 203, a U.S. PVO and an "International PVO," which by definition is a non-U.S. PVO that performs development work in one or more countries other than the country in which it is domiciled, must be registered with USAID to be eligible to receive funding.

Public International Organizations (PIOs)

PIOs are eligible to apply for funding under this APS. Please see Automated Directives Series (ADS) 308 for USAID policy on defining PIOs. http://www.usaid.gov/policy/ads/300/308.pdf

New Partners

USAID encourages applications from new partners. Resultant awards to these organizations oblige USAID to undertake necessary pre-award reviews of these organizations to determine their "responsibility" in regards to fiduciary and other oversight responsibilities of the grant/cooperative agreement. In order for an award to be made, a USAID Agreement Officer must make an affirmative determination that the applicant is "responsible," as discussed in ADS 303.3.9.

Grants or Cooperative Agreements resulting from this APS and its addenda may require USAID to undertake necessary pre-award reviews of these organizations to determine their "responsibility" in regards to fiduciary and other oversight responsibilities of the grant/cooperative agreement.

Prior to making an award under this APS, USAID may perform a pre-award survey for organizations that are new to working with USAID or for organizations with outstanding audit findings. Accounting systems, audit issues and management capability questions may be reviewed as part of this process. If notified by USAID that a pre-award survey is necessary, Applicants must prepare in advance the required information and documents. A pre-award survey does not commit USAID to make an award to any organization.

Addenda under this APS may request Concept Notes/Full Applications (as applicable) from all types of organizations. All Concept Notes must be responsive to the APS as well as the specific Addendum to which the Concept Notes is being submitted and must come from organizations that can be determined to be sufficiently responsible to lead the final award. Concept Notes submitted under Addenda issued under this APS must follow all instructions in this APS, and should address the Merit Review criteria in Section V. Each Addendum will provide limits, if any, on the number of Concept Notes a single organization or individual may submit. The recommendation or selection of an Application for award does not in any way guarantee the the award. The Agreement Officer (AO) must evaluate risk in accordance with the principles established by USAID and the Office of Management and Budget (OMB) (see 2 CFR 200.205). In order for an award to be made, a USAID AO must make an affirmative determination that the Applicant is "responsible," as discussed in the Automated Directives System (ADS) 303.3.9.

Applicants are encouraged to form partnerships when developing Concept Notes, especially with local entities. Please note that Applicants can serve as sub-awardees, members of a consortium or supporting partners on multiple Concept Notes unless otherwise indicated in an Addendum to this APS. However, all **eligible interested organizations are restricted to submitting only one Concept Note as the Prime Applicant per Addendum** at any given time.

[END OF SECTION III]

SECTION IV: APPLICATION AND SUBMISSION INFORMATION

USAID will solicit concepts under this APS through the issuance of addenda identifying specific funding opportunities. USAID is not accepting responses to the APS at this time. Any concept that is submitted will be returned to the applicant. In the event that USAID decides at a later point to accept concept notes directly in response to this APS, the APS will be amended to allow for this submission option.

Please refer to specific Addenda documents for detailed information on any concept paper submission guidance including concept paper requirements and merit review/evaluation criteria for the specific Addenda, as applicable. General guidance for all Addenda under this APS is provided below. Program descriptions as outlined in Addenda must be reviewed by and receive concurrence from the DiP-WASH APS Manager prior to Addenda being issued.

A. AGENCY POINT OF CONTACT

Questions and Answers: All questions regarding this APS should be submitted in writing to Mr. Kyle Davis at kydavis@usaid.gov by the deadline on the cover page. Any information given to a prospective applicant concerning this APS will be furnished promptly to all other prospective applicants as an amendment to this APS, if that information is necessary in submitting applications or if the lack of it would be prejudicial to any other prospective applicant.

As a reminder, this APS is **not** a request for Concept Notes. USAID is under no obligation to review general concepts submitted under this overall APS, or to provide feedback on such submissions (although it is the Agency's practice to do so). The Agency will *only* accept applications for awards under the APS based on specific guidance provided through separate Addenda, issued under this overall APS, which will include all required application and submission information.

The Agency will furnish promptly to all prospective applicants as an amendment to this APS any information concerning this APS given to a particular prospective Applicant, if that information is necessary in submitting applications, or if the lack of it would be prejudicial to any other prospective Applicant.

Applicants must submit Concept Papers to the e-mail address Point of Contact specified in each Addenda.

B. CONCEPT PAPER AND APPLICATION PROCESS

Each Addenda will outline a three-phase process. Under the DiP-WASH APS Addenda, there will be a three-phase process where applicants first submit a concept paper for an initial competitive review:

1. All concept papers received from an addenda will be evaluated by a USAID Merit Review Committee (MRC) for responsiveness to the merit review/evaluation criteria outlined in each Addenda.
2. After the concept papers are evaluated, successful applicants may be invited to continue the co-creation and collaboration process to identify and develop the activities that will help achieve the results desired under this APS and specific Addendum; identify and incorporate additional partners; and determine respective roles and responsibilities related to the implementation of those activities.
3. If there is a co-creation phase, additional instructions and criteria for full application submissions will be provided after evaluation of concept papers, co-creation workshop (if necessary), and when full applications are requested.

The application and award process under this APS has the following steps:

PHASE 1: CONCEPT PAPER SUBMISSION

Concept Papers must respond to a specific Addenda under this APS and should be prepared and submitted according to the specific instructions in the APS and as relevant in the Addenda of interest. Applicants should not submit any alternative document or narrative as a substitute for a Concept Paper. All Concept Papers must be submitted in the language(s) indicated in the Addenda to which Concept Papers respond, and submitted electronically according to the instructions in this APS. Concept Papers must be submitted to the names indicated in the specific DiP-WASH APS Addenda. Concept Papers sent by any other means (including on www.grants.gov) will not be considered. The Concept Paper submission deadline for each specific DiP-WASH APS Addenda will be indicated in that Addenda. Each Addenda will be posted on www.grants.gov for a minimum of 60 days or as specified in each Addenda document. All Concept Papers will be evaluated based on the criteria and considerations set forth in Section V(A) of this APS and merit review/evaluation criteria for the specific Addenda, as applicable.

A Concept Paper is a short, five (5) page document where the applicant provides an overview of its idea. Applicants must submit a Concept Paper in response to an active Addenda by the deadline specified in the Addenda document. Each Addenda will review Concept Papers against merit review criteria detailed in the APS and Addenda document, as applicable.

USAID reserves the right to pose clarifying questions and conduct discussions with any Applicant, but may not opt to do so if it believes it has sufficient information in the concept paper itself. Posing clarifying questions and conducting discussions with one Applicant does not obligate USAID to do so with all Applicants.

CONCEPT PAPER REVIEW

Concept Papers will be evaluated according to the criteria and considerations set forth in individual Addenda issued from this APS. Each Addenda will review Concept Papers against the merit review criteria as detailed in the Addenda document. The purpose of the technical review is to determine whether USAID wishes to invite the Applicant to submit a Full Application.

