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Issue Date: April 09, 2019
Deadline for Questions: April 23, 2019
Closing Date: May 14, 2019
Closing Time: 16:30 Abuja, Nigeria Time

Subject: **Notice of Funding Opportunity (NOFO) Number: 72062019RFA00005**
Request for Full Technical and Cost/Business Applications

Program Title: **Small Town WASH Activity**

The United States Agency for International Development (USAID/Nigeria) is seeking applications for a Cooperative Agreement from qualified entities to implement the "Small Town WASH Activity" program. Eligibility for this award is not restricted.

USAID intends to make an award to the Applicant(s) who best meets the objectives of this funding opportunity based on the merit review criteria described in this NOFO subject to a risk assessment. Eligible parties interested in submitting an application are encouraged to read this NOFO thoroughly to understand the type of program sought, application submission requirements and selection process.

To be eligible for award, the Applicant must provide all information as required in this NOFO and meet eligibility standards in Section C of this NOFO. This funding opportunity is posted on www.grants.gov, and may be amended. It is the responsibility of the Applicant to regularly check the website to ensure they have the latest information pertaining to this notice of funding opportunity and to ensure that the NOFO has been received from the internet in its entirety. USAID bears no responsibility for data errors resulting from transmission or conversion process. If you have difficulty registering on www.grants.gov or accessing the NOFO, please contact the Grants.gov Helpdesk at 1-800-518-4726 or via email at support@grants.gov for technical assistance.

USAID may not award to an Applicant unless the Applicant has complied with all applicable unique entity identifier and System for Award Management (SAM) requirements detailed in Section D.6.g. The registration process may take many weeks to complete. Therefore, Applicants are encouraged to begin registration early in the process.

Please send any questions to the point(s) of contact identified in Section D. The deadline for questions is shown above. Responses to questions received prior to the deadline will be furnished to all potential Applicants through an amendment to this notice posted to www.grants.gov.

Issuance of this notice of funding opportunity does not constitute an award commitment on the part of the Government nor does it commit the Government to pay for any costs incurred in preparation or submission of comments/suggestions or an application. Applications are submitted at the risk of the Applicant. All preparation and submission costs are at the Applicant's expense.

Thank you for your interest in USAID programs.

Sincerely,

Cheryl Hodge-Snead
Agreement Officer

Table of Contents

SECTION A - PROGRAM DESCRIPTION

I. PROGRAM HISTORY

Ongoing insurgency and counter-insurgency operations in Northeastern Nigeria have resulted in devastating losses to physical and social service infrastructure. Over eight years of conflict have resulted in widespread forced displacement and acute food, nutrition, and water, sanitation and hygiene (WASH) crises. An estimated 3.2 million people, including 57 percent of children and 55 percent of women, are in need of WASH services, particularly in Adamawa, southern Borno, and eastern Yobe States, according to the United Nations Office for the Coordination of Humanitarian Affairs' (OCHA).[1] This figure includes 1.2 million residents of host communities, another one million Internally Displaced People (IDPs) who are seeking shelter in these communities, and one million returnees that have settled across 15 newly accessible sites in Adamawa, Borno, and Yobe States. OCHA has also reported that 80 percent of IDPs live within host communities. The WASH facilities in newly accessible Local Government Areas (LGAs) and host communities were barely sufficient to serve host community needs; approximately 70 percent has been destroyed due to insurgency related violence, and the remaining facilities have been overwhelmed by the surge of IDPs into these areas. This dynamic of added pressure on limited WASH infrastructure, coupled with lack of maintenance and overuse, has resulted in increased tensions between host communities and IDPs.

Currently, most WASH donors fund either rural or urban programs in the Northeast, leaving small towns[2] with little to no assistance. In the water sector, the definition of "small town" is based on the type of water service delivery model applied. Small towns are generally "settlements that are sufficiently large and dense to benefit from the economies of scale offered by piped systems, but too small and dispersed to be efficiently managed by a conventional urban water utility."[3]

Information regarding WASH facilities across the three states is scarce. In Adamawa State, approximately 42 percent of the population in urban areas and small towns has access to safe water supplies and adequate sanitation.[4] Water supply facilities are generally in a state of disrepair, especially the treatment plants and the distribution network. Most existing water works are challenged with structural and operational problems. Similarly poor statistics regarding availability of safe drinking water and sanitation facilities are suspected in Borno State based on anecdotal information, but data is limited and unverified.

Available statistics (2015) for Yobe State indicate that only 42.4 percent of households have access to drinking water from safe sources,[5] and only 42.1 percent have access to safe sanitary disposal. There are over 5,000 water facilities across the state comprising motorised boreholes, solar boreholes, hand pumps, and open wells. An analysis of the current status of water supply in Yobe shows that most urban areas are undersupplied.

Challenges obstructing appropriate access to water, sanitation and hygiene in Yobe also stem from a lack of infrastructure in schools and health facilities.[6] Out of the 126 schools assessed, 29 percent did not have water available, 35 percent did not have single-sex toilets, and 84 percent did not have soap and water. Of 51 health facilities assessed, 29 percent did not have access to improved water sources, 69 percent did not have single-sex toilets and 55 percent did not have soap and water. In addition, at least 10 percent of households in each population group reported that members of the household had no access to latrines, which constitutes a health concern, as it increases the risk of waterborne diseases.

Sanitation and hygiene practices were poor across northern Nigeria before the recent WASH crisis, with fewer than 29 percent of people having access to improved sanitation in 2015, and 25 percent of people (34 percent in rural areas) practicing open defecation. The Boko Haram (BH) and Islamic State in West Africa (ISIS-WA) insurgencies have severely degraded hygiene practices, especially in densely populated areas. An urgent need for safe drinking water, sanitation facilities, and hygiene promotion exists among both the displaced populations and the host communities.

Small Town Water Supply and Sanitation Agencies (STWSSAs) are state entities that exist in most small towns in Nigeria. They are mandated by the State Ministry of Water Resources to manage water supply and sanitation facilities. However, ownership of these facilities (water treatment plants and water kiosks facilities) is often transferred to Water Consumer Associations (WCAs) who are mandated by the state to establish a cost-recovery mechanism, e.g. through the establishment of metered water kiosks managed by kiosk operators.[7] Most STWSSAs lack the technical capacity to manage these facilities. Likewise, WCAs are not properly prepared to operate and maintain schemes of such magnitude, therefore, none of the institutions are able to discharge their mandates and provide adequate or sustainable water and sanitation services. Most people get their water from alternative sources.

The governments in the selected northeastern states have implemented a series of infrastructure projects over recent years aimed at enhancing water supply and the quality of service delivery by WASH institutions. These efforts have not, however, yielded desired results due to lack of a coherent management plan, lack of operational capacity, insufficient funding, lack of planning, and the stress of ongoing insurgencies. Small town service providers (both STWSSAs and WCAs) require additional focused technical, administrative, and institutional support to manage existing and new infrastructure - typically small piped schemes - in an effective, efficient and sustainable way.

There is no universal model for providing sustainable water services in small towns. Therefore, understanding how small towns are demographically, geographically, economically, and politically linked to the surrounding areas, is critical and needs to be factored coherently into the design and delivery of small town water and sanitation services. Strategies addressing water management challenges unique to small towns must be developed based on a mixture of best practices and appropriate management approaches for each specific location and political economy.

USAID/Nigeria seeks applications that articulate an innovative approach to develop and implement interventions to provide essential WASH services in accessible areas in targeted northeastern states. Applicants must present a comprehensive, demand-driven, and sustainable approach to address the management of WASH services to the most vulnerable people living in small towns in northeastern Nigeria, especially in Adamawa, southern Borno, and eastern Yobe States.

III. DETAILED PROGRAM DESCRIPTION

The goal of this Activity is to facilitate the economic recovery of select crisis-affected communities. The purpose is to bolster the three state governments' capacities to create and sustain enabling environments for the STWSSAs and WCA operators, and for these service provision agencies to increase their capacities to sustainably provide essential WASH services.

This Activity will:

- increase access to water and sanitation services in order to reduce illnesses and child mortality, and to sustain health outcomes; and
- Strengthen local WASH institutions including STWSSAs and WCAs to sustain WASH services.

The goal of this Activity will be achieved by:

- building/rehabilitating water and sanitation infrastructure that has been damaged or vandalized to provide access to approximately 250,000 people ;
- building the capacity of local institutions (government and non-governmental organizations) in the WASH sector to deliver WASH services to communities;
- developing a management model with a framework to address key management elements such as asset ownership, performance monitoring, cost recovery, maintenance, and water operator regulations; and
- promoting the integration of women in decision making processes and management frameworks;

Development Challenge

As the threat of violence in some communities in the Northeast recedes, displaced populations are returning to their homes and farms; IDPs are seeking refuge in newly accessible LGAs. As a result, WASH facilities have become overwhelmed, leading to increasing tensions between host communities and IDPs. Beyond access issues, other WASH-related challenges are becoming more acute. Without access to latrines close to home, many women and girls regularly risk physical attack and sexual violence as they seek to meet day to day sanitation needs.

The overarching goal of USAID/Nigeria's Country Development Cooperation Strategy (CDCS) is to reduce extreme poverty in a more stable Nigeria. USAID seeks to achieve this goal by improving governance, furthering economic development, enhancing stability, and expanding opportunity. This goal is pursued through two Development Objectives (DOs) including: a healthier, more educated population in targeted states (DO2); and strengthened good governance (DO3).

Aligned with DO2 and DO3, the goal of Small Town WASH is to facilitate the recovery of select crisis-affected communities in the northeast of Nigeria. The purpose is to bolster the capacity of the state governments of Borno, Adamawa, and Yobe to ensure provision of essential WASH services. This five-year Activity aims to improve the lives of at least 250,000 people in select small towns such as Ganye, Song, Viniklang in Adamawa State; Biu, Kwaya Tera and Paklama in Borno State; and Damaturu, Geidam, and Potiskum in Yobe State.

This Activity is expected to strengthen the capacity and accountability of key institutions to provide and sustain access to water and sanitation services in selected small towns.

Development Hypothesis

IF USAID assists local institutions to provide sustainable equitable and affordable water supply and sanitation services to communities, THEN tensions among host communities, returnees and IDPs will be mitigated and the health outcomes (including illness and child mortality) of the population will be improved. Additionally, by helping communities to develop and maintain more proximate access to water sources and sanitation facilities, USAID will specifically improve the safety and health outcomes of women and girls (through improved sanitation, lowered risk of drinking water contamination, lower risk of violence, and increased ability to cook nutritious food with water). More children will also be able to attend school instead of having to travel for hours to provide water for their families.

ACTIVITY COMPONENTS

This Activity is comprised of two overarching sets of interventions that will increase sustainable access to water for human consumption and sanitation. While the first component will rehabilitate and create new WASH infrastructure, the second component will build the capacity of STWSSAs and WCAs to sustainably manage the facilities. A mixed approach of hard and soft interventions (building water supply and sanitation facilities, building the capacity of local institutions, developing a management model, and extending behavior change messages) will be adopted. Small Town WASH will also address the local governance of affected communities by improving their abilities to support peaceful coexistence and social cohesion through more equitable WASH services. In addition, the Activity will provide technical support to participating LGAs, including information technology, water quality testing kits, and alternative power supplies (such as solar pumps).

Applicants must demonstrate their understanding of the socio-economic challenges that the BH and ISIS-WA insurgencies have created. Applicants must propose technically sound, innovative and cost effective interventions, and demonstrate capacity to achieve the purpose of this activity by helping local communities strengthen WASH services as an element of recovery. Small Town WASH interventions must target the most vulnerable IDPs and host communities in affected LGAs. These target beneficiaries will be identified during field visits in coordination with the host governments, community leaders, USAID, and other humanitarian and development partners working in the area.

Component 1: *Expanded access to water and sanitation facilities*

Interventions under Small Town WASH will provide a mix of basic services through public standpipes, as well as household connections and public sanitation facilities in markets, schools and hospitals. Renewable energy will be integrated into Small Town WASH interventions to the greatest extent possible in order to reduce recurring costs and demonstrate to community members that renewable energy technology works well in a variety of contexts as a sustainable source of electricity. Construction must be completed by the end of the second year of implementation. Applicants are required to present a list of activities that will be included.

Expected results:

- Increased access to safe drinking water for at least 250,000 people
- Reliable and low maintenance water systems equipped with solar-powered water pumps being used in small towns in place of traditional hand pumps;
- Private separate restroom facilities for girls and boys in 30 primary schools or community-based learning centers and markets by ; and
- Improved health outcomes, reduced water related illnesses, and reduced violence against women and girls.

Component 2: *Strengthening Capacity for Small Town Water Governance and Management*

Recipient will design, develop, and implement interventions to enhance the capacities and competencies of state and local institutions including STWSSAs and WCAs to provide WASH services to the selected small towns. By the end of the Activity, state and local institutions must demonstrate the capacity to carry out their roles and responsibilities for effective WASH service delivery in selected small towns in northeastern Nigeria. Institutional capacity includes adequate personnel with the full range of skills required to carry out their functions, an "organizational home" within an institution with assigned responsibility, capacity to implement required systems and procedures, and the ability to monitor Activity effectiveness and make continual adjustments. Operations, maintenance, and management activities must extend to renewable energy components. Additionally, the recipient must develop an incentive package for participating STWSSAs, including information technology, water quality testing kits, and alternative power supplies (such as solar pumps), to be delivered to the institutions once certain criteria established by USAID and the Recipient are met.

Expected results:

- Governance and institutional frameworks of STWSSAs and WCAs designed and implemented;
- Water resource and data management governance established or improved;
- Water user fees established;
- STWSSAs possess the technical, administrative, managerial and financial resources to execute their responsibilities with a structure in place;
- WCAs are sustainably operating, maintaining, and managing commercially viable small-scale water supply systems in selected small towns.

III. GEOGRAPHIC FOCUS, ENTRY, AND EXIT

Small Town WASH's primary beneficiaries include individuals and communities affected by the BH and ISIS-WA insurgencies (i.e. IDPs, host communities, and returnees). These beneficiaries who live mainly in small towns on the outskirts of cities will be reached through key interventions that are tailored to provide WASH services in the targeted geography. Applicants must provide sufficient analysis of the targeted populations and proposed interventions for USAID/Nigeria to conclude there is no reasonable basis to believe that BH and ISIS-WA would benefit from USG assistance under the Activity in violation of the material support prohibitions under 18 USC§§ 2339A and B, U.S. sanctions under Executive Order 13224, or United Nations Security Council sanctions.

In order to maximize the impact of this Activity, interventions will only occur in northeastern Nigeria, especially in Northeastern Adamawa, Southern Borno, and Eastern Yobe States. Within these states, priority will be given to areas where the security situation allows for safe movement and market activity.

Illustrative selection criteria when considering small towns for engagement may include, but are not limited to (applicants are to propose selection criteria that are necessary to produce intended results):

- Most severely conflict-affected communities that are in recovery mode with some government structures;

- Low vulnerability to future conflict and extremism (possibly to exclude high risk areas or "hot spots" where there is ongoing violence);
- Prevalence of IDPs and IDP returnees;
- Demonstration by communities and local partners of their interest and commitment to implement reconciliation activities and collaborate with the Activity;
- Opportunities to support diverse change agents and champions of peace, including women and youth;
- The presence of complementary USAID or other donor programs;
- The avoidance of duplication of effort; and
- Demonstrated commitment of state/local government to sustain activities after USG assistance ends.

The recipient must establish a plan to begin work in small towns where states demonstrate a commitment to 1) achieving milestones toward sustainable financing during the lifetime of the project and 2) providing counterpart resources including financial, office space, and other available and relevant resources. The recipient's plan must include a contingency plan to cancel work in any state where milestones are not being achieved over time and the commitment of the state government is in doubt. These milestones include the presence of staff development for the STWSSAs and WCAs; an approved new tariff structure; and other milestones to be determined by the recipient and USAID. The plan must include plans to ramp up ~~in~~ alternative small towns, should any state fail to meet its commitments, such as reneging on counter funding commitments, lack of progress in meeting performance indicators, an unwillingness or inability to contribute resources to shared programs, and other conditions to be determined by USAID and the recipient.

