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Program Title: Integrating WASH Services (I-WASH) Addendum to Diversifying Partnerships in WASH (DiP-WASH) - New Partnerships Initiative (NPI)

Catalog of Federal Domestic Assistance: 98.001, Foreign Assistance for Programs Overseas

Pursuant to the Foreign Assistance Act of 1961, as amended, the United States Government, as represented by the [U.S. Agency for International Development \(USAID\)](#), the [Bureau for Resilience and Food Security](#) and USAID/Guatemala, is announcing the Integrating WASH Services (I-WASH) Addendum to the Diversifying Partnerships in WASH (DiP-WASH) New Partnerships Initiative (NPI) Annual Program Statement (APS), hereafter known as the DiP-WASH APS.

USAID/Guatemala is committed to strategic partnerships as a means to increase the impact of its development work and make it sustainable. Partnerships enable USAID/Guatemala to leverage private sector and local organization assets, innovation, markets, and expertise. This (DiP-WASH) Addendum emphasizes partnerships that allow USAID/Guatemala to collaborate and jointly define development challenges with the private sector, identify the most impactful solutions, and address these through mutual contributions of resources. Through this (DiP-WASH) Addendum, USAID/Guatemala aims to increase engagement with local, new, and underutilized partners to expand and amplify the Agency's work through and with water and sanitation. The overall Agency goal is to increase localization, achieve sustainable and resilient results, and catalyze more effective partnering for impact. This Addendum disseminates information to prospective Applicants so they may develop and submit Concept Notes in response and ultimately to be considered for USAID funding. This Addendum describes and provides:

- The type of activities for which Concept Notes will be considered;
- Available funding, process and requirements for submitting Concept Notes and Full Applications;
- The Criteria for evaluating Concept Notes; and
- Refers prospective Applicants to relevant documentation and resources.

USAID/Guatemala anticipates awarding one (1) cooperative agreement under this Addendum. Issuance of this Addendum does not constitute an award or commitment on the part of the U.S. Government to make an award, nor does it commit the U.S. Government to pay for costs incurred in the preparation and submission of a Concept Note or Application(s). Applicants submit Concept Notes/Applications at their own risk, and all preparation and submission costs are at their expense. The actual number of assistance awards, if any, is subject to the availability of funds, as well as the viability of eventual full Applications received.

Based on the submitted Concept Note(s), USAID/Guatemala will determine whether to request a Full Application from an eligible organization. To be competitive under this Addendum to the DiP-WASH

APS, Concept Notes and Full Applications must be fully responsive to all directions under the addendum and the overall APS except when specifically noted otherwise in this Addendum.

It is the responsibility of the Applicant to ensure that the entire APS and Addendum Opportunity has been downloaded from www.grants.gov and 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 APS, please contact the grants.gov Helpdesk at 1-800-518-4726 or via email at support@grants.gov for technical assistance.

Thank you for your interest in USAID programs.

Sincerely,

Alina Menicucci
Agreement Officer
Office of Acquisition and Assistance
USAID/Guatemala

**U.S. AGENCY FOR INTERNATIONAL DEVELOPMENT
ANNOUNCEMENT
CALL FOR CONCEPT NOTES
INTEGRATING WASH SERVICES (I-WASH)
UNDER EXISTING
DIVERSIFYING PARTNERSHIPS IN WASH (DiP-WASH)
Annual Program Statement
“A New Partnerships Initiative”
No.: 7200AA21APS00004**

PLEASE NOTE: This is an Addendum to an existing annual program statement (APS) announcement. All interested organizations should carefully review both the Integrating WASH Services (I-WASH) Addendum AND the full announcement, which can be found here: <<https://www.grants.gov/web/grants/view-opportunity.html?oppId=331500>> . Important information contained in the full worldwide announcement is not repeated in the Integrating WASH Services (I-WASH) Addendum.

This activity is authorized in accordance with Part 1 of the Foreign Assistance Act of 1961, as amended.

Through the Integrating WASH Services (I-WASH) Addendum to the Diversifying Partnerships in WASH (DiP-WASH) Annual Program Statement (APS) No.: 7200AA21APS00004, the Bureau for Resilience and Food Security’s Center on Water Security, Sanitation and Hygiene (RFS/CW) and USAID/Guatemala seeks to improve health outcomes in Alta Verapaz, Huehuetenango, and Quiche by expanding and integrating quality WASH and WRM services and establishing a high performing WASH system.

Subject to the availability of funds, USAID/Guatemala anticipates awarding one (1) Cooperative Agreement of up to \$16,654,000 over the life of the award. USAID reserves the right to award more or fewer awards than this estimate and is not obligated to make any awards.

Unless otherwise stated herein, all terms and conditions of the DiP-WASH APS apply (<https://www.grants.gov/web/grants/view-opportunity.html?oppId=331500>).

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SECTION A: PROGRAM DESCRIPTION

The U.S. Agency for International Development is issuing this Addendum pursuant to the Foreign Assistance Act (FAA) of 1961, as amended. Any potential resulting award(s) will be subject to 2 CFR 700 and 2 CFR 200 – Uniform Administrative Requirements, Cost Principles, and Audit Requirements for Federal Awards and USAID’s Standard Provisions for U.S and Non-U.S Based organizations per ADS 303.