USAID anticipates two (2) possible results from the Concept Paper merit review process:

A. Conditional Acceptance - Invited for Co-Creation: Concept Paper generally meets Addenda objectives and receives a PASS when evaluated against the Round merit review criteria. Additional clarity is needed. USAID invites the Applicant to engage in co-creation or to submit a full application if co-creation is determined to not be necessary.

--OR--

B. Rejection: Concept Paper does not meet Addenda objectives and receives a FAIL when evaluated against the Addenda merit review criteria. The USAID Mission or B/IO rejects the Concept Paper. Not every organization that submits a concept paper through an Addenda of this APS will automatically be selected to participate in co-creation.

NOTE: Due to the number of concept papers received, USAID is not able to provide details on why concept papers were not selected. USAID also reserves the right to make an award without discussions if determined to be in the Government's best interest.

NOTE: A decision to engage in more in-depth and/or specific co-creation discussions is not a commitment to funding, nor is it a commitment that USAID will request a Full Application. If an Applicant is invited to engage in co-creation and further discussions, additional guidance with respect to expectations during the co-creation process will be provided to the Applicant. There is no guarantee that participation in the co-creation phase will lead to an award from USAID.

Proposed concept papers must not exceed maximum funding amounts as described in each Addenda. Applicants may submit concept papers during a particular time period designated within the Addenda document. The number or limitation on Concept Papers that will be reviewed will depend on the details within the Addenda. If there is a ceiling on the number of concept papers to be reviewed in a particular Addenda, it will clearly state how many concept papers will be accepted. Further, if an organization does not submit a successful concept paper and is not invited to attend the co-creation workshop/submit a full application in a specific Addenda then that organization may still submit another concept paper in a future Round(s), if one occurs. Merit review/evaluation criteria will be revised to the specifics of the Addenda; another submission in another Addenda does not guarantee a successful concept paper and invitation to attend the co-creation workshop/submit a full application.

PHASE 2: CO-CREATION

Applicants that have successful Concept Papers may be invited for co-creation, and will engage with USAID Missions, or another B/IO, and/or possibly other successful Concept Paper Applicants. The co-creation process with USAID only builds on a Concept Paper that has strength and potential; it is not intended to develop new concepts from the ground up. During this phase, applicants will work with USAID technical teams to address issues. Another option for co-creation is for a workshop with all of the successful concept paper applicants in one Round. In such a case, USAID's discussions with those Applicants will take place within the parameters of publicly available information. These parameters provide ample room for

extensive, robust discussions regarding the development problem/goal in question, best practices, lessons learned in the relevant technical sectors, and pertinent research and evaluations and various other matters.

After concept papers have been submitted, USAID personnel can have highly specific, detailed activity design discussions with the Applicants throughout the remainder of the process, e.g., up to and through any award that might be issued under an Addenda of this APS. Concept papers should be free of any intellectual property that the Applicant wishes to protect, as the concept papers may be shared with other organizations as part of the co-creation process.

However, once potential partners have been invited to engage in further discussions, they will work with USAID to identify proprietary information that requires protection. Therefore, organizations submitting concept papers provide USAID a royalty free, non-exclusive, irrevocable right to use, disclose, reproduce, prepare derivative works, and to have, or permit others to have, use of any information contained in the concept paper submitted under each Addendum of this APS. If USAID engages with the organization regarding its concept paper, the parties can negotiate further intellectual property protection for the organization's intellectual property. Organizations must ensure that any submission under all Addendum of this APS is free of any third party proprietary data rights that would impact the license granted to USAID herein.

The goals of a co-creation workshop would likely be to explore and validate key challenges and problems, and then jointly develop promising solutions or adapt and expand upon existing solutions. Ideas described within the Concept Papers may be discussed and further developed in the workshop, but workshop thinking, and possible eventual full applications, will not be limited to these ideas. The workshop is also intended to help identify potential consortia and partnerships to support these new or existing solutions and activities.

NOTE: None of USAID's communication during the co-creation process in any addenda of this APS should be interpreted as a commitment to making an award of USAID funding. Regardless of the co-creation approach, USAID envisages a product of the co-creation process to be a strong draft project description from each selected Applicant/Consortium for the full application phase, as well as quantitative and/or qualitative indicators or performance milestones.

Note on additional partners/resources: Until full applications are submitted, both the Applicant and USAID may identify and include potential additional technical partners and/or potential resource partners. All additional sub-partners may be included as part of a subsequent full application if there is an agreement to do so between the potential sub-partner, the original Concept Paper Applicant, and USAID, but this is not guaranteed. Discussions with potential resource partners may continue throughout each Phase's process and during implementation. If an applicant does not succeed at the co-creation phase, the process ends for that applicant.

USAID reserves the right to remove any co-creation participant from award consideration should the parties fail to reach agreement on activity concept, design, award terms, conditions, or cost/price within a reasonable time, the participant fails to provide requested additional information in a timely manner, or the U.S. Government believes it is in its best interest.

Concept papers that are submitted late or are incomplete may not be considered for the co - creation workshop or request for full applications.

Additional information in the concept paper not requested by each Addenda of the APS may be removed and may adversely affect an applicant's evaluation/review. USAID also reserves the right to not conduct a co-creation phase and request full applications from successful applicants at the concept paper stage.

PHASE 3: REQUEST FOR FULL APPLICATION

After the co-creation phase, if the Merit Review Committee decides a full application(s) is warranted, full application instructions and criteria will be provided to the selected applicant(s) or groups of applicants that are proposing to work together. The RFA will provide complete instructions for submission of a full application. The full application will detail and expand upon the concept(s) developed through co-creation. The full application also requires the applicant to complete specific USG forms and to provide additional information that the USAID Mission or B/IO will need to move forward with an appropriate implementing instrument. All full applications will be reviewed for their technical merit against the full application merit review/evaluation criteria by the Merit Review Committee. Using its technical expertise, the Merit Review Committee may suggest revisions and additions to the proposed project as well as potential partners and resources. USAID will continue to have robust communication with applicants, potential partners, and other key stakeholders regarding the technical substance of the evolving approach, as well as the identity and roles of proposed or additional partners. USAID may request that key personnel of applicants deemed responsive and eligible deliver an oral presentation describing their proposed technical approach to inform the technical merit review.

If the Merit Review Committee selects application(s) for funding, its review will be shared with the Agreement Officer for cost analysis, final approval and award negotiation. During this stage, the Apparently Successful Applicant(s) and USAID can further design the technical approach, and clarify general resource requirements, additional partner involvement, and management control of the project under the guidance of the Agreement Officer. The Apparently Successful Applicant(s) may also be asked to provide additional information about its technical approach, capacity, management and organization, proposed cost and budget, responsibility, and representations and certifications.