The Applicant must provide exit strategies and options for engagement in additional small towns, depending on sustained state commitments to reform. In the interest of sustainability and state level buy-in and in addition to security consideration, Small Town WASH will only work in selected small towns where governments are willing to provide resources (including financial) and support for effective transformation of its STWSSAs and WCAs.

IV. PARTNERING

Recipient is highly encouraged to develop the capacity of local partners so that the partners would be eligible to receive a direct award from USAID or other in the future. The long term goal of this partnership is to strengthen local NGO and non-governmental capacity for additional sustainability and local capacity building. Local entity may include individual, a corporation, a nonprofit organization, or another body of persons that:

(1) Is legally organized under the laws of Nigeria;

(2) Has as its principal place of business or operations in Nigeria;

(3) Is majority owned by individuals who are citizens or lawful permanent residents of Nigeria; and

(4) Is managed by a governing body the majority of who are citizens or lawful permanent residents of the country receiving assistance.

For purposes of this section, ‘majority owned’ and ‘managed by’ include, without limitation, beneficiary interests and the power, either directly or indirectly, whether exercised or exercisable, to control the election, appointment, or tenure of the organization's managers or a majority of the organization's governing body by any means

Illustrative WASH Indicators

The indicators provided below are illustrative and intended to point to measurable, tangible outputs and outcomes that the Activity will be accountable to monitor and seek to improve. All indicators will be disaggregated by sex and by age as appropriate. Where possible, data will be disaggregated by geographic location. Final indicators are subject to USAID approval following award. The Recipient must propose appropriate indicators to USAID.

Increase access to water, sanitation and hygiene services in order to reduce illness and child mortality, and to sustain health outcomes:

- (HL.8.1-1) Number of people gaining access to basic water services as a result of USG assistance within the selected states;
- (HL.8.2-1) Number of people gaining access to a basic sanitation service as a result of USG assistance within the select states;
- (Modified HL.8.1-3) Percentage of people receiving improved service quality from an existing basic or safely managed drinking water service as a result of USG assistance;

Strengthen State Water Sanitation and Hygiene (WASH) institutions

- (Modified HL.8.3-1) Number of people educated on tools, approaches, and/or methods for water security, integrated water resource management, and/or water source protection as a result of USG assistance;

- (Modified HL.8.3-1) Number of policies, laws, agreements, regulations, or investment agreements (public or private) that promote access to improved water;
- (Modified HL. 8.2-4) Number of basic sanitation facilities provided in institutional settings as a result of USG assistance
- Number of Water Consumer Associations formed and trained;
- Number of individuals trained to implement improved sanitation methods;
- Number of training conducted.

VI IMPLEMENTATION PRINCIPLES AND GUIDANCE

VI.1 Multi-Stakeholder Coordination

Recipient will design, develop, and implement interventions that create multi-stakeholder groups to select potential water access sites. Multi-stakeholder groups will be composed of different government and non-government organizations and may be comprised of, for example, state and local government institutions, WCAs, civil society organizations, and community based organizations. The Recipient will facilitate the creation of multi-stakeholder groups to select small towns where water schemes will be constructed or rehabilitated.

VI.2 Coordination with Other Assistance Programs

Donor activities in the WASH sector in the Northeast are coordinated through the WASH Sector Working Group for Humanitarian Response, which has been set up with a Secretariat at UNICEF, headed by a WASH Sector Coordinator. Recipient will coordinate with and leverage the efforts of other USAID/Nigeria, U.S. Government funded, and other donor activities to maximize impact and avoid duplication. Recipient must explicitly identify opportunities for collaboration and leveraging in their technical approach.

The Office of Foreign Disaster Assistance (OFDA) as part of the Disaster Assistance Response Team (DART), and the Office for Transition Initiatives (OTI), are also investing in WASH in the Northeast. The DART through OFDA provided $22.5 million in WASH assistance in the Northeast during FY 2017. The majority of its assistance is located in Borno State, although several activities are being implemented in Yobe and Adamawa States. Emergency WASH activities conducted by the DART/OFDA include water point construction/rehabilitation (including the use of solar pumping systems), water purification, establishing water user committees, hygiene promotion efforts, and the establishment and rehabilitation of latrines in host communities and IDP camps. OFDA conducts an integrated WASH approach with health, nutrition, and shelter activities, given the links between emergency needs across these sectors in the Northeast. During FY 2017, OTI provided $800,000 for the construction and rehabilitation of hand pump and solar powered boreholes, and to rehabilitate water boreholes in the Shuwa Community (nomad Arabs) in several LGAs and villages across Adamawa, Borno, Gombe, and Yobe States. OTI has also been involved in training Gombi community youth on borehole maintenance and rehabilitation, and in the construction of 3.5 km of drainage channels in Gombi LGA.

Coordination with USAID/Nigeria's Offices of Health, Population, and Nutrition; and Education will ensure that the impact of WASH interventions is felt in health facilities and educational institutions. Similar activities are currently being conducted within the same timeframe in Cross River and Abia States under the Water and Development Activity (WADA).

The GON Inter-Ministerial Task Force (IMTF) and Government Humanitarian Coordination Working Group (GHCWG) have created a platform for the GON, UN Agencies, and humanitarian partners to coordinate on WASH issues. This platform enables proper planning and coordination with the GON to ensure that donor efforts follow a Nigerian-led humanitarian response. The GON and its development partners are also working on recovery, reconstruction, and peacebuilding with the Presidential Committee for the Northeast Initiative (PCNI) and the Buhari Plan.

Aside from USAID and the GON, other actors that are currently or planning to invest in the region include the World Bank, African Development Bank, Department for International Development (DFID), European Union (EU), German Gesellschaft für Internationale Zusammenarbeit (GIZ), United Nations Development Programme (UNDP), and other UN agencies (such as UNICEF). Leveraging donor and GON investments can advance economic recovery efforts in the difficult context of the Northeast. Additionally, a WASH sector priority in convergence with the nutrition sector can foster cross-sectoral workshops and trainings to more efficiently tackle WASH-related underlying factors that may contribute to malnutrition.

VI.3 Sustainability

Sustainability is fundamental to the Small Town WASH Activity and ensuring host country and local partners are empowered to take ownership will be critical to the long-term success of providing WASH services in northeast Nigeria. To maximize sustainable impact and to give the recipient a financial stake in the success of the activity, the recipient will be expected to work closely in partnership with host governments, community-based organizations, local civil society organizations, as well as the private sector. The Small Town WASH Activity will explicitly identify key partners. The focus will be on building the capacity of local institutions and organizations to ensure that these critical services activities continue after USAID development assistance ends.

The Small Town WASH Activity will build in sustainability by strengthening STWSSAs and WCAs that will continue to support and sustain WASH-related work beyond the life of the activity. According to the World Bank WASH Poverty Diagnostic, nearly 27 percent of water points are likely to fail in the first year of construction. Further, nearly 40 percent are likely to fail in the long term (after 8-10 years). To ensure the ownership, sustainability, and maintenance of WASH facilities, several management models should be explored through preliminary analytical studies in order to determine the most appropriate model adapted to the prevailing context in the Northeast during the first quarter of the Activity. Different models, such as direct municipal management, community management, delegated management, and private ownership and management, will be analyzed by the Recipient for potential implementation with the relevant STWSSAs and WCAs. The Recipient is expected to develop a cost recovery approach in which the STWSSAs and WCAs charge for the provision of water.

Experience both globally and in Nigeria shows that one-off seminars, activities, and exchange programs with no platform for follow-up do not have sustainable impact. Likewise, one-off person-to-person contact does not produce sustainable results. Interventions must lead to repeated interactions between relevant groups and allow enough time for personal, interpersonal and intergroup changes to take hold. For these reasons, Applicants must describe specific ways to address the challenge of sustainability for WASH facilities.

State and local government officials, local authorities, community leaders, and women will be publicly engaged in a transparent selection process to help choose appropriate installation sites, operate and manage the activities, and help select the type of technologies applied in order to secure their support for the Activity and improve its sustainability. The Recipient is expected to develop the site selection framework in coordination with relevant state and local Government of Nigeria (GON) agencies.

VI.4 Construction Risk Management

The Applicant must incorporate principle elements of USAID's preferred approach to construction as outlined in USAID's Construction Risk Management policy – A Mandatory Reference for ADS Chapter 201.

VI.5 Do No Harm Programming

This Activity will consider any risks that may result by bringing together conflicting parties and provide sufficient explanation of risk mitigation measures, including appropriate safeguards to avoid intensifying the conflict or creating harmful situations for beneficiaries. Recognizing that interventions could become part of the conflict context, applicants must consider the impact of planned activities and analyze their potential effect(s) on the conflict environment. A conflict assessment must be conducted at the start of the Activity to understand local conflict dynamics.

The applicant must review and familiarize themselves with the assessment and recommendations on a quarterly basis, or more often if the dynamics are changing rapidly. This assessment will enable the implementation team to understand and address the underlying causes of conflict-related violence, and identify and support opportunities for peacebuilding. The applicant must work with USAID/Nigeria Office of Economic Growth and Environment (EGE) and the USAID Office of Peace and Democratic Governance (PDG) to ensure that work plans respond to conflict dynamics as interventions are deployed.

VI.6 Leverage

Small Town WASH shall include several provisions that will ultimately lead to scale and leveraged investments from various sources:

Development Credit Authority (DCA): The DCA can unlock lending from financial institutions which otherwise would be too wary of risk associated with the WASH sector by offering a partial risk credit guarantee to prospective lenders. In a jointly-funded effort between BFS and the E3/Water Office, USAID's DCA has signed a guarantee of $17.6 million with MCE SoCap, a nonprofit impact investment firm providing loans to microfinance institutions that expand affordable and reliable financial services to small and growing enterprises. This partnership will enable MCE to make larger investments in small and growing businesses and microfinance institutions, creating sustainable impact across the food security and water and sanitation sectors. The applicant must propose appropriate investments, particularly in capital expenditure WASH services, turnaround services, and management contractors that the DCA could support in order to improve the operations of these Small Town WASH infrastructures.

Other: There may be other opportunities for leveraging that the Applicant will be expected to identify and pursue as they become evident.

VII. GENDER EQUALITY AND SOCIAL INCLUSION

Because some WASH needs are gender specific, special consideration must be given to gender. Ideally, women and men will be involved in meetings on design, construction, operation, and maintenance of facilities. The implementing partner must conduct some participatory sessions with women separately from men so that they can speak freely. A gender assessment will be conducted before interventions begin and in concert with the submission of the work plan, which will be due 45 days after the contract is signed.

USAID's Automated Directive System (ADS) states that, "Gender issues are central to the achievement of strategic plans and Assistance Objectives (AO), and USAID strives to promote gender equality, in which both men and women have equal opportunity to benefit from and contribute to economic, social, cultural and political development; enjoy socially valued resources and rewards; and realize their human rights" (ADS 201.3.9.3).

In addition to gender, the Activity will consider the role and inclusion of IDPs, ethnic minorities, religious minorities, and people with disabilities. The Recipient must assess and identify gender dynamics and social inclusion issues that affect the participation and disparate needs of different genders and minority groups in activities under this program. The Recipient must examine gender roles (including how they may have changed during and post conflict), cultural perceptions, economic barriers, and other factors that influence genders' and minority groups' needs and participation in project activities. In addition, the Recipient must ensure that gender dynamics, gender-sensitivity, gender equality, and social inclusion issues are fully integrated into Activity components and will be required to undertake specific efforts to ensure that interventions do not discriminate against, cause harm to, or disproportionately benefit any gender or identity group. The Recipient is required to have equal participation of men and women in all aspects of this program and ensure that minority communities are well represented and participate in all program activities and in the makeup of program staff. The Recipient must use clear gender targets, inclusion strategies, and measure the participation of different groups throughout the life of the Activity. All data collected about people must be disaggregated by sex, age category, and ethnicity.

References

1. Nigeria-Northeast: Humanitarian Need Overview November 2017. United Nations Office for the Coordination of Humanitarian Affairs.
2. Small Towns according to Nigeria's National Water Supply and Sanitation Policy (2000) is defined as having a population between 5,000 and 20,000.
3. Small town water services: Trends, challenges and models. A thematic Overview Paper 27 International Water and Sanitation Centre, December 2013.
4. Brief Situational Analysis of the Water Sector in Adamawa, Adamawa State Ministry of Water Resources, July 2017.
5. Yobe State and the Water Sector file:///U:/2015_2017_YOBE_WATER_Sector percent 20 MTSS.pdf
6. Multi Sector need Assessment Yobe State: October 2017 http://www.reachresourcecentre.info/system/files/resource-documents/reach_nga_report_yobe_msna_october_2017_0.pdf
7. Closing the Gap: Improving Water Supply and Sanitation Provision for Small Towns, WaterAid

[END OF SECTION A]

SECTION B – FEDERAL AWARD INFORMATION

1. Available Funding and Awards

USAID intends to award a Cooperative Agreement pursuant to this notice of funding opportunity. Subject to funding availability and at the discretion of the Agency, USAID intends to provide **$8,000,000** in total USAID funding over a five (5) year period.

2. Period of Performance

The anticipated period of performance is five (5) years. The estimated start date will be **the date the award is signed by the Agreement Officer.**

3. Substantial Involvement

Award under this NOFO will be a cooperative agreement. Potential applicants should note that USAID policy prohibits the payment of fee/profit to the recipients under assistance instruments.

Consistent with ADS 303.3.11, USAID/Nigeria will be substantially involved in the implementation of the Small Town WASH Activity. The intended purpose of the Agreement Officer's Representative (AOR) involvement during the implementation of the program is to assist the recipient in achieving the supported objectives. It is expected that the Agreement Officer will delegate the following approvals to the AOR:

(a) Approval of the Recipient's Implementation Plan

USAID will approve annual work plans and the life-of-project exit strategy, and any subsequent revisions. If the AO has delegated authority to the AOR to approve implementation plans, the AOR must review the agreement's terms and conditions to ensure that changes to the terms and conditions are not inadvertently approved by the AOR.

(b) Approval of Specified Key Personnel

USAID may designate as key personnel only those positions that are essential to the successful implementation of the Recipient's program. USAID's policy limits this to a reasonable number of positions, generally no more than five positions or five percent of Recipient employees working under the award, whichever is greater.

(c) Agency and Recipient Collaboration or Joint Participation

When the Recipient's successful accomplishment of program objectives would benefit from USAID's technical knowledge, the AO may authorize the collaboration or joint participation of USAID and the Recipient on the program. There should be sufficient reason for Agency involvement and the involvement should be specifically tailored to support identified elements in the program description. When these conditions are met, the AO may include appropriate levels of substantial involvement such as the following:

i. Collaborative involvement in selection of advisory committee members, if the program will establish an advisory committee that provides advice to the Recipient. USAID may participate as a member of this committee as well. Advisory committees must only deal with programmatic or technical issues and not routine administrative matters.

ii. Concurrence on the substantive provisions of sub-awards. 2 CFR 200.308 already requires the Recipient to obtain the AO's prior approval for the sub-award, transfer, or contracting out of any work under an award. This is generally limited to approving work by a third party under the agreement. If USAID wishes to reserve any further approval rights for sub-awards or contracts, it must clearly spell out such Agency involvement in the substantial involvement provision of the agreement.

iii. Approval of the Recipient's Activity Monitoring, Evaluation, and Learning (MEL) Plan.

iv. Monitor to authorize specified kinds of direction or redirection because of interrelationships with other projects. All such activities must be included in the program description, negotiated in the budget, and made part of the award.