USAID/Guatemala - Integrating WASH Services (I-WASH)

I. SUMMARY

The USAID/Guatemala 2020-2025 CDCS elevated the role of water programming within its strategy to encompass water for human consumption, production, and the environment. As of 2017, 55.83% of Guatemalans have access to safely managed drinking water, 67.9% have access to basic sanitation, and 76% practice basic hygiene behaviors (WHO/UNICEF, 2020). However, the distribution of WASH services disproportionately varies between rural and urban areas. In order to address these gaps this activity will focus on water for human consumption as it relates to water supply, sanitation, and hygiene (WASH) and water resource management (WRM) approaches, in the departments of Alta Verapaz, Huehuetenango, and Quiché. To implement the integrating WASH Services (I-WASH) activity, USAID/Guatemala aims to professionalize the WASH sector, improve local and central level WASH policies and financing, and improve health and nutrition outcomes by involving the private sector, public entities, and indigenous communities/authorities.

II. GUATEMALA WATER SUPPLY, SANITATION, AND HYGIENE (WASH) CONTEXT

The challenges facing the WASH sector in Guatemala are significant. Access to safe water and sanitation is low in rural and urban areas and among low-income households. While coverage of at least basic drinking water access is relatively high nationally, rates are much lower among the rural poor. Improving WASH services will require, among other things, stronger political leadership to successfully reform and regulate the sector, greater focus on rural sanitation, and increased spending and budget execution.

Water Supply: As of 2017, 65% of urban households had access to safely managed drinking water. However, safely managed access in rural households is only 46%, and worse in lower wealth quintiles.¹ The lack of basic water access in Guatemala is predominantly due to inadequate investment in water services and poor water resources management (WRM) in rural areas². Although the average monthly cost of water almost doubled from 2006 to 2014, this did not result in a significant improvement in services.³

Sanitation: Low access to basic sanitation in rural areas carries across all wealth quintiles⁴. As public investments in the WASH sector have favored drinking water, sanitation coverage has fallen far behind, particularly in rural areas. The World Bank’s Poverty Diagnostic observed a positive and statistically significant correlation between no toilet and stunting and being underweight. The most pronounced differences in improved access to sanitation are due to education, employment sector, ethnicity and migrant status of the household head.⁵

¹ Joint Monitoring Project (JMP), WHO and UNICEF, <https://washdata.org/data/household#!/>, accessed on April 17 2021

² World Bank. (2018)

³ *ibid*

⁴ improved sanitation facilities are those designed to hygienically separate excreta from human contact (<https://washdata.org/monitoring/sanitation>)

⁵ <https://openknowledge.worldbank.org/bitstream/handle/10986/29454/W17026.pdf?sequence=7&isAllowed=y>

Hygiene: The most recent assessments found that indicators of basic hygiene behaviors (defined as presence of a handwashing facility with soap and water on premises⁶) were low in the poorest quintiles in both urban and rural settings, but still only around 90 percent in the highest wealth quintiles. This is most likely due to the poor functionality and reliability of water systems. Surveys typically show a high level of awareness of the importance of hand hygiene, and this has been further emphasized throughout the COVID-19 pandemic. However, without running water, handwashing is more difficult and when stored water runs out completely, handwashing is impossible.

According to USAID’s Journey to Self-Reliance country specific indicators, the **Child Health Index** is primarily used as a WASH indicator to underscore the importance of WASH services on health and nutrition. This index is made up of the proportion of the population with access to basic water services, the population with access to basic sanitation, and the under-five mortality rate. Guatemala scores 0.82 out of 1.0. However, the actual WASH access context is far lower. Further, the **Government Effectiveness Index** also incorporates water and sanitation access in addition to many other government services. This demonstrates the importance of WASH on daily living standards of Guatemala’s citizens. Guatemala scores 0.38 out of 1.0.

III. ACTIVITY DESCRIPTION

GOAL

Improve health outcomes in Alta Verapaz, Huehuetenango, and Quiche by expanding and integrating quality WASH and WRM services and establishing a high performing WASH system.

THEORY OF CHANGE

IF USAID/Guatemala implements an integrated WASH Services and WRM service approach that improves governance of local and central level WASH systems; professionalises and increases capacity in the WASH and WRM sectors (including the creation of more inclusive employment opportunities); ensures equitable access to high quality WASH and WRM services; and increases the involvement of new private sector actors, **THEN** services will be expanded and optimal health outcomes will be obtained. The goal of I-WASH will be met by implementing evidence-based and creative interventions for each of the following four objectives and intermediate results.

<u>OBJECTIVE 1</u>	<u>INTERMEDIATE RESULTS</u>
Increased Accountability and Inclusivity of WASH and Water Resources Governance.	1.1 Policies are Implemented, Monitored and Adhered To. 1.2 Equitable and Sustainable WASH & WRM Services Budgets and Expenditures Prioritized. 1.3 Institutional Governance is Improved.

Rural water systems operate under an unsupported community-based management service delivery model with little government involvement to ensure reliable water service delivery, and maintenance support. This has resulted in frequent breakdown of infrastructure and poor services delivered to users. Central and Municipal government budgets do not allocate adequate funding to the WASH sector, and the funding provided is not targeted to the most vulnerable populations. This objective seeks to improve national and local government policies, plans, regulations, standards, budgets and processes such that access to safe

⁶ <https://washdata.org/monitoring/hygiene>

drinking water, sanitation and hygiene, and improved water resources management benefit more Guatemalans. Specifically, I-WASH seeks to address inequalities by increasing access and participation for marginalized and underserved groups in Guatemala, specifically youth, women, and indigeneous communities in decision making entities. I-WASH will ensure that WASH and WRM services are transparent, participatory, effective, efficient, and accountable.