The Agreement Officer will engage in final review, negotiation, and determinations of award responsibility, and cost reasonableness, and will draft an assistance mechanism, to be reviewed by the Apparently Successful Applicant. Information regarding possible award provisions will be offered to the applicant, as well as the final award provisions when the award is drafted. USAID reserves the right to accept applications in their entirety or to select only portions of the application to award.

USAID reserves the right to make no award under this APS or any Addenda at any stage of the process.

If requested to submit a full application, the applicant(s) (unless the applicant is an individual or Federal awarding agency that is excepted from those requirements under 2 CFR 25.110(b) or (c), or has an exception approved by the Federal awarding agency under 2 CFR 25.110(d)), is required to:

1) Be registered in SAM (System for Award Management) before submitting its application;
2) Provide a valid UEI (Unique Entity Identifier) number in its application; and
3) Continue to maintain an active SAM registration with current information at all times during which it has an active Federal award or an application or plan under consideration by a Federal awarding agency.

USAID will not make a Federal award to an applicant until the applicant has complied with all applicable UEI and SAM requirements and, if an applicant has not fully complied with the requirements by the time USAID is ready to make an award, USAID may determine that the applicant is not qualified to receive a Federal award and use that determination as a basis for making a Federal award to another applicant.

Per 2 CFR Appendix I to Part 200, Full Text of the Notice of Funding Opportunity, Section E, 3, USAID informs all potential applicants:

"i. That the Federal awarding agency [USAID], prior to making a Federal award with a total amount of Federal share greater than the simplified acquisition threshold, is required to review and consider any information about the applicant that is in the designated integrity and performance system accessible through SAM, currently Federal Awardee Performance and Integrity Information System (FAPIIS) (see 41 U.S.C. 2313);

ii. That an applicant, at its option, may review information in the designated integrity and performance systems accessible through SAM and comment on any information about itself that a Federal awarding agency [USAID] previously entered and is currently in the designated integrity and performance system accessible through SAM;

iii.   That the Federal awarding agency [USAID] will consider any comments by the applicant, in addition to the other information in the designated integrity and performance system, in making a judgment about the applicant's integrity, business ethics, and record of performance under Federal awards when completing the review of risk posed by applicants as described in CFR 200.205 Federal awarding agency review of risk posed by applicants."

C. CONTENT OF CONCEPT PAPERS

Applicants should submit only the information and materials requested, and in the format specified below.

- Concept Papers MUST be written in the language(s) required in the Addendum to which they respond and submitted electronically via e-mail in Word 2000 or Word 2003 text-accessible, or Adobe PDF.

- Concept Papers shall not exceed five (5) pages, using 1" page margins with 12 -point font. Applicants must follow the format below.
- Clarity and specificity are important, as is ensuring that the narrative in the Concept Paper addresses the points outlined in this APS and any Addendum used to review the Concept Paper. During the merit-review process, USAID may reject for funding those Concept Papers that are vague or merely restate language found in this APS or any Addendum.
- USAID will not accept Concept Papers that are more than five (5) pages in length.

D. LIMITING CONSTRUCTION ACTIVITIES

The DiP WASH APS will allow limited and small-scale construction activities supported by Addenda through **Cooperative Agreement** instruments only. All small-scale construction activities will follow USAID policies and practices for construction management and oversight for assistance. Please note that not all opportunities will allow construction activities. Please see future addenda for information related to construction activities and thresholds for those specific opportunities. In addition to relevant policies, USAID reserves the right to lower the allowable financial limits on small-scale construction or prohibit construction activities altogether for Addenda issued under the APS.

E. NEW PARTNERSHIPS INITIATIVE

NPI was relaunched in 2019 as part of the Agency's first ever Acquisition and Assistance Strategy. Currently, NPI seeks to operationalize principles articulated in the Agency's updated 2022 Acquisition and Assistance Strategy, including Objective 3: "A more diverse set of partners engaged to implement locally led development solutions." NPI's focus on lowering barriers to entry to working with USAID, improving collaboration with new, nontraditional, and local actors, supporting greater local engagement, enhancing local capacity strengthening, and expanding the use of co-creation is closely linked with key issues of rebalancing power and accountability to local populations. As USAID renews its commitment to improving the way we engage with local systems through funding, promoting, and empowering local actors, NPI seeks to advance a more diverse, equitable, and inclusive approach to partnering.

Situated within the Local, Faith, and Transformative Partnerships (LFT) Hub of the Bureau for Inclusive Growth, Partnerships, and Innovation ~~Development, Democracy, and Innovation (DDI)~~), NPI supports the Hub's goals of strengthening the Agency's ability to partner with new, nontraditional, and local actors to advance their development goals by elevating local leadership, fostering equity and accountability, and mobilizing resources across the Agency's

programs. NPI accomplishes these objectives by working closely with Missions and other Operating Units within the Agency to craft language for funding opportunities that incorporate NPI approaches designed to yield a more diverse set of partners working with the Agency in innovative, locally-driven, and accountable ways. Since the launch of NPI in May 2019, Central and Mission mechanisms affiliated with NPI currently support 54~~2~~ awards representing over $~~1980 b~~million to approximately 70 partners.

Addenda issued under DiP-WASH may adhere to NPI partnership approaches and definitions outlined below. Each Addendum will specify eligibility criteria and, where relevant, the NPI approach or approaches selected by the M/B/IO issuing the Addendum.

NPI Partnership Approaches

Addenda to this APS that align with the NPI will specify one or more of the NPI partnership approaches outlined below. Concept Notes responding to DiP-WASH Addenda that are restricted to NPI approaches and definitions <u>must</u> respond to the NPI partnership approach or approaches specified in the Addendum to which they are responding. Additional information may be provided in DiP-WASH Addenda.

1. Direct Awards. Approach #1 focuses on empowering partners with strong local ties to national communities, and relies heavily on these partners during co-creation processes to offer innovative ideas and solutions to the development challenges outlined in addenda. Under Approach #1, awards may be issued only to Prime recipients that meet one or more of the definitions below:

    A. New and Underutilized Organizations are those that have never received any funding from USAID, or have received less than $25 million cumulatively in direct or indirect awards from USAID over the last five years. Under this Approach, nontraditional partners including (but not limited to) local, faith-based, diaspora, minority-serving, and volunteer organizations are encouraged to apply.

       Regional partners may also apply for awards under this approach if they meet the definition of a new or underutilized organization.

       Regional Partners are:

       a. An individual, a corporation, a nonprofit organization, government entity, or another body of persons that:
          i. Is legally organized under the laws of, and has as its principal place of business in a country which is part of the same region as a country(ies) it is providing assistance; and
          ii. Is providing assistance in one or more countries in the same region where it is legally organized and has its principal place of business.

    B. Local Entities[11]
       a. An individual or organization that:
          i. Is legally organized under the laws of a country that is receiving assistance from USAID;
          ii. Has its principal place of business or operations in a country receiving assistance from USAID;

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[11] As defined in Automated Directive System (ADS) Chapter 303.

　　　iii.　Is majority-owned by individuals who are citizens or lawful permanent residents of a country receiving assistance from USAID; and

　　　iv.　Is managed by a governing body, the majority of whom are citizens or lawful permanent residents of the country receiving assistance from USAID.