(d) Agency Authority to Immediately Halt a Construction Activity

USAID may include the statement "The AO may immediately halt a construction activity if identified specifications are not met." In such cases, the AO must also attach the identified specifications to the award when it is being executed. Any material changes to the specifications must be treated as an amendment to the award.

An award shall be made only when the Agreement Officer makes a positive determination that the Applicant possesses, or has the ability to obtain, the necessary management competence in planning and carrying out assistance programs and that it will practice mutually agreed upon methods of accountability for funds and other assets provided by USAID. For organizations that are new to USAID, or organizations with outstanding audit findings, it may be necessary to perform a pre-award survey in accordance with ADS 303.3.9 and ADS 591.3.4.2.

4. Authorized Geographic Code

The authorized USAID Principal Geographic Code for the procurement of commodities and services under this award is 937, defined as the United States, the recipient country, and developing countries other than advanced developing countries, but excluding any country that is a prohibited source. Procurement of vehicles and pharmaceuticals and other restricted commodities are subject to the limitations in 22 CFR 228, ADS 312, and ADS 310 and may require a waiver or Agreement Officer's approval.

For accurate identification of prohibited sources, please refer to 22 CFR 228 and Automated

Directive System (ADS) 310 entitled “Source and Nationality Requirements for Procurement of Commodities and Services Financed by USAID.

5. Nature of the Relationship between USAID and the Recipient

The principal purpose of the relationship with the Recipient under the subject program is to transfer funds to accomplish a public purpose of support or stimulation of the Small Town WASH activity which is authorized by Federal statute. The successful Recipient will be responsible for ensuring the achievement of the program objectives and the efficient and effective administration of the award through the application of sound management practices. The Recipient will assume responsibility for administering Federal funds in a manner consistent with underlying agreements, program objectives, and the terms and conditions of the Federal award.

6. Title to Property

Property title under the resultant agreement(s) will vest with the Recipient in accordance with the requirements of 2 CFR 200.313, or with the Cooperating Country consistent with Required as Applicable Standard Provisions contained in the award.

[END OF SECTION B]

SECTION C - ELIGIBILITY INFORMATION

1. Eligible Applicants

Eligibility for this NOFO is not restricted however, local organizations are encouraged to apply and international organizations are encouraged to seek local partners.

Qualified U.S. and non-U.S. organizations (other than those from foreign policy restricted countries) are eligible to apply under this NOFO. Potential for-profit Applicants should note that, in accordance with 2 CFR 200.400(g), profit, which is any amount in excess of allowable direct and indirect costs, is not an allowable cost for Recipients of USAID assistance awards, and cannot be part of the activity budget. However, the prohibition against profit does not apply to procurement contracts made under the assistance instrument when the Recipient procures goods and services in accordance with the Procurement Standards found in 2 CFR 200.317 to 326.

USAID welcomes applications from organizations which have not previously received financial assistance from USAID.

Applicants must have established financial management, monitoring and evaluation processes, internal control systems, and policies and procedures that comply with established U.S. Government standards, laws, and regulations. The successful Applicant(s) will be subject to a responsibility determination assessment (possibly including a pre-award survey) by the Agreement Officer (AO).

The Recipient must be a responsible entity. The AO may determine a pre-award survey is required to conduct an examination that will determine whether the prospective Recipient has the necessary organization, experience, accounting and operational controls, and technical skills – or ability to obtain them – in order to achieve the objectives of the program and comply with the terms and conditions of the award.

2. Cost Sharing

USAID/Nigeria has established a mandatory minimum recipient cost share of a minimum of 20% of the award cost. Such funds may be provided directly by the recipient; other multilateral, bilateral, and foundation donors; host governments; and local organizations, communities and private businesses that contribute financially and in-kind to implementation of activities at the country level. This may include contribution of staff level of effort, office space or other facilities or equipment which may be used for the program, provided by the recipient.

3. Other Eligibility Criteria

All applications received by the deadline will be reviewed for responsiveness and programmatic merit in accordance with the specifications outlined in Section D below. Applications should respond directly to the terms, conditions, specifications and provisions of this NOFO (including all portions of the program description). Applications that do not meet the requirements of this NOFO will not be considered for award.

[END OF SECTION C]

SECTION D - APPLICATION AND SUBMISSION INFORMATION

1. Agency Point of Contact

Name: Cheryl Hodge-Snead
Title: Agreement Officer
Email: abujasolicitations@usaid.gov
Mail Address: N/A

2. Questions and Answers

Questions regarding this NOFO should be submitted to abujasolicitations@usaid.gov no later than the date and time indicated on the cover letter, as amended. Any information given to a prospective applicant concerning this NOFO will be furnished promptly to all other prospective applicants as an amendment to this NOFO, if that information is necessary in submitting applications or if the lack of it would be prejudicial to any other prospective applicant.

3. General Content and Form of Application

Preparation of Applications:

Each applicant must furnish the information required by this NOFO. Applications must be submitted in two separate parts: the Technical Application and the Business (Cost) Application. This subsection addresses general content requirements applying to the full application. Please see subsections 5 and 6, below, for information on the content specific to the Technical and Business (Cost) applications. The Technical application must address technical aspects only while the Business (Cost) Application must present the costs, and address risk and other related issues.

Both the Technical and Business (Cost) Applications must include a cover page containing the following information:

- Name of the organization(s) submitting the application;
- Identification and signature of the primary contact person (by name, title, organization, mailing address, telephone number and email address) and the identification of the alternate contact person (by name, title, organization, mailing address, telephone number and email address);
- Program name
- Notice of Funding Opportunity number
- Name of any proposed sub-recipients or partnerships (identify if any of the organizations are local organizations, per USAID's definition of 'local entity' under ADS 303.

Any erasures or other changes to the application must be initialed by the person signing the application. Applications signed by an agent on behalf of the applicant must be accompanied by evidence of that agent's authority, unless that evidence has been previously furnished to the issuing office.

Applicants may choose to submit a cover letter in addition to the cover pages, but it will serve only as a transmittal letter to the Agreement Officer. The cover letter will not be reviewed as part of the merit review criteria.

Applications must comply with the following:

- USAID will not review any pages in excess of the page limits noted in the subsequent sections. Please ensure that applications comply with the page limitations.
- The applications must be written in English language.
- Use standard 8 ½" x 11", single sided, single-spaced, 12 point Times New Roman font, 1" margins, left justification and headers and/or footers on each page including consecutive page numbers, date of submission, and applicant's name.
- 10 point font can be used for graphs and charts. Tables however, must comply with the 12 point Times New Roman requirement.
- Submitted via Microsoft Word or PDF formats, except budget files which must be submitted in Microsoft Excel.
- The estimated start date identified in Section B of this NOFO must be used in the cost application.
- The technical application must be a searchable and editable Word or PDF format as appropriate.

- The Cover letter, Cover page, Tabs/dividers, Table of Contents, Acronym list, Executive Summary, and Attachment do not count against the 25-page limitation. Any page in the technical application that contains a table, chart, or graph, not otherwise excluded above, is subject to the page limitation.

- All information from appendices must be referenced in the technical application and summarized and included in the attach section. All critical information from appendices/attachment clearly identified and summarized in the technical application will be evaluated as part of the basis of award.

- Additional documentation beyond the 25-page limit and the referenced attachments will not be read or evaluated by USAID.

- Budget Narrative: Accompanying budget notes/narrative must explain the basis of all unit costs in each line item. The explanation must identify the factors upon which each estimate is based and show the arithmetic in reaching the cost figure.

- The Cost Schedule must include an Excel spreadsheet with all cells unlocked and no hidden formulas or sheets. A PDF version of the Excel spreadsheet may be submitted in addition to the Excel version at the applicant's discretion, however, the official cost application submission is the unlocked Excel version.

Applicants must review, understand, and comply with all aspects of this NOFO. Failure to do so may be considered as being non-responsive and may be evaluated accordingly. Applicants should retain a copy of the application and all enclosures for their records.

4. Application Submission Procedures

Applications in response to this NOFO must be submitted no later than the closing date and time indicated on the cover letter, as amended. Late applications will not be reviewed nor considered/may be considered at the discretion of the Agreement Officer. Applicants must retain proof of timely delivery in the form of system generated documentation of delivery receipt date and time/confirmation from the receiving office/certified mail receipt.

Applications must be submitted by email to abujasolicitations@usaid.gov. Email submissions must include the NOFO number and applicant's name in the subject line heading. In addition, for an application sent by multiple emails, the subject line must also indicate whether the email relates to the technical or cost application, and the desired sequence of the emails and their attachments (e.g. "No. 1 of 4", etc.). For example, if your cost application is being sent in two emails, the first email should have a subject line that states: "[NOFO number], [organization name], Cost Application, Part 1 of 2".

USAID's preference is that the technical application and the cost application each be submitted as consolidated email attachments, e.g. that you consolidate the various parts of a technical application into a single document before sending it. If this is not possible, please provide instructions on how to collate the attachments. USAID will not be responsible for errors in compiling electronic applications if no instructions are provided or are unclear.

After submitting an application electronically, applicants should immediately check their own email to confirm that the attachments were indeed sent. If an applicant discovers an error in transmission, please send the material again and note in the subject line of the email or indicate in the file name if submitted via grants.gov that it is a "corrected" submission. Do not send the same email more than once unless there has been a change, and if so, please note that it is a "corrected" email.

Applicants are reminded that e-mail is NOT instantaneous, and in some cases delays of several hours occur from transmission to receipt. Therefore, applicants are requested to send the application in sufficient time ahead of the deadline. For this NOFO, the initial point of entry to the government infrastructure is the USAID mail server.

There may be a problem with the receipt of *.zip files due to anti-virus software. Therefore, applicants are discouraged from sending files in this format as USAID/Nigeria cannot guarantee their acceptance by the internet server. File size must not exceed 10MB in total file/data size per e-mail.

Uploading to Grants.gov:

Applicants may upload applications to http://www.grants.gov. USAID bears no responsibility for data errors resulting from transmission or conversion processes associated with electronic submissions.

5. Technical Application Format

The technical application must be concise, comprehensive, and responsive to the instructions contained herein. Applicants must take into account the merit review criteria in Section E of this NOFO. The technical application must clearly demonstrate how the proposed approach will meet the goals and all objectives of the activity, and fulfill the Applicant's program implementation responsibilities.

The application must contain information that demonstrates the Applicant's understanding of the program description and must be prepared in such a manner as to enable the review committees to make a thorough evaluation and arrive at a sound determination of whether the application responds to the NOFO.

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

The format and presentation of technical approach is below:

(a) Cover Letter;
(b) Table of Contents;
(c) Executive Summary;
(d) Technical Approach;
(e) Key Personnel and Staffing Plan
(f) Institutional Capacity and Management Plan
(g) Attachments:
- Draft Environmental Mitigation and Monitoring Plan;
- Draft Activity Monitoring, Evaluation and Learning Plan;
- Organizational Chart(s);
- Staffing Plan including skills matrix;
- Key Personnel Position Descriptions;
- Key Personnel CV/Resumes;
- Past Performance Information; and,
- Security Operational Plan.

a. **Cover Letter (does not count against 25-page limit)**

Include the Applicant's name submitting the application and the organization's DUNS number. Major sub-awardees (hereafter referred to as "subs") must be clearly identified, along with their DUNS numbers; major subs are defined as those expected to perform at least 20 percent of the Applicant's total proposed budget, or a prominent part of the technical effort. Include a contact person for the application, including his/her name (both typed and signed), title or position with the organization, address, telephone, and email address. Also state whether the contact person is the authorized representative with authority to negotiate the award, and if not, that person should also be clearly identified.

b. **Table of Contents (does not count against 25-page limit)**

The Technical Application will contain a Table of Contents with page numbers indicated.

c. **Executive Summary (not to exceed 2 pages, does not count against 25-page limit)**

The executive summary describes the basic elements of the technical application. This section must include a problem statement, goals and objectives and summarize the key elements of the Applicant's strategy, approach, methodologies, management, personnel and implementation plan.

d. **Technical Approach - [See Section E.2.a.1]**

The application provides a clear vision and effective operational strategy and techniques for accomplishing the stated goal, purpose, and expected results outlined in this NOFO, describing conflict mitigation issues and context in which Small Town WASH will operate. The technical approach must propose proven, innovative, and cost effective approaches, including reference to evidence or other justification that proposed programmatic choices are likely to achieve sustainable impact. It is incumbent upon Applicants to demonstrate their familiarity with and understanding of the development landscape in the northeast and identify significant opportunities for partnership with a range of local organizations and impact and describe the types of management models offeror will explore to establish the most appropriate models to adapt in the Northeast during the first quarter The applicant must clearly explain its approach to achieve the results outlined in the PD in the following activity components:

- Expanded access to water and sanitation supplies (infrastructure)
- Strengthening Capacity for Small Town Water Governance and Management

Specific focus should be given in developing a technically sound approach while integrating the following implementation principles: 1) multi-stakeholder coordination; 2) coordination with other Assistance Programs; 3) build in sustainability from the beginning; 4) integrate gender, youth, and social inclusion considerations into design and implementation; 5) ensure conflict sensitive programming and a Do No Harm approach; 6) mitigation measures; 7) construction risk management; and 8) environmental Compliance And Management.

e. Key **Personnel and Staffing Plan**
[See Section E.2.a.2]

1. **Key Personnel**

Applicants must propose technical personnel and other personnel, as deemed appropriate, to implement the program description. Applicant must propose at a minimum the ***Key Personnel positions consisting of one Chief of Party, one Deputy Chief of Party / Senior WASH Advisor, and one Monitoring and Evaluation Specialist.*** These positions are considered essential to the work being performed due to their skills and position within the Small Town WASH activity implementation team. Once included in a signed award, Key Personnel may not be replaced by the Recipient without the written approval of the Agreement Officer. The Recipient must recruit and establish a team of experts and support staff to develop and implement the activity and to manage its central and local elements including short-term consulting and coordination with stakeholders and partners.

Chief of Party: The COP will be the direct link with the AOR and other relevant stakeholders such as government partners and accountable for achieving Small Town WASH results. S/he will be based in Adamawa. Given the complexity and scope of this project, it is critical that the COP exhibit effective personnel management, coordination, and decision making skills along with an ability to troubleshoot. The COP is expected to have the strategic vision, leadership qualities, depth and breadth of technical expertise and experience, a solid professional reputation, management experience, interpersonal skills and written and oral presentation skills to fulfill the diverse technical and managerial requirements of the program description.

- The COP must have at least (10) years of demonstrated experience on similar donor-funded projects, preferably experience on USG funded activities.
- S/he will have a minimum seven (7) years of experience with successful water and sanitation projects.
- S/he will have exceptional communication and collaboration skills and a proven track record of interacting with other projects, high-level host country governments, and international agencies.
- The candidate must have a proven track record of working effectively with diverse groups of civil society organizations, media, and government counterparts.
- S/he will have advanced degree or post-graduate degrees in water resource management or engineering, public administration/management or other relevant fields.
- S/he will have demonstrated experience in institutional strengthening, capacity building, and market-based approaches to service delivery.
- S/he must be fluent in English.

Deputy Chief of Party/Senior Water Sanitation and Hygiene Advisor: The Deputy Chief of Party oversees the operation and programmatic aspects of the Small Town Water activity.

- S/he will have excellent management skills and good knowledge of USG procedures and policies, agreement compliance, financial planning and management, procurement, sub award management, and other management support areas/functions, including the ability to manage multidisciplinary teams.
- Familiarity with the political, economic, social, and cultural context of Nigeria is required.
- The expected qualifications for the DCOP candidate will include a Master's degree in Water Resources Management, Water Engineering, international development, Environment, or related field of study.
- S/he must have 7 years' professional experience in developing countries, some of which should be in Africa, in WASH implementation and in managing or implementing development programs.
- S/He must have strong understanding of WASH governance structures.
- Experience with West Africa or Nigeria WASH sub-sector is an asset.
- S/he must have solid foundation in a broad range of WASH subjects preferred, including areas such as innovative sanitation, Sanitation marketing, water for the poor, tariff and cost recovery, hygiene promotion, operation and maintenance, institutional strengthening and sector reform.
- S/he must have experience in designing or managing small town water systems.
- S/he must have excellent communication and writing skills.
- S/he must be fluent in English language with a working knowledge of Hausa language.