Illustrative Interventions

- Strengthen mancomunidades' (consortium of municipalities) to function as service providers.
- Bridge indigenous water management methodologies with WRM best practices.
- Align the National Water and Sanitation Plan with the National Plan Katun.
- Support oversight and transparency of the national budget planning process for WASH activities.
- Increase the number of Municipal Water Companies (not privatized) as service providers.
- Develop and implement municipal WASH development plans with designated local resources.
- Strengthen municipal community-based managed services by mobilizing local resources.

<u>OBJECTIVE 2</u>	<u>INTERMEDIATE RESULTS</u>
Increased Professionalization and Capacity of WASH and WRM Services.	2.1 Organizational Readiness and Capacity are Strengthened. 2.2 WASH and WRM Workforces are More Inclusive. 2.3 Continuous WASH and WRM Research & Data Generated. 2.4 USAID WASH and WRM Implementation Capacity Increased.

A major barrier to sustainable, equitable and affordable services is a lack of accountability and capacity among service providers, such as in low-resource water and sanitation service providers. Similarly, a major barrier to effective water resources management is a lack of capacity in, and sustainable finance for cognizant basin authorities, institutions or water user entities. Skills may be lacking in financial management, human resources, allocation planning, data collection and utilization for decision-making, maintenance, or many other areas of operations. Low professional capacity in utilities creates a perceived risk to investors, perpetuating large gaps in funding for both capital expenses and operations and maintenance. In Guatemala, the majority of the formal workforce are men. Women and youth are absent from the workforce for many reasons, but the net impact is a missed opportunity for strengthening the WASH and WRM workforces and for strengthening economic empowerment for women and youth. This objective seeks to contribute to a professionalized WASH and WRM workforce through activities that benefit all relevant employers, employees, and trainees; and through a specific focus on enabling women, youth, and other underrepresented groups to enter the WASH sector, as a strategy for increasing access to high-quality sustainable services. With additional and obtainable employment opportunities in Alta Verapaz, Huehuetenango, and Quiche, Guatemalans will have additional reasons to choose not to migrate.

USAID/Guatemala currently houses various implementing mechanisms that implement WASH interventions across Guatemala. To improve coordination, I-WASH will serve as the lead implementing partner that brings partners together to advance the Mission's WASH objectives. Also, to incorporate evidence-based methodologies and approaches, I-WASH will serve as the Missions' hub to provide technical assistance to other implementing mechanisms across all offices. I-WASH will bring WASH and WRM expertise that can support intervention designs, pivots, monitoring, evaluation, research, and learning for mechanisms that seek support and avoid duplication of efforts.

Illustrative Interventions

- Enhance the Ministry of Health and Health Area Directorate (DAS) technical and personnel capacity to equitably carry-out water quality assurance in urban and rural areas of interventions.
- Utilize information systems to capture, analyze, and monitor WASH service delivery and begin the improvement process to ensure municipal compliance.
- Scale up of water infrastructure preventative maintenance programs.
- Increase the WASH sector (all levels) employment opportunities for youth and women of indigenous descent.
- Identify academic and vocational training institutions to incorporate WASH and WRM employment tracks and ensure post employment opportunities.
- Professionalize and legalize community-based service providers to access municipal resources and private sector loans.
- Generate up to date WASH and WRM landscape analysis of the areas of interventions.
- Establish USAID/Guatemala's Water Implementing Mechanism Collaboration Pod to coordinate, share best practices, and avoid duplication of efforts in the target area.

<u>OBJECTIVE 3</u>	<u>INTERMEDIATE RESULTS</u>
Improved WRM and Increased WASH Service Quality Along the Full Service Ladders.	3.1 Basic and Safely Managed Sanitation Services Increased. 3.2 Basic and Safely Managed Drinking Water Services Increased. 3.3 Water Resources Management Improved. 3.4 Behaviors that Support Improved WASH Increased.

Despite significant progress in expanding access to safe drinking water, and progress, though less so, in expanding access to improved sanitation and hygiene, large gaps remain and the services that exist often are not high quality. The higher the level of service, the greater the gaps in data, particularly those related to feces capture, transport and treatment; regulation and monitoring of water quality and fecal sludge management; water and sanitation safety planning and risk management; and more sustainable and equitable management of the water resources that underpin drinking water service delivery. This objective aims to expand WASH services in Alta Verapaz, Huehuetenango, and Quiché. Significant data gaps result in the inability to monitor improvements in water resources management or the quality of water and sanitation services. Guatemala is poised to move from basic services to safely managed services in certain areas of interventions, yet surveillance and monitoring capacity becomes a more apparent gap. As a result, efforts to improve water resources management and increase the quality of drinking water and sanitation services are interdependent with efforts to build national and central government capacity to monitor these services, particularly through national information management systems and national statistics offices. To ensure evidence-based interventions adapted to the Guatemalan context, ongoing WASH and WRM research is to be produced and used for program pivots, improvements, and behavior change interventions.