　C.　Locally Established Partners (LEPs)[12]

　　　a.　A U.S. or international organization that works through locally-led[13] operations and programming models. LEPs:

　　　　i.　Have maintained continuous operations in-country for at least five years and materially demonstrate a long-term presence in a country through adherence or alignment to the following:

　　　　　a.　Local staff comprise at least 50% of office personnel;

　　　　　b.　Maintenance of a dedicated local office;

　　　　　c.　Registration with the appropriate local authorities,

　　　　　d.　A local bank account; and

　　　　　e.　A portfolio of locally implemented programs.

　　　　i.i.　Have demonstrated links to the local community, including:

　　　　　a.　If the organization has a governing body or board of directors, then it must include a majority of local citizens;

　　　　　b.　A letter of support from a local organization to attest to its work; and

　　　　　c.　Other criteria that an organization proposes to demonstrate its local roots. (Chapter 201, 303)

2.　Mentoring Awards. Approach #2 allows for partners of any size to apply to serve as prime recipients, unless further clarified in the ~~A~~addendum, but requires that the prime subaward 50% or more of the total estimated amount of the award to organizations that meet local entity or ~~locally established~~ regional partner criteria. This approach requires prime recipients to provide grants to and engage with local and regional partners and to build feedback loops with relevant actors engaged in the development challenge; and serve as a ~~mentor to the subawaree partners, providing kn serve in one or more of the following roles: operating a large umbrella grants program that facilitates greater local engagement, strengthens local networks, and builds feedback loops throughout the set of relevant actors (direct and indirect constituents, prime and sub awardees, host government entities, etc.) engaged in the relevant development challenge; and/or ensuring USAID compliance requirements are maintained on behalf of subawardee(s) while supervising effective project implementation; and/or~~ serv~~ing~~ as a mentor to the subawardee partners, providing knowledge, learning, monitoring, or capacity strengthening ~~development~~ that supports locally-set objectives.

　　　~~All prime recipients under Approach #2 will be expected to develop and maintain an Accountability and Feedback plan that fosters accountability between the prime, subawardees, and affected populations. More information can be found in the "How-To" Guide on Developing an AFP.~~

　A.　Transition Awards can be part of any Mentoring Award ~~are one type of Mentoring Award that may be considered under Approach #2.~~

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[12] LEPs are organizations that generate significant private development assistance and support effective program models through locally-led operations that strengthen partner country capacity and commitment for self -reliance.

[13] Locally led operations in this definition describe arrangements in which local citizens beneficiary interests and the power (either directly or indirectly and whether exercised or exercisable) to control, by any means, the election, appointment, or tenure of the organization's managers or a majority of the organization's governing body.

Guidance for Transition Awards can be found in ADS 303. Transition awards must meet the following three criteria:

    i.   The recipient of the transition award is a local or regional subrecipient that has not previously received a direct award from USAID;

    ii.   The initial award required the recipient to strengthen the capacity of the local or regional subrecipient(s) to become more capable of receiving a direct award from USAID or other donors; and

    iii.   The initial award recipient recommended the local or regional subrecipient for a potential transition award based on explicit criteria contained in the initial award.

    b. The transition award process consists of two stages:

        i.   The Initial Award: The award of an initial assistance award for a distinct development activity with an additional requirement to strengthen the capacity of local or regional subrecipients, and

        ii.   The Transition Award: The award of a subsequent assistance award to a local or regional subrecipient whose capacity has been developed by the initial award recipient.

~~An award under Approach 2 could also have a structure in which the prime partner sub-awards an increasing percentage of the value of the award year-on-year, provided that the percentage is at least 50 percent of the total award amount (e.g., from 50 percent in Year 1 to 60 percent in Year 5).~~

3. Non-traditional Financing Partnerships: Approach #3 allows for partners of any type to serve as Prime recipients as long as Primes meet a minimum of a 1:2 cash leveraging of other public or private sector resources OR the implementation of the activity will significantly strengthen community financing ecosystems.The objective of these awards is to ensure that applications include ideas for maximizing USAID investments by identifying additional resources to support achievement of development objectives. These awards may also strengthen local philanthropy, support community financing, or develop models that provide sustained funding for local organizations over time.

    A. Leverage Awards: NPI seeks to support partnerships with organizations that can leverage private, non-U.S. Government, and/or local funding sources. Organizations of all types can qualify for these awards if they are able to propose and demonstrate commitment of leveraged funds worth a minimum of 50 percent of the total value of the award they seek from USAID. The leveraged funds can include non-Federal grants, contributions from local philanthropic sources and external awards, and/or in-kind contributions of intellectual property and volunteer hours provided by third-party actors. Applicants are encouraged to seek multiple funding sources to reach the 50 percent requirement. The leveraged funds cannot include additional types of in-kind contributions from the awardee.

    B. Awards to Strengthen Local Funding Networks: NPI seeks to support approaches that will strengthen local philanthropic organizations' and community-based financing models that have the ability to provide sustained funding over time to local organizations. This model aims to strengthen local philanthropic and community-based financing models to reach common development objectives. Organizations of all types can apply and do not need to propose leveraged funding. At least 25% of the proposed activity must have the objective of leveraging local philanthropic contributions, strengthening philanthropic networks locally, supporting alternative financing methods for local actors, supporting community-based financing models or similar activities.

    ~~3. Leverage Awards. Approach #3 allows for partners of any type to serve as Prime recipients without eligibility restrictions, but requires that Primes meet a minimum of a 1:2 cash leveraging of other public or private sector resources. This excludes in-kind contributions with the exception of intellectual property or~~

~~volunteer hours from third parties.~~

> A. ~~Direct Awards to Partners to Leverage Private/Non-U.S. Government Funding: NPI seeks to support partnerships with organizations that can leverage their own private (or non-U.S. Government) funding, acknowledging that private capital far exceeds Official Development Assistance (ODA). Organizations of all types (community and faith-based organizations, higher-education institutions, multinational firms, private sector organizations, small businesses, minority-serving institutions, and diaspora groups) can apply. Awardees must propose leveraged funds worth a minimum of 50 percent of the total value of the award they seek from USAID. The leveraged funds can include non-Federal grants and external awards, and/or in-kind contributions of intellectual property and volunteer hours provided by third-party actors. The leveraged funds cannot include other in-kind contributions from the awardee.~~

3.