Monitoring and Evaluation Specialist: This individual will lead Collaborating, Learning and Adapting (CLA) activities for the activity. S/he will make operational decisions and manage the various components of the program dealing with M&E, will oversee data collection efforts and ensure both the M&E system and results reporting meet the requirements of the Small Town Water initiative. The individual will lead a system for continuous communication with relevant partners, and demonstrate an ability to take critical inputs, feedback, and assessments from evaluation partners to inform changes in program approaches and scale-up. The individual will ensure that these and other program components are results-oriented. This individual will have a major focus on achieving results in all areas assuring that the implementation team members are poised to deliver services on schedule.

- S/he will have 5 years of monitoring and evaluation work preferably at the supervisory level.
- S/he must have experience designing and overseeing M&E data collection and reporting for WASH project.
- S/he must have demonstrated ability to implement, operationalize, and manage information collection and assessment system.
- S/he must have demonstrated ability to create and manage information data bases using appropriate software application.
-
- S/he must have the ability to work in team environment and work with and train non-direct reports to implement program.
- S/he must have strong writing, reporting, and presentational skills.

2. **Staffing Plan**

The staffing plan must describe the applicant's staffing pattern and specifies composition and organizational structure of the team, such as each staff member's role, technical expertise, and estimated time s/he will devote to the project and division of responsibilities to effectively administer program activities and achieve program objectives. The applicant's organizational structure must be in an organogram, with clear relationships among partner organizations and individual positions. If the applicant proposes to partner with one or more organizations for implementation of the program, the technical application must demonstrate appropriate roles and responsibilities of the proposed partners and how the partners complement the capabilities of the prime applicant. Proposed staff must have expertise in and access to sectors in diverse areas such as peace building, reconciliation, conflict mitigation and capacity building sectors. In addition, staff should be capable of handling diverse groups of sub-grantees, government counterparts and other stakeholders and be well experienced in local context. The staffing pattern must reflect the minimum number of highly experienced technical staff sufficient to manage and implement the award activities. The Small Town WASH activity is to have a sufficient qualified core of full-time staff on site responsible for planning, designing, managing, and implementing the Small Town WASH activity. Short-term technical experts who can support in-country long-term personnel in the identification of promising and innovative project models may supplement the staff. The applicant's staffing plan must be gender inclusive and conflict sensitive.

f. **Institutional Capability and Management Plan - [See Section E.2.a.3]**

1. **Institutional Capability**

The applicant must describe its organizational capabilities, expertise, and experience in project implementation similar to the complexity and security situation of Northeast Nigeria. Applicants are to develop a set of targeted responses that reflect local realities and socio-cultural values and practices. Applicants are expected to demonstrate capacity to implement and manage basic water and sanitation engineering design and construction work. Applicants are to put in place a flexible management system that will support rapid mobilization and response, and a diverse range of interventions suited to the profile of the different target groups and districts. Furthermore, Applicants are also to propose strategies that allow for the rapid and flexible retargeting of resources in response to new threats and opportunities as per the organizational capabilities and expertise of the applicant and of sub-recipients in the technical areas identified in the Program Description. The Applicant must describe the organizational capabilities and expertise of any proposed sub-recipients and demonstrates how the partner organization(s) will be utilized and how the complementarity of their skill sets will be represented in the partnership. The applicant must identify the proposed field management structure and financial controls. The technical application explains the core technical capacities/resources and home office support (if applicable), and the applicant's financial control system.

2. **Management Plan**

The applicant must describe its executive management functions and the tools/methods that will be applied to ensure cost efficient, responsive and effective financial, technical and administrative management of the project, its consortium partners, and sub-awardees. This will highlight the management structure, defined functions, and the management and decision making authorities of the Applicant. Applicants must also identify: internal quality controls for technical and financial management; specific approaches that will ensure cost-efficiency and maximize the development impact for US taxpayer dollars spent under this NOFO; home office (if applicable) capacity for monitoring performance and early identification and resolution of staffing concerns or programmatic challenges in meeting timelines, benchmarks and deliverables. Applicant must also describe demonstrated capability in assembling high quality technical assistance teams, including identifying and utilizing Nigerian technical expertise, and placing them in the field in a timely manner and providing them with all necessary support. This ability must be evidenced by organizational commitment and organizational systems designed to utilize consortium members and Nigerian firms/individuals as appropriate. Applicants must also describe how they will incorporate principle elements of USAID's preferred approach to construction into the program, including their approach to construction oversight and quality assurance. (See Construction Risk Management: A Mandatory Reference for ADS Chapter 201 - https://www.usaid.gov/ads/policy/200/201maw)

6. Business (Cost) Application Format

The Business (Cost) Application must be submitted separately from the Technical Application. While no page limit exists for the full cost application, applicants are encouraged to be as concise as possible while still providing the necessary details. The business (cost) application must illustrate the entire period of performance, using the budget format shown in the SF-424A.

Prior to award, applicants may be required to submit additional documentation deemed necessary for the Agreement Officer to assess the applicant's risk in accordance with 2 CFR 200.205. Applicants should not submit any additional information with their initial application.

While Cost is less important than technical and is not weighted or scored, the cost applications of the apparently successful technical application(s) will be evaluated for cost effectiveness. Other considerations are the completeness of the application, adequacy of budget detail and consistency with elements of the technical application. In addition, the organization must demonstrate adequate financial management capability, to be measured for a responsibility determination.
The application with the lowest estimated cost may not be selected if award to a higher priced technical application offers a greater overall benefit for the program. All evaluation factors other than cost or price, when combined, are significantly more important than cost. However, estimated cost is an important factor and the estimated cost to the Government increases in importance as competing applications approach equivalence and may become the deciding factor when technical applications are approximately equivalent in merit.

Cost estimates will be analyzed as part of the application evaluation process. Proposed costs may be adjusted, for purposes of evaluation, based on results of the cost analysis and its assessment of reasonableness, completeness, and credibility.

The Cost Application must contain the following sections (which are further elaborated below this listing with the letters for each requirement):

(a) Cover Page (See Section D.3 above for requirement)

(b) SF 424 Form(s)

Instructions for SF-424	http://www.grants.gov/web/grants/form-instructions/sf-424-instructions.html
Application for Federal Assistance (SF-424)	https://www.grants.gov/web/grants/forms/sf-424-family.html
Instructions for SF-424A	http://www.grants.gov/web/grants/form-instructions/sf-424a-instructions.html
Budget Information (SF-424A)	https://www.grants.gov/web/grants/forms/sf-424-family.html
Instructions for SF-424B	http://www.grants.gov/web/grants/form-instructions/sf-424b-instructions.html
Assurances (SF-424B)	https://www.grants.gov/web/grants/forms/sf-424-family.html

Failure to accurately complete these forms could result in the rejection of the application.

(c) Required Certifications and Assurances

The applicant must complete the following documents and submit a signed copy with their application:

(1) "Certifications, Assurances, Representations, and Other Statements of the Recipient" document found at http://www.usaid.gov/sites/default/files/documents/1868/303mav.pdf
(2) Assurances for Non-Construction Programs (SF-424B)
(3) Certificate of Compliance: Please submit a copy of your Certificate of Compliance if your organization's systems have been certified by USAID/Washington's Office of Acquisition and Assistance (M/OAA).

(d) Budget and Budget Narrative

The Budget must be submitted as one unprotected Excel file (MS Office 2000 or later versions) with visible formulas and references and must be broken out by project year, including itemization of the federal and non-federal (cost share) amount. Files must not contain any hidden or otherwise inaccessible cells. Budgets with hidden cells lengthen the cost analysis time required to make award, and may result in a rejection of the cost application. The Budget Narrative must contain sufficient detail to allow USAID to understand the proposed costs. The applicant must ensure the budgeted costs address any additional requirements identified in Section F, such as Branding and Marking. The Budget Narrative must be thorough, including sources for costs to support USAID's determination that the proposed costs are fair and reasonable.

The Budget must include the following worksheets or tabs, and contents, at a minimum:

- Summary Budget, inclusive of all program costs (federal and non-federal), broken out by major budget category and by year for activities implemented by the applicant and any potential sub-applicants for the entire period of the program. See Section H, Annex 1 for Summary Budget Template
- Detailed Budget, including a breakdown by year, sufficient to allow the Agency to determine that the costs represent a realistic and efficient use of funding to implement the applicant's program and are allowable in accordance with the cost principles found in 2 CFR 200 Subpart E.
- Detailed Budgets for each sub-recipient, for all federal funding and cost share, broken out by budget category and by year, for the entire implementation period of the project.

The Detailed Budget must contain the following budget categories and information, at a minimum:

(1) Salaries and Allowances – Must be proposed consistent with 2 CFR 200.430 Compensation - Personal Services. The Applicant's budget must include position title, salary rate, level of effort, and salary escalation factors for each position. Allowances, when proposed, must be broken down by specific type and by position. Applicants must explain all assumptions in the Budget Narrative. The Budget Narrative must demonstrate that the proposed compensation is reasonable for the services rendered and consistent with what is paid for similar work in other activities of the Applicant. Applicants must provide their established written policies on personnel compensation. If the Applicant's written policies do not address a specific element of compensation that is being proposed, the Budget Narrative must describe the rationale used and supporting market research.

(2) Fringe Benefits – (if applicable) If the Applicant has a fringe benefit rate approved by an agency of the U.S. Government, the Applicant must use such rate and provide evidence of its approval. If an Applicant does not have a fringe benefit rate approved, the Applicant must propose a rate and explain how the Applicant determined the rate. In this case, the Budget Narrative must include a detailed breakdown comprised of all items of fringe benefits (e.g., superannuation, gratuity, etc.) and the costs of each, expressed in U.S. dollars and as a percentage of salaries.

(3) Travel and Transportation – Provide details to explain the purpose of the trips, the number of trips, the origin and destination, the number of individuals traveling, and the duration of the trips. Per Diem and associated travel costs must be based on the applicant's normal travel policies. When appropriate please provide supporting documentation as an attachment, such as company travel policy, and explain assumptions in the Budget Narrative.

(4) Procurement or Rental of Goods (Equipment & Supplies), Services, and Real Property – Must include information on estimated types of equipment, models, supplies and the cost per unit and quantity. The Budget Narrative must include the purpose of the equipment and supplies and the basis for the estimates. The Budget Narrative must support the necessity of any rental costs and reasonableness in light of such factors as: rental costs of comparable property, if any; market conditions in the area; alternatives available; and the type, life expectancy, condition, and value of the property leased.

(5) Subawards – Specify the budget for the portion of the program to be passed through to any subrecipients. See 2 CFR 200.330 for assistance in determining whether the sub-tier entity is a subrecipient or contractor. The subrecipient budgets must align with the same requirements as the Applicant's budget, including those related to fringe and indirect costs.

(6) Construction

(7) Other Direct Costs -This may include other costs not elsewhere specified, such as report preparation costs, passports and visas fees, medical exams and inoculations, as well as any other miscellaneous costs which directly benefit the program proposed by the Applicant. The Applicant should indicate the subject, venue and duration of any proposed conferences and seminars, and their relationship to the objectives of the program, along with estimates of costs. Otherwise, the narrative should be minimal.

(8) Indirect Cost: The Applicant must indicate whether they are proposing indirect costs or will charge all costs directly. In order to better understand indirect costs please see Subpart E of 2 CFR 200.414. The applicant must identify which approach they are requesting and provide the applicable supporting documentation. Below are the most commonly used Indirect Cost Rate methods:

<u>Method 1 - Direct Charge Only</u>
Eligibility: Any applicant
Initial Application Requirements: See above on direct cost

<u>Method 2 - Negotiated Indirect Cost Rate Agreement (NICRA)</u>
Eligibility: Any applicant with a NICRA issued by a USG Agency must use that NICRA Initial Application Requirements: If the applicant has a current NICRA, submit your approved NICRA and the associated disclosed practices. If your NICRA was issued by an Agency other than USAID, provide the contact information for the approving Agency. Additionally, at the Agency's discretion, a provisional rate may be set forth in the award subject to audit and finalization. See USAID's Indirect Cost Rate Guide for Non Profit Organizations for further guidance.

<u>Method 3 - De Minimis rate of 10% of modified total direct costs (MTDC)</u>
Eligibility: Any applicant that has never received a NICRA

Initial Application Requirements: Costs must be consistently charged as either indirect or direct costs, but may not be double charged or inconsistently charged as both. If chosen, this methodology once elected must be used consistently for all Federal awards until such time as a non-Federal entity chooses to negotiate an indirect rate, which the non-Federal entity may apply to do at any time. The applicant must describe which cost elements it charges indirectly vs. directly. See 2 CFR 200.414(f) for further information.

Method 4 - Indirect Costs Charged As A Fixed Amount
Eligibility: Non U.S. non-profit organizations without a NICRA may request, but approval is at the discretion of the AO
Initial Application Requirements: Provide the proposed fixed amount and a worksheet that includes the following:

- Total costs incurred by the organization for the previous fiscal year and estimates for the current year.
- Indirect costs (common costs that benefit the day-to-day operations of the organization, including categories such as salaries and expenses of executive officers, personnel administration, and accounting, or that benefit and are identifiable to more than one program or activity, such as depreciation, rental costs, operations and maintenance of facilities, and telephone expenses) for the previous fiscal year and estimates for the current year.
- Proposed method for prorating the indirect costs equitably and consistently across all programs and activities of using a base that measures the benefits of that particular cost to each program or activity to which the cost applies.

If the applicant does not have an approved NICRA and does not elect to utilize the 10% de minimis rate, the Agreement Officer will provide further instructions and may request additional supporting information, including financial statements and audits, should the application still be under consideration after the merit review. USAID is under no obligation to approve the applicant's requested method.

(9) Security Costs: The Applicant will provide a security budget for security costs as part of its application. The Security Plan and budget must delineate and justify for reasonableness all costs and provide a coherent, overall integrated security plan that demonstrates that the Applicant has undertaken a thoughtful review of their security needs and includes analysis of the various elements of a security plan. The security budget must be complete and include comprehensive budget notes.

Applicants must consider any costs foreseen for security, as identified in Annex #5 "Sample Format for Initial Security Plan" to include security equipment, security related communication equipment, and guards required for program implementation. These costs must be included under "Other Direct Costs." Security Costs must be clearly identified in the cost application in a separate budget line item and must be included as part of the overall Applicant's cost application.

(e) Prior Approvals in accordance with 2 CFR 200.407

Inclusion of an item of cost in the detailed application budget does not satisfy any requirements for prior approval by the Agency. If the applicant would like the award to reflect approval of any cost elements for which prior written approval is specifically required for allowability, the Applicant must specify and justify that cost. See 2 CFR 200.407 for information regarding which cost elements require prior written approval.

(f) Approval of subawards

The Applicant must submit information for all subawards that it wishes to have approved at the time of award. For each proposed subaward the Applicant must provide the following:

- Name of organization
- DUNS Number
- Confirmation that the subrecipient does not appear on the Treasury Department's Office of Foreign Assets Control (OFAC) list
- Confirmation that the subrecipient does not have active exclusions in the System for Award Management (SAM)
- Confirmation that the subrecipient is not listed in the United Nations Security designation list
- Confirmation that the subrecipient is not suspended or debarred
- Confirmation that the applicant has completed a risk assessment of the subrecipient, in accordance with 2 CFR 200.331(b)
- Any negative findings as a result of the risk assessment and the applicant's plan for mitigation.