Illustrative Interventions

- Introduce human centered design to promote healthy products and behaviors.
- Increase acceptability of paying higher water service fees.
- Generate capital grants to rehabilitate safely-managed sanitation facilities and upgrade water systems.
- Implement community wide fecal sludge management plans.
- Design and implement multi-language WASH SBC interventions advocating for WASH.

- Incorporate the mayan perspective/cosmovision into WASH and WRM interventions.

<u>OBJECTIVE 4</u> Strengthened WASH Markets.	<u>INTERMEDIATE RESULTS</u> 4.1 Inclusive Business Climate for the Private Sector Improved. 4.2 Viability of WASH Businesses Increased.
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Massive public investments are required but private investments are essential to delivering affordable, sustainable, high quality water, sanitation, and hygiene services. The inclusion of new private sector partners, and increased engagement with existing private sector partners, will be critical for this activity. There is a low level of private sector activity in the WASH sector in Guatemala. In most of the country, there is a lack of affordable sanitation products which are desirable and hygienic. Private sector sanitation-related businesses (such as septic tank emptiers, vacuum truck owners, and toilet masons) do not have a significant reach into rural areas and their business models are poorly developed. Water service providers are largely community water committees which do not have a legal basis for taking repayable loans in order to expand or replace aging infrastructure. Furthermore, banks and micro-finance institutions are unfamiliar with the WASH sector and therefore are not willing to offer financing in these sectors. As a result both water and sanitation service providers struggle gaining access to repayable finance required to make the required investments to improve services. Private sector opportunities disproportionately do not allow women to participate in obtaining loans nor establishing small businesses.

Illustrative Interventions

- Conduct a sanitation market assessment to segment the market into different customer profiles.
- Identify private sector financial institutions that would lend water committees or individuals the funds needed to construct improved sanitation facilities or community level wastewater facilities.
- Identify small and medium WASH service enterprises and build their capacity to provide affordable and desirable WASH services and/or products in the area of intervention.
- Promote and support women and youth of indigenous descent to establish or scale up their small and medium WASH service enterprises.

IV. GEOGRAPHIC FOCUS

Over the next five year, USAID/Guatemala will invest in delivering high quality healthcare services in maternal and child health, nutrition, and family planning and social behavior change interventions across 18 municipalities of the departments of Huehuetenango and Quiche. To ensure a holistic approach that improves health outcomes within these communities, I-WASH will implement WASH and WRM interventions in the same municipalities. However, the I-WASH will have the opportunity to propose additional municipalities or remove municipalities where other USAID/Guatemala WASH interventions are operating. Duplicating efforts is not the goal, but rather maximizing reach with planned investments. Specifically, I-WASH will be expected to coordinate with the Health and Education Office's Health and Nutrition activity and Breakthrough-Action activity. USAID/Guatemala will also invest in 10 municipalities of the department of Alta Verapaz. As Guatemala's poorest department with the lowest WASH indicators, investing in WASH services will serve as a first step towards obtaining optimal health outcomes. I-WASH will have the liberty to propose a mix of urban, peri-urban, or rural municipalities with the best possibility of activity success. USAID will plan to invest additional health and nutrition resources (if available) to complement I-WASH's interventions to create a holistic health and WASH approach. Fostering collaboration between the Mission's agriculture, education, governance, and environment interventions implemented in the same geographic area will be expected to maximize results and strategically avoid duplication.

	Alta Verapaz	Huehuetenango	Quiche
Water Supply ⁷	44.1%	78.9%	83.3%
Sanitation ⁸	21%	37.3%	38.5%
Hygiene ⁹	59.2%	70.9%	71%
Poverty Rate ¹⁰	Unknown	73.8%	74.7%
Returnees ¹¹	83.1%	11,676	5105

V. LESSONS LEARNED FROM PREVIOUS ACTIVITIES

I-WASH was conceived based on a need to consolidate learning and evidence generated by previous and ongoing USAID/Guatemala activities. Despite a limited Water Directive being programmed by USAID/Guatemala, the Mission's Implementing Partners selected water as the theme for a workshop in 2016 due to the centrality to their work. Nexos Locales scaled up their work on improving municipal capacity by focusing on water services. Communities Leading Development conducted a participatory appraisal of 200 communities' development priorities and over 70% had a top priority related to WASH. Work with POPOYAN and MANCUERNA demonstrated the difficulty in improving hand hygiene with poor water system reliability and lack of adequate sanitation facilities for at-risk populations. The I-WASH activity is expected to build from the lessons learned of these activities and define a more integrated intervention that addresses all aspects of WASH and WRM in a coordinated fashion.

VI. RELATIONSHIP WITH MISSION PRIORITIES

This I-WASH activity directly links to CDCS Objective 2 "Partner with the GOG and other stakeholders to strengthen effective and accountable governance to improve quality of life and deter illegal immigration", IR 2.2 "Improved quality of social services (health, education, water)" and IR 2.3 "Expanded bridging of indigenous systems with social services". I-WASH will target youth, women, and indigenous communities as beneficiaries and implementers. Additionally, I-WASH will serve as a fundamental instrument to advance the Bilateral Health Program's service delivery and decentralization objectives. Ensuring improved WASH services, employment opportunities in the WASH sector, and improved political governance is critical to address one of the drivers of migration USAID/Guatemala is determined to address.