NPI partnership approaches must also reflect all four (4) of the following requirements:

1. Define a measurable impact, including where appropriate the measurement of the strengthening of capacity of local organizations (local entities and LEPs at any level of an award), using the Agency indicators Capacity Building for Local Development (CBLD) 9 and 11;
2. Have an implementation plan[1] that will achieve the proposed programmatic objectives within a 60-month period;
3. Include an Accountability and Feedback Plan within Monitoring, Evaluation, and Learning (MEL) Plans for mentorship awards and leverage awards; and
4. Include a commitment to the principles of Collaborating, Learning, and Adapting where there is not an exemption: https://usaidlearninglab.org/qrg/understanding-cla-0

NPI Reporting

DiP-WASH Addenda that utilize one or more NPI Partnership Approaches will require that Monitoring, Evaluation and Learning Plans include the Agency's new standard capacity building indicator, CBLD-9, to enable Agency-level reporting against the goals of NPI ~~the New Partnerships Initiative~~. For more information on CBLD-9 please see https://www.usaid.gov/npi/capacity- building-indicator-resources. Monitoring, Evaluation, and Learning plans of partners applying under partnership approaches 2 or 3 (mentorship awards or non-traditional financing partnerships) should also include an Accountability and Feedback Plan.

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[1] A full implementation plan can be submitted during the refinement period or first 60 days of the award and not necessarily as part of a concept note or application

Locally-Led Development

USAID defines locally led development as the process in which local actors—encompassing individuals, communities, networks, organizations, private entities, and governments—set their own agendas, develop solutions, and bring the capacity, leadership, and resources to make those solutions a reality. As the Locally Led Development Spectrum makes clear, local leadership is not about simply awarding funds directly to local actors; USAID empowers local leadership when it comes alongside initiatives that originate in and are managed by host country actors. Local actors' credibility, accountability, and long-range time perspective are essential for success in achieving sustainable development.

USAID intends to provide the maximum flexibility to the Recipient to engage local actors and networks and propose innovative approaches. DiP-WASH ~~Powered by the People~~ is aligned with the principles of locally led development and systems thinking and practice as outlined in USAID's Local Capacity Strengthening Policy and Local Systems Framework. DiP-WASH ~~PxP~~ emphasizes interventions based on a well- informed knowledge of local systems; utilization of diverse approaches to engaging and strengthening local actors and measuring the effectiveness thereof; appreciation of local priorities and existing strengths; vigilance against imposing burdens on local communities or causing unintentional harm; and operating with mutuality and respect.

Local Engagement and Local Capacity Strengthening

Local engagement and local capacity strengthening are key elements of ~~USAID's Journey to Self-Reliance, of~~ USAID's Water and Development Plan appended to the U.S.Global Water Strategy, and of the DiP-WASH APS, as well as being central to NPI. Applicants are encouraged to demonstrate a clear understanding of the role that local organizations and institutions are playing or can play in promoting the objectives of this APS, and to include local capacity strengthening ~~development~~ activities where appropriate (see Section V, Evaluation Criteria). Local capacity activities are encouraged to utilize objectives developed by and with those who will receive capacity strengthening support. Where the primary Applicant is not a local organization, it is strongly encouraged that the Applicants demonstrate knowledge of and/or consultation with local actors who stand to benefit from the proposed program. **In cases where an international Applicant does not consider it in the program's best interest to understand or engage with local actors, the Applicant must clearly explain why that is the case**. International Applicants are encouraged to meet leverage or cost-sharing recommendations identified in each Addendum through the provision of in-kind capacity strengthening to local partners in order to ease their barriers to entry. Any such in-kind support should be reflected in work-plans unless otherwise indicated in Addenda or agreed through co-creation or other negotiations with the M/B/IO issuing the Addendum. **All Addenda to DiP-WASH that will include robust capacity strengthening activities <u>must</u> use the Agency's new standard capacity building indicator, CBLD- 9, regardless of whether the Addendum is restricted to NPI Partnership Approaches. [14]**

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[14] For more information on USAID's Capacity Building 9 indicator, see the CBLD-9 resource page
https://www.usaid.gov/npi/capacity-building-indicator-resources

[END OF SECTION IV]

SECTION V: APPLICATION REVIEW INFORMATION

A. MERIT REVIEW CRITERIA

USAID Missions and B/IOs will review for merit all Concept Paper applications that comply with the instructions in this Program Statement.

Each Addendum will specify merit-review criteria appropriate for their context. All Addenda must include the following review criteria:

Merit Review Criteria	Definition
Technical Approach advances the purpose of DiP-WASH programming	The extent to which the approaches articulated in the Concept Note (a) offer a credible, evidence-based development hypothesis for the Objectives or Intermediate Objectives identified in the Program Description and (b) demonstrate credible approaches to addressing the DiP-WASH Principles (sustainability; use of systems approaches; understanding of local context; equitable and inclusive Equity, Inclusion and Accessibility (DEIA), and leveraging) as relevant..
Institutional Capability	The extent to which the Applicant demonstrates institutional capacity to (a) perform proposed activities, (b) build and manage relationships with host country stakeholders and with the U.S. Government, and (c) assemble high-quality technical teams.
Staffing Plan	The extent to which the proposed personnel (a) have the skills and resources necessary for successful implementation of the proposed activities and (b) include a plan for increasing at every stage of program design and implementation.
Local Capacity Strengthening	The extent to which the applicant explicitly applies the first three principles of the LCS Policy. This includes the degree to which the applicant demonstrates its understanding of the local system; the extent to which applicants provide a diverse, appropriate, and innovative array of

	approaches and tools to address the needs of organizations that have diverse levels of baseline capacity; and describes its approach to collaboratively measuring capacity strengthening with partner organizations.
	~~and/or maintain its achievements without funding from USAID (on a scale of 1 - 3; 1 represents none/minimal advancement, and 3 represents significant advancement): The use of the proposed form of engagement is likely to achieve 1) No or minimal chance of sustainment; 2) Some chance of sustainment; or 3) Significant chance of sustainment.~~

Each Addendum will provide a schedule for notifying Applicants of the conditional acceptance or rejection of their Concept Paper.

[END OF SECTION V]

SECTION VI: FEDERAL AWARD ADMINISTRATION INFORMATION

A. FEDERAL AWARD NOTICES

The Agreement Officer (AO) is the only individual who may legally commit the USG to the expenditure of public funds. Applicants are prohibited from charging or incurring costs to the proposed award prior to receipt of either a fully executed Award or a specific, written authorization from the AO. Awards will be administered in accordance with 2 CFR 200, 2 CFR 700, and Standard Provisions for US/Non US organizations as applicable.

B. TYPES OF AWARD

USAID has a number of assistance award types to choose when providing funds under this Program Statement to successful Applicants. The type of award and terms and conditions included therein depends upon the type of recipient organization, programmatic factors, and other due-diligence matters (including responsibility determinations.) The following is a matrix of commonly used awards, their general prescription for use, and key characteristics.