(g) Dun and Bradstreet and SAM Requirement

USAID may not award to an applicant unless the applicant has complied with all applicable unique entity identifier (DUNS number) and System for Award Management (SAM) requirements. Each applicant (unless the applicant is an individual or Federal awarding agency that is exempted from 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. Provide a valid DUNS number for the applicant and all proposed sub-recipients;
2. Be registered in SAM before submitting its application. SAM is streamlining processes, eliminating the need to enter the same data multiple times, and consolidating hosting to make the process of doing business with the government more efficient (www.sam.gov).
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.

The registration process may take many weeks to complete. Therefore, applicants are encouraged to begin the process early. If an applicant has not fully complied with the requirements above by the time USAID is ready to make an award, USAID may determine that the applicant is not qualified to receive an award and use that determination as a basis for making an award to another applicant.

DUNS number: http://fedgov.dnb.com/webform
SAM registration: http://www.sam.gov

Non-U.S. applicants can find additional resources for registering in SAM, including a Quick Start Guide and a video on how to obtain an NCAGE code, on www.sam.gov, navigate to Help, then to International Registrants.

(h) History of Performance

The applicant must provide information regarding its recent history of performance for all its cost-reimbursement contracts, grants, or cooperative agreements involving similar or related programs, recent and relevant, as follows:

- Name of the Awarding Organization;
- Award Number;
- Activity Title;
- A brief description of the activity;
- Period of Performance;
- Award Amount;
- Name of at least two (2) updated professional contacts who most directly observed the work at the organization for which the service was performed with complete current contact information including telephone number, and e-mail address for each proposed individual.

If the applicant encountered problems on any of the referenced Awards, it may provide a short explanation and the corrective action taken. The applicant should not provide general information on its performance. USAID reserves the right to obtain relevant information concerning an applicant's history of performance from any sources and may consider such information in its review of the applicant's risk. The Agency may request additional information and conduct a pre-award survey if it determines that it is necessary to inform the risk assessment.

Applicants should use the format provided in Annex #4: Past Performance Information of the NOFO to document the detailed information as requested. The completed forms should be included in the application's appendix/annex.

(i) Branding Strategy and Marking Plan

It is a U.S. Federal statutory and regulatory requirement that all overseas programs, projects, activities, public communications, and commodities that USAID partially or fully funds under an assistance award or sub-award must be appropriately marked with the USAID identity.

Pursuant to ADS 303.3.6.3.f and ADS 320.3.1.2, the apparently successful applicant will be requested to submit a Branding Strategy and Marking Plan that will have to be successfully negotiated before a cooperative agreement will be awarded. These plans shall be prepared in accordance with the guidance in ADS 320.3.1.2, 2 CFR 700.16 and the references therein. ADS Chapter 320 sections concerning "assistance" apply to this NOFO. ADS Chapter 320 sections concerning "acquisition" do not apply to this NOFO. ADS Chapter 320 can be found on the USAID website: http://www.usaid.gov/policy/ads/300/320.

Please note that USAID/Nigeria has waived marking requirements for selected locations in Nigeria. A copy of the waiver notification to USAID/Nigeria Implementing Partners is provided as Annex #7 to this NOFO.

The Branding Strategy and Marking Plan must not be included with the original application but will be provided only after a written request of the Agreement Officer. However, the cost of Branding and Marking must be included in the Cost Application.

USAID/Nigeria does not intend to make an award without an approved Branding Strategy and Marking Plan.

(j) Funding Restrictions

1. Construction may be authorized under this award in accordance with relevant Standard Provisions. Applicants will be reimbursed only for costs that benefit the Program Description and are allocable, allowable and reasonable. Pre-award costs may be reimbursed under the resulting award, but only with the prior specific written approval of the Agreement Officer.

2. USAID policy is not to award profit under assistance instruments. However, all reasonable, allocable and allowable expenses, both direct and indirect, which are related to the agreement program and are in accordance with applicable cost principle under 2 CFR 200 Subpart E. of the Uniform Administrative Requirements may be paid under the anticipated award.

(k) Conflict of Interest Pre-Award Term

The applicant must complete the following documents and submit a signed copy with their application:

The pre-award terms found in ADS 303mba, Pre-Award Terms:

1. Branding Strategy – Assistance

2. Marking Plan – Assistance

3. Conflict of Interest Pre-Award Term

(l) Activity Monitoring, Evaluation and Learning Plan (AMELP)

The technical application provides a summary description of the Activity Monitoring, Evaluation and Learning Plan and data collection approach. The applicant provides indicators and annual targets (as well as targets for the duration of the project) proposed in the AMELP directly relate to the technical assistance and support to be provided under this project. The proposed indicators and targets are consistent with the expected results specified in this NFO. The application demonstrates how the information to be collected, analyzed, and reported from the AMELP will help to track progress in achieving the intermediate results of the Development Objective.

(m) Security Plan

The Applicant must submit a Security Plan as a part of their application. The Security Plan must be based on a credible threat analysis and risk assessment. The plan must provide a coherent, integrated security plan, which demonstrates that the Applicant has undertaken a thoughtful review of their security needs and includes analysis of the various elements of a security system showing how threats will be mitigated.

The Security Plan must include a point of contact to answer questions or provide clarifications regarding security throughout the life of the program. The Applicant is encouraged to acquire professional advice from an expert of its choosing to assist in establishing an overall security plan/system.

The security plan accompanied by the budget will be reviewed together with the technical and cost applications, and it needs to demonstrate that the security needs to successfully implement the program description as presented in the Applicant's technical approach have been addressed/considered.

A sample format for Initial Security Plan is included in this NOFO as Annex #5.

[END OF SECTION D]

SECTION E - APPLICATION REVIEW INFORMATION

1. Criteria

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

Technical and other factors will be evaluated relative to each other, as described here and prescribed by the Technical Application Format. The Technical Application will be scored by a Selection Committee (SC) using the criteria described in this section.

2. Review, Selection and Award Process

(a) Merit Review

USAID will conduct a merit review of all applications received that comply with the instructions in this NOFO. Applications will be reviewed and evaluated in accordance with the following criteria shown in descending order.

1. Criteria #1: Technical Approach - [See Section D.5.d]

The extent to which the technical approach addresses all of the requirements of the NOFO demonstrates a clear and effective implementation strategy, demonstrates techniques that will achieve the intended results, and clearly display a nuanced understanding of conflict mitigation context in the northeast for accomplishing the stated goal, purpose, and expected outlined in the NOFO.

2. Key Personnel and Staffing Plan - [See Section D.5.e.1]

2.1. **Key Personnel**

The extent to which the proposed key personnel meet the minimum qualifications outlined in D.5.e.1 and reflect specific required skills and ability to produce the intended result of the PD.

2.2. **Staffing Plan**

The extent to which all other professional personnel positions are appropriate and logically connected to the implementation of the activity and achievement of objectives. The applicant must clearly address all the requirements listed in Section D.5.e.2 and clearly demonstrate that the applicant have appropriate staffing to achievethe intended results of the NOFO. Consideration will also be given to; how the Staffing Plan and organizational chart relates directly to the strategies, activities and approaches described in the technical approach of the application, the Applicant's demonstration of a feasible teaming approach that meets the technical priorities laid out in the Program Description.

3. Institutional Capability & Management Plan - [See Section D.5.f]

3.1 **Institutional Capability**

The extent to which the applicant clearly demonstrates institutional capability outlined in D.5.f.1 and organizational experience for programs of similar size, scope, and duration within conflict areas.

3.2 **Management Plan**

The management plan must address all the requirements that are listed in Section D.5.f.2. Consideration also given to:

a) Suitability of management structure, including the organization of any and all sub-awards;
b) Consortium structure and technical strengths of each organization;
c) Appropriateness of positions and staffing including key personnel; and
d) The extent to which the applicant incorporated principle elements of USAID’s preferred approach to construction

(b) Business Review

The Agency will evaluate the cost application of the applicant(s) under consideration for an award as a result of the merit criteria review to determine whether the costs are allowable in accordance with the cost principles found in 2 CFR 200 Subpart E.

The Agency will also consider (1) the extent of the applicant's understanding of the financial aspects of the program and the applicant's ability to perform the activities within the amount requested; (2) whether the applicant's plans will achieve the program objectives with reasonable economy and efficiency; and (3) whether any special conditions relating to costs should be included in the award.

Proposed cost share, if provided, will be reviewed for compliance with the standards set forth in 2 CFR 200.306, 2 CFR 700.10, and the Standard Provision "Cost Sharing (Matching)" for U.S. entities, or the Standard Provision "Cost Share" for non-U.S. entities.

The AO will perform a risk assessment (2 CFR 200.205). The AO may determine that a preaward survey is required to inform the risk assessment in determining whether the prospective recipient has the necessary organizational, experience, accounting and operational controls, financial resources, and technical skills – or ability to obtain them – in order to achieve the objectives of the program and comply with the terms and conditions of the award. Depending on the result of the risk assessment, the AO will decide to execute the award, not execute the award, or award with “specific conditions” (2 CFR 200.207).

Besides the Technical Evaluation Criteria, the application will be assessed for cost effectiveness and realism and must therefore address the following:

1. **Cost Effectiveness and Realism:** The proposed costs must be realistic, reasonable, complete, and allowable. The costs must be realistic for the effort and consistent with the technical components of the application.

2. **Adequacy of Budget Detail and Financial Feasibility:** The proposed budget must be sufficient to support the proposed activities, and all proposed costs must be adequately supported by notes highlighting the key assumptions used in their determination. USAID reserves the right to determine the resulting level of funding for the Cooperative Agreement.

[END OF SECTION E]

SECTION F – FEDERAL AWARD AND ADMINISTRATION INFORMATION

1. Federal Award Notices

a. Award of the agreement contemplated by this NOFO cannot be made until funds have been appropriated, allocated and committed through internal USAID procedures. While USAID anticipates that these procedures will be successfully completed, potential applicants are hereby notified of these requirements and conditions for the award.

b. The Agreement Officer is the only individual who may legally commit the Government to the expenditure of public funds.

c. No costs chargeable to the proposed Agreement(s) may be incurred before receipt of either a fully executed Agreement or a specific, written authorization from the Agreement Officer.

d. Following selection for award and successful negotiations with the apparently successful Applicant, an electronic copy of the notice of the award signed by the Agreement Officer will be sent to the successful Applicant, which serves as the authorizing document. The Agreement Officer will only do so after making a positive responsibility determination that the Applicant possesses, or has the ability to obtain, the necessary management competence in planning and carrying out assistance programs and that it will practice mutually agreed upon methods of accountability for funds and other assets provided by USAID.

e. The award will be issued to the contact as specified in the application as the Authorized Individual in accordance with the requirements in the Representations and Certifications. USAID reserves the right to perform a pre-award survey which may include, but is not limited to:

(a) Interviews with individuals to establish their ability to perform agreement duties under the project conditions;

(b) A review of the prime Recipient's financial condition, business and personnel procedures, etc.; and

(c) Site visits to the prime Recipient's institution.

2. Administrative and Policy Requirements

No deviations are currently contemplated to the standard provisions for the grant(s) or cooperative agreement(s) contemplated by this NOFO.

The resulting award from this NOFO will be administered in accordance with the following policies and regulations:

- For US organizations: ADS 303, 2 CFR 700, 2 CFR 200, and Standard Provisions for U.S. Non-governmental organizations.

- For Non US organizations: Standard Provisions for Non-U.S. Non-governmental Organizations. While 2 CFR 200 does not directly apply to non-U.S. applicants, the Agreement Officer will use the standards of 2 CFR 200 in the administration of the award.

See **Annex 2** for a list of the Standard Provisions that will be applicable to any awards resulting from this NOFO.

3. Reporting Requirements

I. General Requirements

(a) The Recipient must comply with the Standard Provision set forth in Annex #2 of this Agreement entitled "Marking and Public Communications Under USAID-Funded Assistance (August 2013)." All reports must be in English.

(b) All written documentation (correspondence, reports, information sheets, etc.) for submission under this Cooperative Agreement shall be in English. At a minimum, all documents should be provided in MS Word (or MS Excel or MS PowerPoint) and PDF (unlocked) formats.

(c) All reporting and data must be synchronized with the United States Government (USG) fiscal year. Quarterly periods are from October 1 – December 31; January 1 - March 31; April 1 – June 30; and July 1 – September 30. Thus, quarterly reports are due on: January 31, April 30, July 31 and October 31, respectively.

(d) The second quarter (January-March) report due on April 30, in addition to discussing the achievements of the activity, challenges and potential solutions, should present semi-annual results (October-March) on the USAID indicators against the targets for that year. This should also include explanations for any indicator values falling above and below target.

(e) The fourth quarter (July-September) report due on October 31 will be utilized by the USAID Mission as an annual report. The report should contain more information than the normal quarterly report, as USAID/Nigeria needs the information to fulfill its own annual reporting in November. In addition to the regular information (listed below), the fourth quarter report should discuss the achievements of the entire year and should contain a table displaying the indicators the partner is responsible for reporting on and the indicator values for the year, along with prior year values and future year targets. It should also include explanations for any indicator values falling above or below target.

II. Financial Reporting

Financial Reports will be submitted following relevant guidance contained in the award Standard Provisions. Financial reporting will, at a minimum, require annual submission of the SF-425. Additional requirements, if any, will depend on the payment provisions of the award, which cannot be determined until after award. Financial reporting requirements and instructions will be specified in the award.

(a) Reporting of Expenditures

(i) Financial reporting requirements must be in accordance with 2 CFR 700.7 and 2 CFR 200.327 regarding advance payments. Standard Form (SF) –270 or SF-1034 must be used to Request Advance payments. Either paper copies or electronic copies (scanned PDF document) may be submitted, but not both.

(ii) SF-425 must be used to report actual expenditures and must be submitted within 30 calendar days from the end of each quarter, except that the final report must be submitted within 90 calendar days from the estimated completion date of this Agreement. The Recipient must submit the SF-425 form in the following manner:

- An original copy to the Payment Office;
- A copy to the AOR;
- A copy to the Agreement Officer

(iii) Electronic copies of the SF-425 can be found at:

https://www.grants.gov/web/grants/forms/post-award-reporting-forms.html#sortby=1

b) Reporting of Foreign Taxes

The Recipient must comply with the Standard Provision set forth in the resulting Agreement entitled "Reporting of Host Government Taxes."

III. Performance Reporting

(a) <u>Performance Reports</u>

(i) The Recipient must submit a quarterly and annual program performance reports to the AOR, with a copy to the Agreement Officer, and USAID/Nigeria Monitoring and Evaluation Unit at e-mail: abujaprog-me@usaid.gov. Electronic submissions are preferred over hard copy.

(ii) The due date for these program performance reports is not later than 30 days after the end of each reporting period. At a minimum, the report must include:

- A comparison of actual accomplishments/results, both for the reporting period and cumulatively, with the established goals and objectives, and expected results; the findings of the investigator; or both. Data (both qualitative and quantitative) must be presented using established baseline data and indicators, and be supported by a brief narrative. This should include reporting on specific processes and activities that were planned for the period to support the relevant stakeholders. Whenever appropriate and the output of programs or activities can be readily quantified, such quantitative data should be related to cost data for computation of unit costs;

- Reasons why established goals were not met (if applicable), the impact on the program objective(s), and how the impact has been/will be addressed; and

- Other pertinent information including, when appropriate, success stories (if available) which illustrate the direct positive effects of the program; how unforeseen circumstances affected overall performance compared to original assumptions (if applicable), how activities were accordingly adjusted or re-targeted; and analysis and explanation of cost overruns or high unit costs.

(iii) Additional guidance on the format and content of quarterly reports is contained in Annex #6 to this NOFO.

(b) Notification

The Recipient will submit to the AOR and AO the notification, as follows: (1) Developments which have a significant impact on the activities supported by this Award; and (2) Problems, delays, or adverse conditions which materially impair the ability to meet the objectives of this Cooperative Agreement. This notification will include a statement of the action taken or contemplated, and any assistance needed to resolve the problem.