Over the years, various implementing mechanisms have received WASH earmark funding to implement specific WASH interventions. To maximize the use of WASH earmark funding assigned to USAID/Guatemala, I-WASH will serve as the Mission's primary mechanism designed to house this funding, comply with WASH directive guidance, and report on WASH specific PPR indicators and results that reflect I-WASH's integrated implementation approach. I-WASH will advance USAID/Guatemala's water objectives as reflected in the CDCS.

⁷ Fuentes mejoradas de abastecimiento de agua incluye tubería tanto dentro de la vivienda como fuera, pero dentro del terreno y chorro público. Ref. INE, Encuesta Nacional de Condiciones de Vida 2014. Diciembre, 2015.

⁸ Incluye inodoro conectado a red de drenaje, inodoro conectado a fosa séptica y excusado lavable. Ref. INE, Encuesta Nacional de Condiciones de Vida 2014. Diciembre, 2015.

⁹ Ministerio de Salud Pública y Asistencia Social, INE. VI Encuesta Nacional de Salud Materno Infantil 2014-2015. Guatemala, Enero, 2017.

¹⁰ Instituto Nacional de Estadística, Guatemala. República de Guatemala: Encuesta Nacional de Condiciones de Vida 2014. Diciembre, 2015.

¹¹ OIM/ONU Migración

ANNEXES

A. INCLUSIVE DEVELOPMENT SUMMARY

Indigenous Cosmovision of Water

The Mayan population of Guatemala has treasured and honored water as a sacred element of life for countless generations. The divine conception of water defines water as a living and sacred entity, which triggers the immense respect and responsibility to take care of water sources. For various indigenous communities living in Guatemala's Western Highlands, water lives, feels, cries, and can die if humans do not value its life. This conception of water is known as the Mayan cosmovision of water.

The Popol Wuj describes the relationship between humans and water and the value water holds for all living beings. The cyclical nature of water reflects the universe and life. Water is created in the skies, lands on earth, where it runs freely and reaches earth's deepest corners to later return to the sky and restart its cycle. Water is the first space where the gods and creators began to create the world.

To the indigenous communities, water was categorized as a human right far before western civilization adopted the same perspective. Managing water resources from water springs and its use within the forest remains as a central core value because of its divine and sacred meaning. Water, from the indigenous perspective, is administered and managed autonomously by communities and not necessarily seen as the responsibility of local and central level governments. Water belongs to everyone within the communities and access to it is fundamental. In other words, indigenous communities have long implemented what western civilization calls water resource management (WRM).

Indigenous communities manage their water resources with organized water committees and plumbers (fontaneros). Water assemblies are held on a regular basis where the elected water committee defines their own rules, regulations, membership, and financial investment, all of which are designed to manage water sources as a system at the community level. Water committees identify their own financial gaps and every member is expected to provide a contribution for the service that the water committee offers each member household. Specifically, the water committee provides the following five services:

1. Conservation and protection of water springs.
2. Restoration of water recharge areas through reforestation.
3. Monitoring and maintenance of the entire water system.
4. Monitoring of water quality for human consumption to avoid contamination.
5. Elaboration of proposed rules and regulations for internal water resource management.

In forming rural water committees, indigenous communities are assuming a role of the state: to ensure the proper management of water. Indigenous communities value water, which encourages proper use, management, and respect of the resource. Indigenous communities embrace fellowship, honesty and transparency as key social norms that support water committees in successfully managing and maintaining their water systems. Despite the known success, the Guatemalan government needs to assume a stronger regulatory role in order to better support water committees and fill remaining gaps. Water resource management is fundamental in areas with scarce access to water given its high demands, oversuse, and population growth. Governments should support water committees by equipping them with tools to protect recharge areas, water system rehabilitation materials, and institutionalize budget line items to support existing water committees and expand water service coverage.

WASH and Gender

Women play a critical role in managing water within indigenous communities. They are the main user of the resource in households of the Western Highlands where traditional gender norms still continue to hold strong. Mothers are educators. They teach their children about the proper management of water within the household. Women also have the opportunity to serve on democratically elected water committees. They can vote and exercise all duties men would within a water committee. However, their voice and influence may vary depending on the gender dynamics of the individual water committee. Additionally, women who serve in water committees serve as educators to other women within the committees. Women have a competitive advantage in ensuring that key information reaches children and other women.

This program description will adopt the comprehensive gender assessment of the Global APS. Please see section 1 of the APS. USAID/Guatemala expects that prospective applicants fully embrace the indigenous perspective, and pay special attention to the roles and needs of women and girls, in the elaboration of their proposals and interventions.

Water Security and Migration

Despite the common narrative that people are ‘pushed’ from areas where water is scarce and ‘pulled’ toward areas with more access (Jónsson, 2010), the relationship between migration and water is not so straightforward. Individual migration decisions are complex and consider social, economic, political, and institutional factors (Afifi, 2011; Miletto et al., 2017), and large-scale migrations have multiple causes. What is clear, however, is that climate change and associated water scarcity is creating vulnerability among people whose livelihoods are based on subsistence rain-fed agriculture. Even when migration may seem to be caused primarily by economic considerations and food insecurity, the root cause may be climatic (Milan et al., 2014).