Award Type:	Generally used when:	Characterized by:	More Information:
Fixed- Amount Award (FAA)	Milestones can be defined; Adequate pricing information is available; Recipient has limited financial and management capacity.	Advantages for both USAID and the recipient (when used appropriately). Milestones with fixed amounts assigned to each. Focus is on outputs and results; limits risk for both parties. USAID pays the grantee when the Agency concurs the milestone is completed. Minimizes administrative burden on USAID and the recipient, since payment is not cost-reimbursement. Assists in strengthening the institutional	https://www.usaid.gov/ads/policy/300/303saj

		capacity of new recipients.	
Cooperative Agreement	Recipient has adequate financial and management capacity to operate on a cost-reimbursement basis with the U.S. Government	Recipient is free to pursue its sponsored program, with USAID's Agreement Officer's Representative (AOR) involved in defined technical areas (referred to as "substantial involvement"). Such involvement may include approval of annual work plans, approval of key personnel, authority to halt a construction project, and joint collaboration and participation (defined in the award and specific to the project)	https://www.usaid.gov/ads/policy/300/303
Cooperative Agreement/Grant with Continuing Application	Recipient has adequate financial and management capacity to operate on a cost-reimbursement basis with the U.S. Government and USAID will engage in and fund multiple years/an expanded program based on the success of the efforts and program during the initial year of the award.	The characteristics are the same as above, but the "continuing application" feature of this award means that implementers will "re-apply" for continuation of the program through an oral presentation of the annual report of previous years' results and work plan for the next year. This type of award allows USAID to extend and expand the program easily, since this feature is built-in. It also allows USAID to end programs that do not meet the potential or have the impact	https://www.usaid.gov/ads/policy/300/303

		described during the Concept Paper and original award phase.	
Cooperative Agreement/Grant with Adaptive Modules	Recipient has adequate financial and management capacity to operate on a cost-reimbursement basis with the U.S. Government, and USAID will engage in and fund multiple years/an expanded program based on the success of the efforts and program during the initial year of the award.	A grant that uses a modular construct that consists of a series of blocks of work or modules. Each module stands alone and produces some result, which could be administrative or technical. They could be deliverables or simply indicators that the proposed intervention(s) is/are on the right track. The important point is that the module can be defined by when it starts and when it stops. It can be time-based (for example, six-months long) or event-based (when the materials are ready). Each module is unique -- the type of result, method of measure, and time or event based depends on the needs of that specific module. At the conclusion of each module is a decision point. By examining the data and assessments, stakeholders, and decision-makers use the decision point to determine the direction of the subsequent module. During the implementation of the module, there is a parallel	https://www.usaid.gov/ads/policy/300/303

		process for assessment, learning, and design for the subsequent module going on. The implementer must design Module 2 based on what was learned in Module 1.	
Grant	Recipient has adequate financial and management capacity to operate on a cost-reimbursement basis with the U.S. Government, and USAID will not be "substantially involved" in selected programmatic elements.	A grant is a legal instrument used when the principal purpose is to transfer anything of value (i.e. money, property, or services) to a recipient in order to accomplish a public purpose of support or stimulation authorized by Federal statute. Grants are appropriate when substantial involvement by USAID is not anticipated.	https://www.usaid.gov/ads/policy/300/303
Leader with Associates (LWA)	USAID will initially engage with a "leader" partner through a prime award with language that allows a Mission, Bureau, or other Operating Unit to make one or more separate associate awards without using restricted eligibility.	An LWA involves the issuance of a leader award that covers a specified worldwide activity. The leader award includes language that allows a USAID Mission, Bureau, or other Operating Unit to make one or more separate awards, called associate awards, to the recipient of the leader award without using restricted eligibility. The associate award must be within the terms and scope of the	https://www.usaid.gov/sites/default/files/documents/1868/303.pdf

		program description of the leader award and support a distinct local or regional activity. A leader award must have a program description and a budget with sufficient funds to carry out the program description in the leader award. USAID then can make associate awards without using fair-opportunity procedures. Note: the award of an LWA as a result of this APS could only occur after the successful approval of a deviation to the ADS, which the USAID co-creation team would prepare.	

C. AWARD DISCRETION

USAID reserves the right to make, or not to make, awards through this APS and any Addenda to it. The actual number of assistance awards, if any, under this APS and any Addenda is subject to the availability of funds, the interests and requirements of USAID, and the viability of applications received. There is no predefined minimum or maximum number of partners or partnerships USAID will support through this APS and any Addenda. However, USAID will not provide funds under this APS for products and services that it would otherwise purchase through a contract.

D. EVERGREENING

If USAID identifies opportunities to strengthen or fund a Concept Note or application by connecting it with other USAID mechanisms, other potential funders, and/or external partners, USAID may make that Concept Note or application available, internally or externally, for appropriate consideration.

E. REPORTING REQUIREMENTS

These will be specified in the Addenda documents, or at the request for full application stage.

F. PROGRAM INCOME

Program income may be generated under awards resulting from this APS. Program income for all award(s) resulting from Addenda under this APS may be used for cost-sharing or matching in accordance with 2 CFR 200.307(e) for US NGOs and the Required as Applicable Provision "Program Income" (December 2014) in ADS 303 for non-US NGOs. If the program income is to be utilized in a different way, the Addenda document will include this information. It must be used in a manner allowable under the CFR and ADS references above.

G. INITIAL ENVIRONMENTAL EXAMINATION

At the time of issuance of the RFA to the apparently successful Applicant, Per 22 CFR 216.2(2)(c)(2)(i), Missions and/or B/IOs will need to conduct the initial environmental examination to ensure that activities have appropriately integrated environmental factors and considerations.

[END OF SECTION VI]

SECTION VII: FEDERAL AWARDING AGENCY CONTACT(S)

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[END OF SECTION VII]

ANNEX 1: GENDER ISSUES IN WATER SECURITY, SANITATION AND HYGIENE RELEVANT TO APS APPLICANTS

This Annex summarizes the findings of the Gender Analysis conducted for this APS, as required by ADS 205 ~~and reviewed by Aslihan Kes, Gender Advisor for USAID's Bureau for Resilience and Food Security.~~ Further information on incorporating gender into safe drinking water, sanitation and hygiene (WASH) and water resources management (WRM) activities can be found on www.GlobalWaters.org and in the Gender Technical Brief and its associated custom indicators sheet.

Gender, WASH and WRM

Gender Equality and Female Empowerment is a cross-cutting results area of the USAID Water and Development Plan, in alignment with USAID's Gender Equality and Female Empowerment Policy ~~Strategy~~ and the United States Strategy to Prevent and Respond to Gender-Based Violence Globally. Many WASH and WRM activities are also aligned with or directly support the Women's Global Development and Prosperity Initiative and the Women's Entrepreneurship and Economic Empowerment Act of 2018.