(c) Final Report

The Recipient must submit a final report to the AOR, with copies to the Agreement Officer, USAID Development Experience Clearinghouse at e-mail: DocSubmit@usaid.gov, and USAID/Nigeria Monitoring and Evaluation Unit at e-mail: abujaprog-me@usaid.gov. The final report must be submitted no later than 90 calendar days after the expiration or termination of the award. The final report must also consolidate activities and analyses of all partners into one document and their activities and progress towards results. The final performance report must contain the following information:

(i) A comparison of actual accomplishments with the goals and objectives established for the period, the findings of the investigator, or both. Whenever appropriate and the output of programs or activities can be readily quantified, such quantitative data should be related to cost data for computation of unit costs.

(ii) Final data, compared to baseline data, for all indicators included in the monitoring and evaluation plan award activities. This section should include disaggregated data by gender, historically disenfranchised groups and other relevant groups identified.

(iii) A summary of problems/obstacles encountered during the implementation, and how those obstacles were addressed and overcome if appropriate.

(iv) Reasons why established goals were not met, if appropriate.

(v) Other pertinent information including, when appropriate, analysis and explanation of cost overruns or high unit costs.

(vi) Significance of these activities for overall elections and political processes development worldwide.

(vii) Lessons learned best practices, and other findings along with recommendations for future programming under each of the program result.

IV. Annual Work Plan

(a) Not later than 45 days after the effective date of this Cooperative Agreement, the Recipient must submit to the USAID Agreement Officer's Representative (AOR) an electronic copy of the annual work plan covering the first year of this Agreement, delineated by quarterly periods. The first annual work plan must include the first-year indicators and benchmarks which the Recipient proposes to utilize to measure and monitor progress toward achievement of results, as reflected in, and consistent with, the Activity Monitoring, Evaluation and Learning Plan, pending completion of the baseline survey. The work plan must include: the activities planned to be conducted, the site(s) where they will be conducted, benchmarks/milestones and annual performance targets, pending completion of the baseline survey; the outputs/outcomes which the Recipient expects to achieve; and the inputs planned to be provided by the Recipient, during the work plan period. Included must be an explanation of how those inputs are expected to achieve the outputs/outcomes and benchmarks/milestones.

The work plan will also consider whether boys and girls or women and men are involved or affected differently by the context or work to be undertaken, and if so, whether the difference is potentially significant for managing toward sustainable program impact. The Recipient will describe and use appropriate gender-sensitive methodologies and will maintain gender integration and balance in all activities, targeting women and girls when necessary to achieve that balance.

The annual work plan will describe activities to be conducted at a greater level of detail than the activity description and application in response to the activity description, but must be clearly cross-referenced with the applicable sections in the activity description. Also included in the work plan will be an explanation of how those achievements are expected to contribute to the IR-level results. An estimated budget and a pipeline analysis, identifying the anticipated inputs, must also be included.

The Recipient will prepare the work plan in consultation with and with inputs from the advisory committee (if applicable), partners and beneficiaries of this activity, and also describe how the program plans to work with the Government of Nigeria, other USG-funded activities in-country, as well as other donors and in-country partners.

USAID will review the first-year work plan and provide comments/suggestions within 30 calendar days of receipt. The Recipient must then submit the final work plan to the USAID AOR for approval not later than 15 calendar days from receipt of USAID's comments/suggestions. In the event that the Recipient receives no comments/suggestions from the AOR within 30 calendar days from the submission of the first-year work plan, the work plan will be considered approved. The Recipient must also submit a copy of the final first-year work plan to the Agreement Officer.

(b) The Recipient must submit subsequent annual work plans to the USAID AOR not later than 30 calendar days prior to the start of the next Agreement year. These subsequent annual work plans will include updates of the performance indicators and benchmarks which the Recipient proposes to utilize in the coming year. The work plan must be delineated by quarterly periods. USAID will review the annual work plan and provide comments/suggestions within 30 calendar days of receipt. The Recipient will then submit the final annual work plan to the USAID AOR for approval not later than 15 calendar days from receipt of USAID’s comments/ suggestions. In the event that the Recipient receives no comments/suggestions from the AOR within 30 calendar days from the submission of the annual work plan, the work plan will be considered approved. The Recipient must also submit a copy of the final annual work plan to the Agreement Officer.

(c) The Recipient will submit any significant work plan changes or revisions to the USAID AOR with a copy to the Agreement Officer, and must obtain the USAID AOR's approval prior to implementing or undertaking such changes or revisions.

(d) Annual work plans and changes/revisions thereto must be within the scope of the Program Description of the award. The Program Description will take precedence over the work plans and any changes/revisions thereto, in the event of any conflicts or inconsistencies between the Program Description and the work plan and any changes/revisions thereto. Any changes to the Program Description must be approved by the Agreement Officer by means of a modification to the award.

The work plan for year 1 will be for the period that extends from the activity start date through to September 30, 2019, so that afterward the work plan period will correspond with the same time period as the USG fiscal year, October 1 to September 30. In the final year, the work plan must be for a partial year that reflects the end date of the activity.

4. Environmental Compliance

The activity must comply with Code of Federal Regulations, Part 216 (22 CFR 216) requirements, the Initial Environmental Examination recommendations, and applicable Nigerian environmental laws, regulations and procedures. The Recipient must be responsible for ensuring that all environmental mitigation measures either proposed in the IEE or developed as a result of environmental screening of activities during implementation are adhered to and that sub-grants comply with the Negative Determination with conditions portion of the IEE. The Recipient must collaborate with the Agreement Officer's Representative (AOR) and the Mission Environmental Officer for compliance and guidance on any 22 CFR 216 issues.

Other compulsory analyses, including climate risk management will be conducted before interventions begin and in concert with the submission of the work plan, which will be due 45 days after the contract is signed. Other required analyses must include hydrological, geotechnical, geological, and geophysical surveys, a supplemental Initial Environmental Examination, and monitoring and evaluation analyses.

Additionally, the activity must follow USAID's procedures on climate risk management, which will also help to address long-term sustainability of this U.S. government investment.

(a) The Foreign Assistance Act of 1961, as amended, Section 117 requires that the impact of USAID's activities on the environment be considered and that USAID include environmental sustainability as a central consideration in designing and carrying out its development programs. This mandate is codified in Federal Regulations (22 CFR 216) and in USAID's Automated Directives System (ADS) Parts 201.5.10g and 204 (*http://www.usaid.gov/policy/ads/200/*), which, in part, require that the potential environmental impacts of USAID-financed activities are identified prior to a final decision to proceed and that appropriate environmental safeguards are adopted for all activities. The Recipient's environmental compliance obligations under these regulations and procedures are specified in the following paragraphs of this NOFO.

(b) The Small Town WASH activity may include "quick impact projects" that could have a significant impact on the environment or constitute major action requiring further environmental review. Pursuant to 22 CFR 216.2c USAID Environmental Procedures, a Negative Determination with Conditions applies, given that the proposed activity may have an effect on the natural or physical environment. If the Recipient chooses to issue sub-grants to host country organizations, it is anticipated that these interventions under such arrangement could have adverse environmental impacts, and so the Recipient must use an environmental review checklist in screening grant proposals to determine if this is the case.

(c) In addition, the Recipient must comply with host country environmental regulations unless otherwise directed in writing by USAID. In case of conflict between host country and USAID regulations, the latter shall govern.

(d) An Initial Environmental Examination (IEE) for Small Town WASH activity was approved on March 18, 2015 under the HPN IEE and will expire on December 31, 2020. The IEE covers activities expected to be implemented under this award. USAID has determined that a **Negative Determination with Conditions** applies to the proposed activities. This indicates that if these activities are implemented subject to the specified conditions, they are expected to have no significant adverse effect on the environment. The Recipient must be responsible for implementing all IEE conditions pertaining to interventions to be funded under this award, including the development of an Environmental Mitigation and Monitoring Plan (EMMP) prior to activity implementation.

(e) As part of its initial work plan, and all annual work plans thereafter, the Recipient, in collaboration with the USAID Agreement Officer's Representative and Mission Environmental Officer, shall review all ongoing and planned interventions under this award to determine if they are within the scope of the approved Regulation 216 environmental documentation.

(f) If the Recipient plans any new interventions outside the scope of the approved Regulation 216 environmental documentation, it must prepare an amendment to the documentation for USAID review and approval. No such new interventions must be undertaken prior to receiving written USAID approval of environmental documentation amendments.

(g) Any ongoing interventions found to be outside the scope of the approved Regulation 216 environmental documentation must be halted until an amendment to the documentation is submitted and written approval is received from USAID.

(h) Unless the approved Regulation 216 documentation contains a complete EMMP, the Recipient must prepare an EMMP describing how the Recipient will, in specific terms, implement all IEE and/or Environmental Analysis (EA) conditions that apply to proposed activities within the scope of the award. The EMMP must include monitoring the implementation of the conditions and their effectiveness. The EMMP template can be found via this link: http://usaidgems.org/compliance.htm

(i) The Recipient must integrate a completed EMMP into the initial work plan and budget.

(j) The Recipient must integrate an EMMP into subsequent Annual Work Plans, making any necessary adjustments to activity implementation in order to minimize adverse impacts to the environment.

(k) USAID anticipates that environmental compliance and achieving optimal development outcomes for the proposed activities will require environmental management expertise. Applicants should therefore include as part of their application their approach to achieving environmental compliance and management, to include:

- The Applicant's approach to developing and implementing an environmental review process for a sub-grant fund and/or an EMMP.
- The Applicant's approach to providing necessary environmental management expertise, including examples of past experience of environmental management of similar activities.
- The Applicant's illustrative budget for implementing the environmental compliance activities. For the purposes of this NOFO, Applicants should reflect illustrative costs for environmental compliance implementation and monitoring in their cost application.

5. Quarterly Environmental Mitigation & Monitoring Review Report

The Recipient must submit a quarterly Environmental Mitigation and Monitoring Review Report (EMMR) to the AOR, with a copy to the Agreement Officer. The EMMR template can be found via this link: http://usaidgems.org/compliance.htm

6. Activity Monitoring, Evaluation and Learning Plan (AMELP)

A comprehensive Activity Monitoring, Evaluation and Learning (MEL) Plan must be submitted for AOR approval for the complete award period within 45 calendar days of Agreement signature. The MEL Plan will include an executive summary. AOR approval or request for modifications will be within 15 calendar days, thereafter. The Recipient will then have 15 calendar days to incorporate the modifications and resubmit the plan for AOR final approval. AOR approval will be within 15 calendar days.

The Recipient will identify indicators for each identified result. An indicator can be used to measure progress in more than one result. Targets for each indicator must also be included in the MEL Plan for the life of the activity.

The MEL Plan must be consistent with USAID/Nigeria's approved Mission Performance Management Plan. The implementing partner is expected, to the extent practicable, to include indicators which reflect the level of participation by typically disenfranchised groups, such as women, youth, persons with disabilities, and internally displaced persons. Results will be disaggregated by location, sex, ethnicity and age wherever possible and relevant. This will be the core information for all monitoring and evaluation exercises. To complement this information, additional data, assessments, relevant anecdotes and comments should contextualize the indicators when reported.

The MEL Plan must clearly indicate the data gathering methodology, instruments, timeframe and other relevant elements of the evaluation system.

The MEL Plan will take into consideration the following criteria, and in the case of at least one indicator per Lower Level Result, explain how these criteria are met: a) Integrity; b) Precision; c) Reliability; and d) Timeliness.

The Recipient must include an Annual MEL Plan Report as part of its Fourth Quarterly Report, providing findings and results on indicators and the achievement of activity objectives by fiscal year. Additionally, the Recipient must organize a presentation of the MEL Plan results for key partners, including USAID/Nigeria, which will take place as agreed upon with the USAID/Nigeria designated AOR.

Performance management and managing for results are critical to ensure that USAID is accountable to stakeholders in the U.S. and Nigeria. It will be critical for Applicants to demonstrate an understanding between outputs, targets, outcomes, and expected results. By the end of the Small Town WASH Activity, the recipient will be expected to demonstrate the achievement not just of outputs, but also outcomes, and ultimately the Activity purpose. Applicants are challenged to propose a monitoring, evaluation and learning (MEL) plan that identifies indicators and approaches to measurement that would address these weaknesses.

Illustrative WASH Indicators

The indicators provided below are illustrative and intended to point to measurable, tangible outputs and outcomes that the Activity will be accountable to monitor and seek to improve. All indicators will be disaggregated by sex and by age as appropriate. Where possible, data will be disaggregated by geographic location. Final indicators are subject to USAID approval following award. The Recipient must propose appropriate indicators to USAID.

Increase access to water, sanitation and hygiene services in order to reduce illness and child mortality, and to sustain health outcomes:

- (HL.8.1-1) Number of people gaining access to basic water services as a result of USG assistance within the selected states;
- (HL.8.2-1) Number of people gaining access to a basic sanitation service as a result of USG assistance within the select states;
- (Modified HL.8.1-3) Percentage of people receiving improved service quality from an existing basic or safely managed drinking water service as a result of USG assistance;

Strengthen State Water Sanitation and Hygiene (WASH) institutions

- (Modified HL.8.3-1) Number of people educated on tools, approaches, and/or methods for water security, integrated water resource management, and/or water source protection as a result of USG assistance;

- (Modified HL.8.3-1) Number of policies, laws, agreements, regulations, or investment agreements (public or private) that promote access to improved water;
- (Modified HL. 8.2-4) Number of basic sanitation facilities provided in institutional settings as a result of USG assistance
- Number of Water Consumer Associations formed and trained;
- Number of individuals trained to implement improved sanitation methods;
- Number of training conducted.

7. Other Requirements

a. <u>Climate Risk Management</u>

The recipient will be required to complete an initial climate risk management (CRM) screening in accordance with the Mandatory Reference for ADS Chapter 201: CRM for USAID Projects and Activities (ADS Guidance) consisting of a climate risk screening table and associated brief narrative. Only activities that receive a rating of "Moderate" or "High" will require completion of all columns in the CRM Table (as outlined in the ADS Guidance). USAID will provide Climate Risk Screening and Management Tools to support this process.

More information is available at: https://www.climatelinks.org/integration/climate-risk-management/resources and the World Bank Climate Knowledge Portal http://sdwebx.worldbank.org/climateportal/.

b. <u>Development Experience Clearinghouse Requirements</u>

For information concerning submission requirements of copies of reports and other information to USAID's Development Experience Clearinghouse (DEC), refer to the Standard Provisions entitled "Submissions to the Development Experience Clearinghouse and Publications (June 2012)" for U.S. NGOs and "Submission to the Development Experience Clearinghouse and Data Rights (June 2012)" for Non-U.S. NGOs.

c. <u>Final Property Inventory Report</u>

The Mission Agreement Officer will determine how program income, if anticipated to be generated under the award(s), will be treated (see 2 CFR 200.307 or, for non-U.S. organizations, see the Standard Provision "Program Income").

d. <u>Security Reporting</u>

All work under this award will be unclassified, and thus no special information security requirements are applicable.

Nigeria has been designated a high threat and high crime post and the Applicant is expected to take steps to be responsive to this shifting environment. Applicants are advised that there are frequent reports of robberies and car-jacking, some involving armed gunmen, on Nigeria's urban and rural road network. The U.S. State Department travel advisory for Nigeria regularly issues information regarding risks of travel to some states in Nigeria because of the risks of kidnapping, robbery, and other armed attacks in these areas. The advisory also informs that throughout the country, violent crime committed by individuals and gangs, as well as by persons wearing police and military uniforms, remains a problem. The Applicant must be cognizant of the fact that LGA categorizations may potentially fall into areas prone to armed conflict and security vulnerability.

The Applicant will establish a comprehensive and dynamic safety and security plan pertaining to all aspects of its activities and the activities of its employees in the performance of all work related to this contract as well as the off-duty activities of its employees serving in Nigeria, as those activities relate to performance of contract work. The Applicant must also work closely with and establish working relationships with all authorized and appropriate safety and security organizations and entities for the protection and safety of its operations and employees.