Climate change has impacts on water availability and quality, jeopardizing social stability and job prospects for younger generations. Climate change impacts, including water scarcity, are expected to lead to employment losses across the global economy, especially among heavily water-dependent jobs like those in agriculture (WWAP, 2016). Water scarcity contributes to food insecurity which leads to social instability, which in turn can trigger migration patterns throughout the world (WWAP, 2016).

The role of water and sanitation services as a factor in migration, however, is not clear. Although improved access to basic services is often cited as a factor pulling people to cities, it is rarely mentioned by migrants as a reason for migration (WEF, 2017). WASH services may shape factors like jobs, food availability, and living standards, but it is unlikely that people move to a city solely for improved WASH services (Salik et al., 2017).

When people migrate, they may leave an impact on the WASH services in their origin communities. Male out-migration can shift responsibilities in the home increasing the burden on women to secure water and care for livestock (Afifi, 2011; Salik et al., 2017). And where women are marginalized in local water management systems, male out-migration can cause further stress (Miletto et al., 2017).

As people experience food insecurity and abandon their farms, they gravitate towards cities. These cities overcrowd, stretching infrastructure, services, and resources to their limits. Researchers warn that these strains on society breed extremism and chaos, as people congregate in slums with little water and are left vulnerable to disasters (Lustgarten, 2020). The good governance of water resources is a critical element when improving overall service delivery in communities with high migration links. As such, improving

WASH and WRM governance and availability will serve as a critical component that I-WASH will be expected to invest in and to conduct further research of the link between migration patterns and WASH.

B. RESULT FRAMEWORK

- 1. Increased Accountability and Inclusivity of WASH and WRM Governance.**
 - 1.1. Policies are implemented, monitored, and adhered to.
 - 1.2. Equitable and Sustainable WASH & WRM Services Budgets and Expenditures Prioritized.
 - 1.3. Institutional governance is improved.
- 2. Increased Professionalization and Capacity of WASH and WRM Services.**
 - 2.1. Organizational Readiness and Capacity are Strengthened.
 - 2.2. WASH and WRM Workforces Are More Inclusive.
 - 2.3. Continuous WASH and WRM Research & Data Generated.
 - 2.4. USAID WASH and WRM Implementation Capacity Increased.
- 3. Improved WRM and Increased WASH Service Quality along the Full Service Ladders.**
 - 3.1. Basic and Safely managed sanitation services increased.
 - 3.2. Basic and Safely managed drinking water services increased.
 - 3.3. Water resources management improved.
 - 3.4. Behaviors that support improved WASH and WRM increased.
- 4. Strengthened WASH Markets.**
 - 4.1. Inclusive Business climate for the private sector improved.
 - 4.2. Viability of WASH businesses increased.

C. PROPOSED INDICATORS

WASH Indicators
HL.8.1-2: Number of people gaining access to safely managed drinking water services as a result of USG assistance.
HL.8.1-3: Number of people receiving improved service quality from an existing basic drinking or safely managed water service as a result of USG assistance.
HL.8.1-4: Number of institutional settings gaining access to basic drinking water services as a result of USG assistance.
HL.8.2-2: Number of people gaining access to a basic sanitation service as a result of USG assistance.
HL.8.2-3: Number of people gaining access to safely managed sanitation services as a result of USG assistance.
HL.8.2-4: Number of basic sanitation facilities provided in institutional settings as a result of USG assistance.
HL.8.2-5: Percentage of households with soap and water at a handwashing station commonly used by family members.

HL.8.2-7: Number of people receiving improved sanitation service quality from an existing "limited" or "basic" service.

HL.8.3-3: Number of water and sanitation sector institutions strengthened to manage water resources or improve water supply and sanitation services as a result of USG assistance.

HL.8.4-1: Value of new funding mobilized to the water and sanitation sectors as a result of USG assistance.

HL.8.5-1: Number of people benefiting from the adoption and implementation of measures to improve water resources management as a result of USG assistance.

CBLD-9 Percent of USG-assisted organizations with improved performance.

Maternal and Child Health Indicator

HL.8.1 - Suite of indicators on improving access to safe drinking water services

HL.8.2 - Suite of indicators on improving access and practice of safe sanitation and hygiene indicators

Note: HL.6.7 funds must report on one of the above suite of indicators

Illustrative Custom Indicators

1. Number of community or municipal water service providers which are creditworthy.
2. Liters of water saved through reducing water system water leaks and non-revenue water.
3. Increase in water service provider revenues.
4. Percent of national, departmental, or municipal budgets contributing to drinking water, sanitation, and hygiene service delivery.
5. Number of indigenous community/organization partnerships developed to improve community WASH and WRM capacity.

SECTION B: FEDERAL AWARD INFORMATION

Issuance of this Integrating WASH Services Addendum does not constitute an award commitment on the part of the U.S. Government, nor do those commit the U.S. Government to pay for any costs incurred in the preparation or submission of questions, comments, suggestions, Concept Notes, and/or Full Application. Applicants submit Concept Notes/Applications at their own risk, and all preparation and submission costs are at their expense.

A. Estimate of Funds Available and Number of Awards Contemplated

USAID/Guatemala anticipates awarding one (1) Cooperative Agreement under this Integrating WASH Services Addendum to the DiP-WASH APS. The actual number of assistance awards, if any, under this Addendum is subject to the availability of funds and the interests and requirements of USAID/Guatemala, as well as the viability of eventual Applications received.