Lack of access to WASH and water resources disproportionately impacts women and girls, as compared to men and boys, in multiple ways. Women and girls are largely responsible for water collection, adding to their time poverty and to their burden of unpaid domestic and care work. Women make up the majority of the world's small-holder farmers as well as being responsible for domestic work such as cooking and cleaning, often forcing them to choose between multiple uses of water and making them more vulnerable than men to water scarcity. Women and girls also have different biological, social and cultural needs for safe and private latrines than do men. Gender-based violence is commonly reported around unsafe sanitation, while looking for a place to openly defecate or urinate, and while walking for water. Lack of access to menstrual hygiene supplies, facilities and information is thought to contribute to school absenteeism and psycho - social impacts such as shame, low self-esteem, anxiety and depression.

Lack of control over household income or decision making may restrict women's ability to access or upgrade household water supply or sanitation services. Women and men also have unequal access to credit and financial services, assets that are critical to entrepreneurship and innovation, as well as to purchasing household products and services. Women-owned small and medium enterprises (SMEs) are less likely than male-owned SMEs to get financing and often pay higher interest rates. The world of water and sanitation work is also highly impacted by gendered roles. Training and jobs available to women are often gender segregated, based on a combination of cultural norms and beliefs, and legal structures or institutional practices. Workplace facilities and policies likely also influence women's ability to work, particularly given that men are more likely to be in decision-making positions in water and sanitation operations.

Each of these challenges is underlined by legal, policy, and socio-cultural norms and barriers to equality. From laws and gender norms that prescribe what fields of study girls can enter or jobs women can take, to unequal land tenure preventing women from securing water services at home, persistent gender-based discrimination has a direct impact on WASH and WRM outcomes.

WASH and WRM Governance: Summary of Recommendations

For investment seeking to improve overall WASH and WRM governance, or to increase its inclusivity, laws, policies, regulations, standards, and enforcement mechanisms should be assessed at national, regional and local levels. Analysis must systematically consider both WASH or WRM and linked sectors, such as land, education, or employment, to ensure the full scope of gender-related considerations is well understood and can be incorporated into design, implementation and monitoring of activities. Social and behavior change activities should reinforce efforts to improve equitable governance and water and sanitation behaviors by addressing harmful gender norms. Key considerations are:

1. Ensure equal participation of civil society and community voices representing women or gender non-binary people, to build accountability and expertise in inclusive governance that meets their needs.
2. Understand and, as needed, support work to reform, the incentive structures that relate to inclusive governance.
3. Analyze water and sanitation sector budgets and support reforms that sufficiently fund laws and plans designed to increase equitable access to safe drinking water, sanitation, and water resources for all uses.

Professionalized WASH and WRM Service Delivery: Summary of Recommendations

The world of work, particularly in technical fields such as plumbing, masonry, data management or mechanical maintenance, often suffers from implicit or explicit gender bias. Investments seeking to strengthen professional WASH or WRM capacity should consider the legal and socio- cultural for potential employees in these fields, understand the pipeline of potential employees, and explore the policies and enabling environment that impact current female employees in water or WASH jobs. Recommendations include:

1. Review laws, policies, and regulations on employment for any biases that may prevent females from receiving education or training in water and sanitation fields, or that create barriers to their employment in these fields. Support reforms that will enable men and women to be equally trained for, enter, and be retained by water and sanitation employers.
2. Support activities that enable policy change to lift gender-related barriers to employment, including joint sector reviews, social mobilization, and awareness-raising campaigns.
3. Ensure that activities supporting water and sanitation service providers assess gender dynamics and include both male and female employees at all phases of the activity.

Improved Water Resources Management and Increased WASH Service Quality Across Full Service Ladders: Summary of Recommendations

Monitoring of safe drinking water, sanitation and hygiene services must begin with sex-disaggregation of all data in order for gendered dynamics of access to high-quality services to be understood. Women, girls and gender non-binary have specific needs and desires for high-quality female-friendly toilets that are clean, include both fecal sludge and solid waste management, and more. Because women also bear the greater burden for care-giving than men, WASH-related illnesses, preventable through quality services, disproportionately impact them. Activities aiming at improved quality of WASH services should:

1. Use sex disaggregated data at all points across the sanitation value chain and at all points along the sanitation service ladder, from basic to safely managed access, as well as at all points along the water service ladder, from basic to safe water.
2. Survey female and males to inform design, implementation, monitoring and evaluation of water sanitation projects.
3. Engage males and females to identify ways to prioritize household water and sanitation upgrades and services if focusing on household access or to inform needed reforms at the service provider level.

The sustainable management of water resources requires collective planning and action within a given water basin--and often the perspectives of women, girls and non-binary individuals are undervalued and/or under-represented. The extent to which women, men and non-binary individuals hold different roles in decision making, and differential access to, and control over resources and services affects opportunities to improve water resources management. Activities focused on WRM therefore should:

1. Ensure participation of women's and gender organizations and female individuals in water planning activities at national and local levels, and
2. Engage men and women to identify power dynamics in managing and using water resources and identify tools for establishing participatory water allocation approaches.

WASH Markets: Summary of Recommendations

Commercially available WASH products and services must benefit women and girls as much as they benefit men and boys. Given that women and girls may have different needs, desires, and resources available to acquire goods and services, particular attention to gender in market analysis, entrepreneurship activities, and the business climate is recommended:

1. Ensure that both men and women participate in market research activities.
2. Assess market incentives to ensure they benefit men and women.
3. Support reforms of policy and incentive structures to ensure both women and men are able to start, manage and finance WASH businesses.
4. Support market research on menstrual hygiene supplies.

Conclusion

Gender equality and female empowerment is a cross-cutting priority of this APS. Capacity to improve gender equality, female empowerment, and inclusive development should be assessed in eligibility or merit reviews, as relevant to the objectives of Addenda issued under this APS. The legal and policy framework and socio-cultural enabling environment must be regularly assessed at all phases of activity design, implementation, monitoring and evaluation to ensure activities are gender-sensitive or gender-transformative. Issues such as menstruation and gender-based violence, which have the potential to impact all four Objectives of the APS, should also be assessed for their role as barriers to successful activities.

As such, M/B/IOs issuing Addenda should consider requesting Applicants to

- Demonstrate their capacity for gender analysis and gender-sensitive activity design, implementation and monitoring; if capacity is lacking, a plan for building these capacities should be proposed;
- Articulate gender-specific results in Concept Notes/Full Applications; and
- Describe how legal, policy and enabling environment factors in inclusive WASH and WRM will be addressed through their proposed activities.

Table 1: Full Gender Recommendations across APS Objectives

Intermediate Results	Gender-Related Questions	Recommended Solutions
Objective 1. Increased accountability and inclusivity of WASH governance		
1.1 Policies are implemented, monitored and enforced	• Who participates in the development, implementation and monitoring of government water and sanitation policies? • Which civil society organizations are engaged in water and sanitation advocacy and accountability activities targeting local and national government? • Who is represented in water and sanitation multi-stakeholder platforms?	• Conduct research into who is involved in water and sanitation sector governance and institutional processes. • Ensure equal participation of civil society organizations representing women and gender non-binary people in USAID-supported water and sanitation activities. • Develop and share evidence of the importance of participation to water and sanitation outcomes and sustainability.
1.2 Budgets and expenditures prioritize equitable and sustainable WASH	• Do budget allocations fund policies that specifically benefit women or gender non-binary people?	• Conduct and share analysis of alignment of equity-focused policies and budget expenditures.