The Applicant will be responsible for its own security under this contract and will employ a security profile that is cost-effective. The Applicant is responsible for maintaining the security of its personnel, materials, and equipment commensurate with the circumstances involved. All employees of the Applicant must meet the requirements of their work site, which may include background checks, security/restricted area clearance, drug-free workplace, safety training and/or other inspections/requirements.

As part of the overall security requirements, the Recipient must report any security threats and/or incidents verbally / by telephone, immediately to the following USAID/Nigeria representatives:

- Security & Safety Specialist and any other USAID/Nigeria EXO designated official(s);
- Executive Officer (EXO); and
- Agreement Officer Representative (AOR) or Alternate AOR in the AOR’s absence.

Subsequently, a written report must be submitted in accordance with approved procedures delineated below. The Recipient must develop a list of specific steps to track any potential/identified threats, which will be part of its overall security system. All sub-awardees will be required by the Recipient to report any threats/incidents to the Recipient, who will immediately after, notify the above listed USAID/Nigeria representatives.

(a) Security Reporting Responsibilities

USAID requires appropriate security reports be submitted to the Nigeria Safety & Security Specialist, Executive Office; AOR and other USAID/Nigeria officials as directed by USAID Executive Office. The type and frequency of these reports may vary with the activity scope, location, and criticality. The Recipient must report an Initial Threat Assessment and subsequent changes as often as the situation requires (weekly, bi-weekly, monthly etc.). The Recipient is also required to notify USAID of any security-related incident in a timely manner according to the following guidelines:

(b) Incident Reporting

There are various types of Incident Reporting: Serious Incident Report (SIR); Incident Report (IR); Situation Report (SITREP); and any other security-related report that will be required by USAID.

(i) Serious Incident Report (SIR)

- An incident that involves the death, injury, kidnapping of implementing partner (IP) personnel and/or damage to IP property;
- An incident that has critically damaged the funded program, such as fire, catastrophic flood, etc.;
- Initial SIR must be reported orally immediately, and within four (4) hours of the incident occurrence/discovery;
- A complete SIR must be filed in writing/e-mail within 24 hours of the incident;
- Updated written SIR will continue to be filed in a timely basis (daily, weekly) as long as the situation exists. The timeline will be adjusted as required by USAID-Nigeria Safety & Security Office; and
- Final Report SIR will summarize the incident, the subsequent happenings and the final resolution.

(ii) Incident Report (IR)

- An incident involving accidents, potential harm, suspicious persons or acts, threats or harassing actions against personnel or the program.

- IR should be initially reported orally immediately, followed up with a written report filed as soon as possible (within 24 hours). After the incident is evaluated, a complete detailed written report must be submitted to USAID-Nigeria, not later than 72 hours after the incident.

(iii) Situation Report (SITREP)

- A report that a significant, but not critical action or activity, has taken place that has impacted, or may impact, on the well-being of the personnel or the success of the program.

- This report will describe trends, second-hand information that will have bearing on the activity, or impact on future operations.

- There is no pre-determined reporting timeline. The report will be issued as needed and required by USAID Nigeria Safety & Security Office.

Telephonic communication is the preferred method to provide the initial information of an incident. A written report by e-mail must follow as soon as possible within above described guidelines and it must be as detailed as possible. The report must follow the format approved in the original Security Plan but at a minimum it must contain the name of the IP or sub-awardee, name of the victim(s), date, time, a description of what happened, where the incident occurred, and any other relevant details surrounding the incident. If this is an ongoing incident, progress reports should be submitted in accordance with the guidelines provided in order to keep USAID/Nigeria security personnel apprised of the situation.

e. **Special Agreement Requirements**

Applicants must carefully consider the following special provisions to be incorporated in the resulting agreement:

(1) Security Conditions**:** The Recipient must be aware of security conditions in Nigeria, and by entering into an agreement, assumes full responsibility for the safety of its employees. Prior to commencing work, the Recipient must ensure that it has adequate procedures in place to advise its employees of situations or changed conditions that could adversely affect their security. In order to keep abreast of security conditions in Nigeria, the Recipient must seek information from all available sources, including the USAID Nigeria EXO/Safety & Security Office (SSO), for all areas in which its employees work or travel. The Recipient acknowledges that security conditions are subject to change at any moment, that USAID cannot guarantee the accuracy of any information that it may provide to the Recipient and that USAID assumes no responsibility for the reliability of such information. The Recipient has sole responsibility for approving all travel plans for its employees and/or their dependents traveling to post if allowed by the Recipient’s personnel internal policies. The Recipient will also be responsible for immediately notifying USAID Nigeria and the U.S. Embassy American Citizen Services section in the event a U.S. citizen employee does not return from travel as expected or does not report to work. In the event that USAID requests the Recipient to do so, the Recipient's Chief of Party (COP) must assume responsibility for contacting all of its employees. The Recipient must provide to the USAID Nigeria EXO/SSO the name, current address, and current home and/or cellular telephone number of the COP and of an alternate designated employee. The Recipient will be responsible for ensuring that the information on file in the USAID Nigeria EXO/SSO is up-to-date so that in an emergency, the COP or alternate representative can be reached immediately and he/she can rapidly contact all other affected employees.

The Recipient will be requested to notify the USAID/Nigeria Agreement Officer’s Representative (AOR) and EXO/SSO about any changes of the individual listed in the security plan as in charge of security.

Once the agreement is awarded, the Recipient must be required to submit a list of all personnel involved in the implementation of the activity, including subawardees' personnel. This is defined as all personnel of the Recipient and subawardees for whom at least a portion of their compensation is paid out of the activity budget. The required list must be submitted to the AOR and EXO/SSO no later than 30 days after the start date of the agreement and must be updated every quarter after the start date of the agreement and/or if a change of personnel happens.

(2) Security Protocol: The Recipient must develop a security plan to safeguard all activity operations and to comply with all United States Government regulations and Nigerian law. The plan is to be implemented and maintained also by all subcontractors (and/or sub-grantees). The security plan will be reviewed by the Agreement Officer in consultation with USAID/Nigeria's EXO/SSO.

The plan must include:

- Procedures for reporting and addressing security threats;
- Procedures for reporting any deaths related to the activity;
- Procedures for reporting and addressing any persons missing or kidnapping incidents;
- Name and contact information of security contact person for the head office and regional office(s); and
- An internal "cascade" list for communicating with staff, which should be updated/ maintained by the Recipient. The Recipient must provide the name, address and telephone numbers of the COP and their designee to USAID as principal contacts in case of security situations/emergencies. The Recipient will be responsible for passing information to their staff.

(3) Life Support and Security Services: The Recipient will be responsible for maintaining the security of its personnel, materials and equipment. All employees of the Recipient must meet the requirements of their work-site, which may include, but not limited to background checks, security/restricted area clearances, drug-free workplace, safety training and/or any other IP safety and security requirements.

The Applicant will provide USAID/Nigeria a Security Plan and budget for security costs as part of its application as further detailed in Section IV of this NOFO. The Security Plan and budget shall delineate and justify for reasonableness all costs and provide a coherent, overall integrated security plan that demonstrates that the Applicant has undertaken a thoughtful review of their security needs and includes analysis of the various elements of a security system.

***(4) Allowable Reimbursement for Security Training*:** USAID award recipients that would like to seek reimbursement for sending employees to security-related training will need to first seek approval from their AOR. Provided the cost associated with attending the identified training does not exceed the small purchase threshold outlined in their award, they will not need to notify their AO, although copying them on the correspondence seeking approval for attendance and reimbursement is recommended.

The request to attend and be reimbursed for the training will need to follow the usual Procurement Justification process. The request should identify who would be attending, the associated cost, and a justification. A justification with language similar to the following should suffice:

> *In Nigeria the ability to provide aid is being hampered by the rising security threats faced by humanitarian and development workers and the increasing difficulties they face in accessing affected populations. Security training is needed to train aid workers on how to help prevent incidents from happening and learning strategies to stay safe so services can be delivered. A good training program covering such topics as situational awareness, personal security, crisis and hostage management, defensive driving, first aid, and carjacking will provide Implementing Partners with the skills they need to work in potentially adverse areas of the country.*

The AOR will respond to requests for training within two (2) business days of receiving the request. Once the approval is received from the AOR, the requestor may proceed with taking the training.

Once the training has been completed, reimbursement is requested in the manner outlined in the organization's normal reimbursement process. If an awardee has a training line item in their approved budget, they are free to proceed without seeking approval from their AOR. If an award recipient is willing to absorb the cost of the training and does not intend to seek reimbursement, there is no need for them to notify their AOR.

f. **Conflict Mitigation Measures**

This Activity will assess risks resulting from bringing resources into communities that may have ongoing conflict dynamics, related to the activities in the scope of this activity, or may develop due to the activity. The Activity will use a conflict lens in the design of interventions, first, to "do no harm" second, to mitigate rather than fuel conflict; and third, to create a positive peace-building environment.

Rural conflicts are prevalent in Nigeria and are often linked to competition over natural resources, like pasture and water. A conflict assessment will be conducted at the start of the activity to understand local conflict dynamics related to the scope of the activity and flexibility in incorporating recommendations that will mitigate violent conflict into the activity. This assessment will enable the implementation team to understand and address the underlying causes of conflict-related violence, and identify and support opportunities for peace building. The implementer will conduct an overarching conflict assessment in collaboration with the FMARD, at the start of the Activity to understand local conflict dynamics. The Office of Economic Growth and Environment will work with the Office of Peace and Democratic Governance to ensure that work plans respond to conflict dynamics as interventions are deployed.

Care will be taken in supporting the spread of agriculture, particularly irrigated crop production, as most suitable land is often riparian and wetland adjacent areas that are crucial grazing at certain times in migrations. The conversion of these lands into farming areas is an historic agro-pastoral point of tension in the region. The local, state, federal and regional local pastoral corridors and grazing allowances should be observed and negotiated, if needed, at the community level to not exacerbate matters.

Greater emphasis will be placed on the changing dynamics of livestock keeping in the target areas, including: (i) most households, even those that practice crop agriculture, are dependent on livestock, (ii) livestock losses were suffered by both farmers and pastoralists, (iii) significant losses and insecurity have changed the nature of herding, with farmers and smaller pastoralists contracting hired herders to keep and move with livestock, (iv) herders tend to gather together in large herds when the security situation is unstable, (v) there is a relationship between criminal and insurgent groups and large herds related to levying taxes, livestock thefts, and ancillary businesses associated with various actors integrated into or following herds.

[END OF SECTION F]

SECTION G – FEDERAL AWARDING AGENCY CONTACTS

The under listed are the agency contacts for this NOFO:

Ms. Cheryl Hodge-Snead
Agreement Officer
Office of Acquisition &Assistance (OAA)
USAID/Nigeria
Email: chodge-snead@usaid.gov

And

Mr. Usen Akpan
Acquisition & Assistance Specialist
Office of Acquisition & Assistance (OAA)
USAID/Nigeria
Email: uakpan@usaid.gov

[END OF SECTION G]

SECTION H - OTHER INFORMATION

USAID reserves the right to fund any or none of the applications submitted. The Agreement Officer is the only individual who may legally commit the Government to the expenditure of public funds. Any award and subsequent incremental funding will be subject to the availability of funds and continued relevance to Agency programming.

Applications with Propriety Data

Applicants who include data that they do not want disclosed to the public for any purpose or used by the U.S. Government except for evaluation purposes should:

(a) Mark the title page with the following legend:

"This application includes data that must not be disclosed outside the U.S. Government and must not be duplicated, used, or disclosed - in whole or in part - for any purpose other than to evaluate this application. If, however, an award is made to this applicant as a result of - or in connection with - the submission of this data, the U.S. Government must have the right to duplicate, use, or disclose the data to the extent provided in the resulting award. This restriction does not limit the U.S. Government's right to use information contained in this data if it is obtained from another source without restriction. The data subject to this restriction are contained in pages___."; and,

(b) Mark each sheet of data it wishes to restrict with the following legend:
"Use or disclosure of data contained on this sheet is subject to the restriction on the title page of this application."

[END OF SECTION H]

ANNEX #1: Illustrative Summary Budget Format

Catergory	**Year 1 Example for Year 1 through Year 5**			**Grand Total**	
	Base/ Units	**Rate/ Unit Cost**	**Total**	**5-Year Total Base/Units**	**5-Year Total Amount**
Personnel a) Long Term Expatriate Staff b) Local Professionals b) Local Support Staff c) Home Office					$
Personnel Total					
Fringe Benefits a) Long Term Expatriate Staff b) Local Professionals b) Local Support Staff c) Home Office					$
Travel a) Entitlement Travel b) Programmatic Travel					$
Equipment a) Above $5,000 b) Below $5,000					$
Supplies					$
Contractual					$
Construction					$
Other Direct Costs (as applicable) Examples - a) Security Costs b) Consultants i) International/Regional ii) Local c) Allowances i) Long Term Expat ii)Short Term Expat d) Participant Training (including Tuition and Travel costs if any)					$
Total Direct Charges					$
Indirect Charges					$
a) Overhead b) G&A					$
Total Estimated Amount					$

ANNEX #2: Standard Provisions

(Note: the full text of these provisions may be found at: https://www.usaid.gov/ads/policy/300/303maa and https://www.usaid.gov/ads/policy/300/303mab). The actual Standard Provisions included in the award will be dependent on the organization that is selected. The award will include the latest Mandatory Provisions for either U.S. or non-U.S. Nongovernmental organizations**.** The award will also contain the following "required as applicable" Standard Provisions:

REQUIRED AS APPLICABLE STANDARD PROVISIONS FOR U.S. NONGOVERNMENTAL ORGANIZATIONS

Required	Standard Provision
YES	RAA1. NEGOTIATED INDIRECT COST RATES - PREDETERMINED (DECEMBER 2014)
YES	RAA1. NEGOTIATED INDIRECT COST RATES – PROVISIONAL (Nonprofit) (DECEMBER 2014)
YES	RAA3. NEGOTIATED INDIRECT COST RATE - PROVISIONAL (Profit) (DECEMBER 2014)
YES	RAA4. EXCHANGE VISITORS AND PARTICIPANT TRAINING (JUNE 2012)
Not Required	RAA5. VOLUNTARY POPULATION PLANNING ACTIVITIES – SUPPLEMENTAL REQUIREMENTS (JANUARY 2009)
Not Required	RAA6. PROTECTION OF THE INDIVIDUAL AS A RESEARCH SUBJECT (APRIL 1998)
Not Required	RAA7. CARE OF LABORATORY ANIMALS (MARCH 2004)
YES	RAA8. TITLE TO AND CARE OF PROPERTY (COOPERATING COUNTRY TITLE) (NOVEMBER 1985)
YES	RAA9. COST SHARING (MATCHING) (FEBRUARY 2012)
YES	RAA10. PROHIBITION OF ASSISTANCE TO DRUG TRAFFICKERS (JUNE 1999)
Not Required	RAA11. INVESTMENT PROMOTION (NOVEMBER 2003)
YES	RAA12. REPORTING HOST GOVERNMENT TAXES (DECEMBER 2014)
YES	RAA13. FOREIGN GOVERNMENT DELEGATIONS TO INTERNATIONAL CONFERENCES (JUNE 2012)
Not Required	RAA14. CONSCIENCE CLAUSE IMPLEMENTATION (ASSISTANCE) (FEBRUARY 2012)
Not Required	RAA15. CONDOMS (ASSISTANCE) (SEPTEMBER 2014)
YES	RAA16. PROHIBITION ON THE PROMOTION OR ADVOCACY OF THE LEGALIZATION OR PRACTICE OF PROSTITUTION OR SEX TRAFFICKING (ASSISTANCE) (SEPTEMBER 2014)