Subject to the availability of funds, USAID intends to provide \$16,654,000 in total USAID funding over a five-year period.

B. Start Date and Period of Performance for Federal Award

The anticipated period of performance is five years. The estimated start date is December 2021.

C. Type of Instrument

Awards that result from this Integrating WASH Services Addendum may take the form of a cooperative agreement. The [Shock Responsive Programming and Adaptive Mechanisms](#) guide can help inform how to make an award that can be responsive to a context subject to recurrent crises or conflict.

D. Substantial Involvement

USAID will be substantially involved in this Cooperative Agreement to help the Recipient achieve the agreement objectives in the following manner:

- a. Approval of the Recipient's Implementation Plans: The Agreement Officer Representative (AOR) will review and approve the annual work plans.
- b. Approval of Specified Key Personnel: The Agreements Officer (AO) will approve key personnel.
- c. Agency and Recipient Collaboration or Joint Participation:
 1. The AOR will review and approve the Activity Monitoring, Evaluation, and Learning Plan, including indicators.
 2. The AOR will have the authority to modify submission due dates for Plans and Reports. Changes will be communicated to the Recipient in writing.

3. The Recipient will work with USAID Guatemala to establish an advisory committee for the Activity per ADS 303.3.11.c.(1). The AOR will participate in meetings with the proposed advisory committee to deal with programmatic and technical matters such as reviewing the strategy and providing feedback on adapting activities.
4. AO will approve all subawards under this Cooperative Agreement. The term sub-awards includes both sub-agreements and contracts under assistance.
5. Agency authority to immediately halt an award activity: The Agreement Officer may immediately halt an award activity if identified specifications are not met.

E. Authorized Geographic Code

The geographic code for the procurement of commodities and services under this program is 937. Code 937 is 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.

F. Special Award Requirement Relating to the Prohibition on Certain Telecommunication and Video Surveillance Services or Equipment (November 2020)

USAID has been granted a temporary waiver under Section 889(d)(2) that will allow the recipient to use award funds through September 30, 2022, to procure certain telecommunications and video surveillance services or equipment as specified in the standard provision “Prohibition on Certain Telecommunication and Video Surveillance Services or Equipment (AUGUST 2020).” Based on this waiver, all costs incurred for covered telecommunications and video surveillance services or equipment will be allowable through September 30, 2022, without regard to the standard provision “Allowable Costs” and the cost principle at 2 CFR 200.471.

Procurements made on or after October 1, 2022, will be unallowable in accordance with the standard provision “Allowable Costs” and 2 CFR 200.471, or the Standard Provision “Prohibition on Certain Telecommunication and Video Surveillance Services or Equipment” for non-US recipients

SECTION C: ELIGIBILITY INFORMATION

A. Eligible Applicants

USAID defines “Implementing Partners” as U.S. and non-U.S. non-governmental organizations that can design and implement assistance activities outside the United States. All Implementing Partners must be legally registered entities under applicable law and eligible under the relevant laws to receive funding from a foreign source. Individuals, unregistered, or informal organizations are not eligible to be Implementing Partners. NPI provides further details on eligibility, depending on the approach to partnership.

All eligible interested organizations are restricted to submitting only one Concept Note as the **Prime Applicant** at any given time. If more than one Concept Note is received with the same Prime Applicant, USAID will seek written clarification from the relevant entity regarding which Concept Note should be considered for review. If clarification is not resolved within five (5) business days, all Concept Notes submitted by the Applicant will be deemed ineligible.

Note: Please note that Applicants can serve as sub-awardees or supporting partners on multiple Concept Notes.

Concept Notes must utilize one of the following Partnership Approaches:

Approach #2: Mentoring Awards

Approach #2 allows for partners of any size to apply to serve as Prime recipients without eligibility restrictions, unless further clarified in DiP-WASH Addenda, but requires that the Prime sub-grant 50% or more of the total award to organizations that meet both New and Underutilized Partner (NUP) criteria and local entity or locally established partner criteria¹². This Modality requires large entities with past experience working with USAID to transfer knowledge and capacity to new and underutilized partners through formal and informal mentoring as well as through sub-granting.

Approach #3: Leverage Awards

Approach #3 allows for partners of any size to serve as Prime recipients without eligibility restrictions, unless further clarified in DiP-WASH Addenda, but requires that Primes meet a minimum of a 1:2 cash or in-kind leveraging of other public or private sector resources. Consortia Members are encouraged to include partners that meet NUP eligibility criteria. Primes are encouraged to meet the 1:2 leverage requirement through in-kind technical support to help build the capacity of new or underutilized partners and other local stakeholders.

Please refer to the DiP-WASH APS for additional information on eligibility requirements for Addendum under the APS.

B. Cost Sharing or Matching

USAID has established a cost share minimum of ten (10) percent for the award. Such funds may be provided by the recipient; other multilateral, bilateral, and foundation donors; host governments; and local

¹² Please visit <https://www.usaid.gov/npi> for definitions of local entities and locally established partners

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. For guidance on cost sharing in grants and cooperative agreements see 2 CFR 200.306.

In addition to the required cost share, NPI applicants are encouraged to provide leverage based on their proposed technical approach.