	● Do incentives benefit women and men equally?	● Support research into existing incentive structures and their impacts on men and women. ● Ensure that partners demonstrate gender expertise.
1.3 Institutional governance improves	● Do women and men benefit equally from water and sanitation service provision and from water resource management and allocation?	● Use sex disaggregated data at all points across the sanitation value chain and at all points along the water and sanitation service ladders, from basic to safely managed access, as well as for all components of water resources management, allocation, and use.

Objective 2: Increased professionalization of WASH service delivery

2.1 Organizational readiness and capacity are strengthened	● Do men and women have access to on-the-job training or capacity development for water and sanitation jobs?	● Ensure that activities supporting water and sanitation service providers and water allocation assess gender dynamics and include both male and female employees at all phases of the activity
2.2 WASH and WRM workforces are more inclusive	● Are water and sanitation jobs attractive to females? ● Are women and men able to access water and sanitation sector vocational and professional training? ● Are women legally able to work in water and sanitation sector jobs? ● Are women culturally able to work in water and sanitation sector jobs? ● Are water and sanitation workplaces appealing to both men and women?	● Support awareness raising campaigns to increase appeal of sector employment; create mentorship programs to increase exposure of female students. ● Support water and sanitation vocational training for female students. ● Support activities that enable policy change to lift gender-related barriers to employment. ● Conduct campaigns to make water and sanitation sector jobs more gender equitable. ● Survey employees to identify needed improvements for their safety, confidence, well-being and productivity in water and

		sanitation workplaces. ● Support water and sanitation employers to improve human resources and other workplace policies to introduce equality and flexibility.
Objective 3: Improved Water Resources Management and Increased WASH Service Quality Along the Full Service Ladders		
3.1 Basic and safely managed sanitation services increases	● Are women and men benefiting from increased access to sanitation ● Do sanitation services meet specific user needs for privacy, safety, cleanliness and hygiene behaviors?	● Use sex disaggregated data at all points across the sanitation value chain and at all points along the sanitation service ladder, from basic to safely managed access ● Survey female and males to inform design, implementation, monitoring and evaluation of sanitation projects.
3.2 Basic and safely managed drinking water services increases	● Are women and men participating in water governance, implementation, and accountability activities? ● Are women and men benefiting from increased access to safe drinking water?	● Use sex disaggregated data at all points along the water service ladder, from basic to safely managed access ● Ensure participation of women's and gender organizations and female individuals in water planning activities at national and local levels.
3.3 Water Resources Management improves	● Are women and men participating in water allocation and water resource management planning? ● Are women and men benefiting from water resources management?	● Engage males and females to identify ways to prioritize household water and sanitation upgrades and services if focusing on household access or to inform needed reforms at the service provider level.
3.4 Behaviors that support improved WASH and WRM increase	● Do social and behavior change communication (SBCC) efforts reach men and women equally? ● Do SBC efforts address harmful gender norms? ● Are men and women benefiting equally from SBCC campaigns?	● Identify how women and men feel about specific WASH or WRM behaviors before designing social and behavior change communication interventions to address them. ● Prioritize gender-transformative aware

		approaches that <mark>address and</mark> leverage gender roles, norms and power dynamics, rather than ignoring them. ● Utilize role models, messages, and delivery mechanisms preferred by men and by women. ● Utilize both male and female trainers and messengers.
Objective 4. Strengthened WASH markets		
4.1 Improved business climate for private sector	● Are women and men members of trade and business associations? ● Do women and men have equal understanding of the market? ● Do policies incentivize women to enter the water and sanitation market? Do they create barriers?	● Ensure that both men and women participate in market research activities ● Support female WASH business owners to join industry and trade associations, including by addressing association policies and processes ● Assess market incentives to ensure they benefit men and women
4.2 Increased viability of WASH businesses	● Are women and men able to access credit or capital for water businesses? ● What barriers exist to women legally incorporating businesses?	● Support reforms of policy and incentive structures to ensure both women and men are able to start, manage and finance ● Conduct market research to determine if water and sanitation enterprises are led by men or women ● Engage men and women to identify barriers to entry and scale up for water and sanitation enterprises
4.3 Affordable, desirable products and services are available to all market segments	● Who makes household water and sanitation purchasing decisions? ● Are available hygiene products, including menstrual hygiene products, desirable by and affordable for women?	● Assess existing subsidies for water, sanitation and hygiene products to determine if they benefit men and women ● Support market research on menstrual hygiene supplies ● Engage men and women to

	• Do women have sufficient control over household resources to purchase desired water, sanitation and hygiene services and products?	determine household dynamics related to purchasing or upgrading household water and sanitation service and products

Annex 2: Abbreviations and Acronyms

A&A	Acquisitions and Assistance
A&E	Architecture and Engineering
ADS	Automated Directive Systems
AO	Agreement Officer
AOR	Agreement Officer Representative
APS	Annual Program Statement
CBLD-9	(USAID) Capacity Building Indicator
CDCS	Country Development Cooperation Strategies
CLA	Collaborating, Learning, and Adapting
CSO	Civil Society Organization
DiP WASH	Diversifying Partnerships in Water, Sanitation and Hygiene
DR	Development Result (from USAID Water and Development Plan)
FSM	Fecal Sludge Management
FY	Fiscal Year
GBV	Gender-Based Violence
IEE	Initial Environmental Examination
IO	Intermediate Objective
LCS	Local Capacity Strengthening
LEP	Locally Established Partner
LGBTI	Lesbian, Gay, Bisexual, Transgender and Intersex individual
LMICs	Low- and Middle-Income Countries
M/B/IO	Mission/Bureau/Independent Offices

M&E   Monitoring and Evaluation

MHH	Menstrual Health and Hygiene
NAICS	North American Industry Classification Systems
NGO	Non-Governmental Organization
NPI	New Partnerships Initiative
~~NUP~~	~~New or Underutilized Partner~~
NUPAS	Non U.S. Organization Pre-Award Survey
O&M	Operations and Maintenance
OAA	Office of Acquisition and Assistance
OMB	Office of Management and Budget
OU	(USAID) Operating Unit
POC	Point of Contact
R/CDCS	Regional or Country Development Strategies
RFA	Request for Applications
RFS	Bureau for Resilience and Food Security
RFS/CW	Bureau for Resilience and Food Security Center for Water Security, Sanitation and Hygiene
SBC	Social and Behavior Change
SDG	Sustainable Development Goal
SME	Small and Medium Enterprise
STEM	Science, Technology, Engineering and Mathematics
USAID	U.S. Agency for International Development
WASH	Safe drinking water, sanitation and hygiene
WRM	Water Resources Management
WSSH	Water Security, Sanitation and Hygiene