YES	RAA17. USAID DISABILITY POLICY - ASSISTANCE (DECEMBER 2004)
YES	RAA18. STANDARDS FOR ACCESSIBILITY FOR THE DISABLED IN USAID ASSISTANCE AWARDS INVOLVING CONSTRUCTION (SEPTEMBER 2004)
Not Required	RAA19. STATEMENT FOR IMPLEMENTERS OF ANTI-TRAFFICKING ACTIVITIES ON LACK OF SUPPORT FOR PROSTITUTION (JUNE 2012)
Not Required	RAA20. ELIGIBILITY OF SUBRECIPIENTS OF ANTI-TRAFFICKING FUNDS (JUNE 2012)
Not Required	RAA21. PROHIBITION ON THE USE OF ANTI-TRAFFICKING FUNDS TO PROMOTE, SUPPORT, OR ADVOCATE FOR THE LEGALIZATION OR PRACTICE OF PROSTITUTION (JUNE 2012)
YES	RAA22. UNIVERSAL IDENTIFIER AND SYSTEM OF AWARD MANAGEMENT (JULY 2015)
YES	RAA23. REPORTING SUBAWARDS AND EXECUTIVE COMPENSATION (DECEMBER 2014)
Not Required	RAA24. PATENT REPORTING PROCEDURES (DECEMBER 2014)
YES	RAA25. ACCESS TO USAID FACILITIES AND USAID'S INFORMATION SYSTEMS (AUGUST 2013)
YES	RAA26. CONTRACT PROVISION FOR DBA INSURANCE UNDER RECIPIENT PROCUREMENTS (DECEMBER 2014)
YES	RAA27. AWARD TERM AND CONDITION FOR RECIPIENT INTEGRITY AND PERFORMANCE MATTERS (April 2016)
Not Required	RAA28. PROTECTING LIFE IN GLOBAL HEALTH ASSISTANCE (MAY 2017)

REQUIRED AS APPLICABLE STANDARD PROVISIONS FOR NON-U.S. NONGOVERNMENTAL ORGANIZATIONS

Required	Standard Provision
YES	RAA1. ADVANCE PAYMENT AND REFUNDS (DECEMBER 2014)
YES	RAA2. REIMBURSEMENT PAYMENT AND REFUNDS (DECEMBER 2014)
Not Required	RAA3. INDIRECT COSTS – NEGOTIATED INDIRECT COST RATE AGREEMENT (NICRA) (DECEMBER 2014)
YES	RAA4. INDIRECT COSTS – CHARGED AS A FIXED AMOUNT (NONPROFIT) (JUNE 2012)
YES	RAA5. UNIVERSAL IDENTIFIER AND SYSTEM OFAWARD MANAGEMENT (July 2015)
YES	RAA6. REPORTING SUBAWARDS AND EXECUTIVE COMPENSATION (DECEMBER 2014)
YES	RAA7. SUBAWARDS (DECEMBER 2014)
YES	RAA8. TRAVEL AND INTERNATIONAL AIR TRANSPORTATION (DECEMBER 2014)

YES	RAA9. OCEAN SHIPMENT OF GOODS (JUNE 2012)
YES	RAA10. REPORTING HOST GOVERNMENT TAXES (JUNE 2012)
YES	RAA11. PATENT RIGHTS (JUNE 2012)
YES	RAA12. EXCHANGE VISITORS AND PARTICIPANT TRAINING (JUNE 2012)
Not Required	RAA13. INVESTMENT PROMOTION (NOVEMBER 2003)
YES	RAA 14. COST SHARE (JUNE 2012)
YES	RAA15. PROGRAM INCOME (DECEMBER 2014)
YES	RAA16. FOREIGN GOVERNMENT DELEGATIONS TO INTERNATIONAL CONFERENCES (JUNE 2012)
YES	RAA17. STANDARDS FOR ACCESSIBILITY FOR THE DISABLED IN USAID ASSISTANCE AWARDS INVOLVING CONSTRUCTION (SEPTEMBER 2004)
Not Required	RAA18. PROTECTION OF HUMAN RESEARCH SUBJECTS (JUNE 2012)
YES	RAA19. STATEMENT FOR IMPLEMENTERS OF ANTI-TRAFFICKING ACTIVITIES ON LACK OF SUPPORT FOR PROSTITUTION (JUNE 2012)
YES	RAA20. ELIGIBILITY OF SUBRECIPIENTS OF ANTI-TRAFFICKING FUNDS (JUNE 2012)
YES	RAA21. PROHIBITION ON THE USE OF ANTI-TRAFFICKING FUNDS TO PROMOTE, SUPPORT, OR ADVOCATE FOR THE LEGALIZATION OR PRACTICE OF PROSTITUTION (JUNE 2012)
Not Required	RAA22. VOLUNTARY POPULATION PLANNING ACTIVITIES – SUPPLEMENTAL REQUIREMENTS (JANUARY 2009)
Not Required	RAA23. CONSCIENCE CLAUSE IMPLEMENTATION (ASSISTANCE) (FEBRUARY 2012)
Not Required	RAA24. CONDOMS (ASSISTANCE) (SEPTEMBER 2014)
Not Required	RAA25. PROHIBITION ON THE PROMOTION OR ADVOCACY OF THE LEGALIZATION OR PRACTICE OF PROSTITUTION OR SEX TRAFFICKING(ASSISTANCE) (SEPTEMBER 2014)
Not Required	RAA26. LIMITATION ON SUBAWARDS TO NON-LOCAL ENTITIES (JULY 2014)
YES	RAA27. CONTRACT PROVISION FOR DBA INSURANCE UNDER RECIPIENT PROCUREMENTS (DECEMBER 2014)
YES	RAA28. CONTRACT AWARD TERM AND CONDITION FOR RECIPIENT INTEGRITY AND PERFORMANCE MATTERS (April 2016)
Not Required	RAA29. PROTECTING LIFE IN GLOBAL HEALTH ASSISTANCE (MAY 2017)

ANNEX #3: Abbreviations and Acronyms

ABE:	Activity Budget Estimate
ADS:	Automated Directive System
AO:	Agreement Officer
AO:	Assistance Objectives
AOR:	Agreement Officer's Representative
ASP:	Assistance Selection Plan
BFS:	Bureau of Food Security
CA:	Cooperative Agreement
CDCS:	Country Development Cooperation Strategy
CFR:	Code of Federal Regulations
CLA:	Collaborating, Learning and Adapting
COP:	Chief of Party
CPA:	Certified Public Account
CRS/M:	Climate Risk Screening/Management
DART:	Disaster Assistance Response Team
DCA:	Development Credit Authority
DCOP:	Deputy Chief of Party
DFID:	Department for International Development
DO:	Development Objectives
EG:	Economic Growth
EGE Office:	Economic Growth & Environment Office
EMMP:	Environmental Mitigation and Monitoring Plan
EU:	European Union
FAO:	Food and Agriculture Organization
FSN:	Foreign Service National
FY 2018:	Fiscal Year 2018
GAAS:	Generally Accepted Auditing Standards
GC:	General Counsel
GHCWG:	Government Humanitarian Coordination Working Group
GIS:	Geographic information systems
GIZ:	German Gesellschaft für Internationale Zusammenarbeit
GON:	Government of Nigeria
HL:	Health
IDPs:	Internally Displaced Persons
IEE:	Initial Environmental Examination
IM-level:	Implementing Mechanism Level
IMTF:	Inter-Ministerial Task Force
IP:	Implementing Partner
ISIS-WA:	Islamic State of Iraq and Syria in West Africa
LGAs:	Local Government Areas
LMR:	Livelihoods market recovery
M&E System:	Monitoring & Evaluation System
MEL Plan:	Monitoring, Evaluation, and Learning Plan
MCC:	Millennium Challenge Corporation

MLP:	Ministry Livestock Production
NOFO:	Notice of Funding Opportunity
NICRA:	Negotiated Indirect Cost Rate Agreement
OCHA:	United Nations Office for the Coordination of Humanitarian Affairs
OFDA:	Office of U.S. Foreign Disaster Assistance
OTI:	Office of Transition Initiatives
PAD:	Project Appraisal Document
PALT:	Procurement Action Lead Times
PD:	Program Description
PDG:	Peace and Democratic Governance
PPI:	Past Performance Information
RLO:	Resident Legal Officer
SAM:	System for Award Management
SC:	Selection Committee
SO2:	Strategic Objective 2
STWSSA:	Small Town Water Supply and Sanitation Agencies
TEC:	Technical Evaluation Committee
UN:	United Nations
UNDP:	United Nations Development Program
UNICEF:	United Nations Children’s Fund
USAID/Nigeria:	United States Agency for International Development, Nigeria
USG:	United States Government
WASH:	Water, Sanitation and Hygiene
WB:	World Bank
WCA:	Water Consumer Associations

ANNEX #4: Past Performance Information

Name of Applicant: ___________________________

Name of Evaluator: ___________________________

1. Award Number:
2. Contractor/Recipient (Name and Address):
3. Type of Award:
4. Complexity of Work: Difficult ____Routine ______
5. Description of the work performed, location, and relevancy of work:
6. Dollar Value of Work : _________________ Status: Active __Completed ___
7. Date of Award: __________ **Award Completion Date (including extensions): _______ _____**
8. Type and Extent of Subawards:
9. Name, Address, Telephone Number, and E-mail Address of the Awarding Contracting/Agreement Officer and/or the Contracting/Agreement Officer ’s Representative (and other references as applicable):

Based on your knowledge of the proposed applicant, please rate the applicant performance in the following areas:

1. **How well applicant performed.**

Comments:

2. **The relevancy of the work performed under the program.**

Comments:

3. **Instances of good performance.**

Comments:

4. **Instances of poor performance.**

Comments:

5. **Significant achievement.**

Comments:

6. **Significant problems.**

Comments:

7. **Any indications of excellent or exceptional performance in the most critical areas.**

Comments:

8. **Overall Rating:** Overall, how would you rate the applicant's performance?

- ❑ Exceptional
- ❑ Very good
- ❑ Satisfactory
- ❑ Marginal
- ❑ Unsatisfactory

Additional comments:

ANNEX #5: Sample Format for Initial Security Plan

INTRODUCTION

The items contained herein are to be considered a baseline in the development of a Security Plan. As this guidance was developed for use across the Agency, it cannot take into account all "on-the-ground" situations. Thus, developers should consider the augmentation of their security plans to meet specific threats and possible emergencies posed by the environment.

Each USAID partner will look at its security posture differently. The plan must include:

1) An opening statement of management responsibilities with a brief description that summarizes the corporate, company, and or organizational philosophy regarding security in general (high profile, low profile etc.) and specifically towards this program/project.

2) A description/summary with an overview of the particular program/project. The plan must also indicate the intended method of managing the "safety and security program" i.e. in house by a security manager or contracted to a third party.

3) A Threat Analysis and a Risk Assessment conducted by a competent authority, preferably a professional Security Expert. This product must cover all facets of the Applicant's operations (i.e. lodging, office, transportation, operational area, etc.)

   - Current and previous security situation (to include crime, insurgent activity, kidnappings, police and military operations, etc.) in the area(s) of proposed program/project activities, the company's offices, and employee living areas.
   - Previous security incidents that involved the company and/or its personnel or other organizations in the vicinity previous and current threats against the company and/or its personnel.

4) Location(s) of proposed program/project offices and activities.

5) Period of Performance of the award.

6) The company's current security plan (if applicable) including perimeter security (i .e. "11' high, l' foot thick, concrete and brick wall, with razor wire on top totaling approx. 13' that surrounds the facility/ies, CCTV system, 10' high metal entry/exit door manned by a *24/7* armed guard, with cabin, etc).

7) For requests of vehicles:
   - Number of vehicles requested
   - Vendor that will be utilized
   - Frequency of travel utilizing vehicles
   - Terrain
   - Driver Training Plan
   - Passenger orientation and driver training plan.

Note: Armored vehicles have different handling characteristics and drivers and perspective passengers should be trained in evasive driving techniques as well as handling the particular type of vehicle in emergency situations.

8) A security point of contact in case for questions or clarifications.

9) Planned methods to mitigate the threats, including evidence of an assessment or evaluation of alternative security precautions. These may include but not be limited to: Issuance and use of two-way radios and/or other communication networks, upgrading buildings, deploying guards and/or guard force, CCTV system, or purchasing additional vehicles as recommended by security experts, assessing the manner in which the FAV is envisaged to be used in terms of safety etc.

10) A cost breakdown along with comprehensive budget narrative. Initial funding request should be identified broken out by line item and incremental funding identified capturing annual cost and overall funding limit for the life of the award.

Please note that the above items are not an all-inclusive list; there may be additional relevant information or items to be considered. Therefore, when submitting a Security Plan, all relevant and necessary information must be addressed/explained.

SECURITY COUNTERMEASURES

The following topics are not part of an all-inclusive list, but represent a guidance of the elements the developer should consider to protect life and property from attack, theft, or environmental loss. If any of the topics is not considered relevant for the specific program/project, a short statement outlining why the topic is not relevant to the plan should be included.

Physical Security for the Program/Project Office(s) and/or personnel residences

- Facility Location(s) – provide pertinent security information for each facility and/or residences
- Site Plan(s) / photographs
- Perimeter
    - Barriers (bollards/vehicle control/personnel access control/ditch)
    - Perimeter wall (anti-climb/construction)
    - Visitor and package/mail screening
    - CCTV coverage and data storage – method to monitor and security of the storage medium.
    - Lighting
    - Setback
- ‘Hardline’ protection
    - Wall construction
    - Man-passable openings
    - Doors and Locks

    - Windows and Shatter Resistant Window Film (SRWF)
    - Access control procedures
    - Eliminating climbable platforms if applicable
- Interior
    - SRWF
    - CCTV (archiving)
    - Imminent Danger Notification System type alarm
    - Safe room - procedures
    - Room locks
    - Emergency procedures posted, drilled, and documented

<u>Guard Force Considerations for the Program/Project Office(s) and/or personnel residences</u>

- Guard Force
    - Guard force duties
    - Staffing per shift
    - Equipment that will be issued (armed/unarmed etc.)
    - Shift hours (avoid 12 hour shifts)
    - Pre-hire screening
    - Documented training (rules of engagement, firearms, first aid etc.)

<u>Infrastructure</u>

- Power
    - Generator (back-up power) size
    - Fuel delivery and storage

- Other Considerations
    - Potable water source and emergency supply
    - Environmental factors (flood/seismic)
    - Proximity to emergency response
    - Fire safety, smoke and carbon-monoxide alarms
    - Emergency food stores

SAFETY & SECURITY POLICIES AND PLANS

Corporate, company, and or organizational policies and plans that are specific to the program/project should be addressed.

<u>Policies</u>
- Incident reporting (SIR, IR, SR, etc.)
- Weapons on the premises/
- Premises access
- Pre-hire staff vetting
- Branding (USAID and other)
- ID issuance and display

- Medical treatment
- Movement on foot and vehicular
- Vehicle accident
- Night letters and other threats to staff
- Visitors access procedures
- Safeguarding sensitive information
- Travel policies including local, field and international.
- Compliance with licenses under Nigeria laws.

Plans

- Communications plan (including emergency cascade phone list)
- Fire in/on the premises
- Bomb threat
- Emergency Evacuation from premises
- Emergency Evacuation area/country
- Personal Recovery/Kidnapping release plan
- Emergency Action Plan

STAFF TRAINING

Training should be addressed at the outset of the program/project with scheduled refresher training included. Additionally, all training should be documented and recorded. Drills to establish the level of comprehension should also be considered.

Operational Security
  - o Cell phone
  - o Travel
  - o Handling of sensitive information
  - o Public
- Environmental Awareness/Cultural Sensitivity
- First Aid – what supplies and capabilities will be on premises
- Driving/Passenger
- Counterintelligence

ANNEX #6: USAID/Nigeria Quarterly Reporting Standard Format for all IPs

ANNEX #7: Branding and Marking Requirement Waiver

[END OF ANNEXES]

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