SECTION D: APPLICATION AND SUBMISSION INFORMATION

A. Agency Point of Contact

Alina Menicucci
Agreements Officer

Fabiola Loy
Senior Acquisition and Assistance Specialist

email: guatemalaproposals@usaid.gov

For any questions regarding this Integrating WASH Services Addendum should be submitted in writing to guatemalaproposals@usaid.gov no later than the date and time indicated on the cover letter, as amended. USAID/Guatemala will furnish promptly to all prospective Applicants, as an amendment to this Addendum, any information concerning this Addendum given to a particular prospective Applicant, if that information is necessary in submitting Applications, or if the lack of it would be prejudicial to any other prospective Applicant.

If an award is made, the Agreement Officer (AO) will appoint an Agreement Officer's Representative (AOR) at that time to provide technical and administrative oversight of the specific award during implementation.

B. Content and Format of Application Submission

The application process for Integrating WASH Services Addendum will happen in four phases:

1. An open call for a brief (5-page) Concept Note;
2. Review of concept notes by USAID as outlined below;
3. In-person and/or virtual co-creation discussions and/or workshop(s) with selected Concept Note(s), by invitation only; and
4. Submission and review of Full Application(s), by invitation only.

USAID/Guatemala will be responsible for the review of Concept Notes and Full Applications and management of any subsequent awards issued under this Addendum. Additional information about each phase of the Application and Review process is provided below.

Concept Note Submission

All concept notes must be prepared and submitted in English using the provided template (see Attachment) on www.grants.gov. Respondents are asked to download the template from grants.gov in Word format, provide their responses in that document, and email a PDF saved copy of the document to guatemalaproposals@usaid.gov with the file name saved as: "I-WASH – [name of organization] - Concept Paper." **Concept notes must be five (5) pages or less**, single-spaced with 12 point Times New Roman font and one-inch margins on the electronic equivalent of 8.5 x 11 inch paper. Content above five pages will not be reviewed. Concept notes are due on the date and time indicated on the cover letter, as amended. Concept notes submitted after the deadline will not be reviewed.

After a concept note is received, USAID/Guatemala reserves the right to request supplementary information or pose clarifying questions to any applicant. Requesting supplementary information or posing clarifying questions to one applicant does not obligate USAID to do so with all applicants, nor does it guarantee invitation to submit a full application.

Concept Note Review

Concept notes will be reviewed based on the proposed approach, feasibility and alignment with the above-referenced purpose of the Integrating WASH Services addendum. Additionally, concepts should be consistent with USAID legal and policy restrictions, including those set forth in USAID's Automated Directives System (ADS) and in the Foreign Assistance Act of 1961.

All terms and conditions of the FY 2021 DiP-WASH APS apply.

USAID/Guatemala anticipates notifying authors of concept notes within 60 days of submission if USAID/Guatemala wishes to engage in further discussions/co-creation, maintain the application in a pool for potential future engagement, or if USAID/Guatemala will not pursue further collaboration under the Integrating WASH Services addendum based on the submitted concept note.

Co-Creation Process

Subject to the availability of funds, USAID/Guatemala will invite a subset of the most highly-qualified concept note applicants to engage in a round of co-creation with USAID/Guatemala prior to submission of full applications. The aim of the co-creation phase is to further define activity objectives, design interventions, align timelines, and finalize budgets. Through discussions, both the applicant(s) and USAID/Guatemala may identify additional resources, partners, or strategies necessary to successfully implement the activity. This process may involve extensive discussions with USAID/Washington, USAID Mission staff, or other experts, within or outside of USAID. Co-creation may happen in-person or virtually, through video conference, and phone calls.

By applying to the Integrating WASH Services addendum, applicants of USAID/Guatemala have the right to share concept notes with appropriate external partners for the purposes of evaluation or co-creation. All parties privy to the contents of submitted concept notes, whether within or outside of USAID, will be required to keep contents in confidence. Additional information about the co-creation process can be found in the "Co-Creation" section of the umbrella DiP-WASH APS and through USAID's Co-creation Toolkits.

Note: Communication with USAID/Guatemala during the concept note/co-creation phase should NOT be interpreted as a commitment to funding or guaranteed request for a full application. Any expenses incurred by applicants during this time are solely the responsibility of the applicants, unless otherwise stated in writing by USAID/Guatemala .

If USAID/Guatemala decides to continue with the proposed activities following the co-creation phase, USAID/Guatemala may request a full application from applicants, inclusive of all modifications, expansions, discussions, etc. resulting from the co-creation phase and will provide a full application template for completion.

Full Application

USAID/Guatemala will only accept full applications from applicants invited to continue in the application process. It is expected that full applications will expand upon their concept note and incorporate any

discussions, ideas, plans, feedback or changes from USAID/Guatemala and other partners discussed during the co-creation phase. **Note: USAID/Guatemala's Request for Application (RFA) should not be interpreted as a commitment of funds.**

QUESTIONS

Questions regarding the substance and outcomes of the Integrating WASH Services Addendum should be directed to guatemalaproposals@usaid.gov. Questions regarding the substance and terms of the DiP-WASH APS umbrella should be directed to DiP-WASHAPS@usaid.gov and the subject line "Question - DiP-WASH APS Umbrella".

SECTION E: APPLICATION REVIEW INFORMATION

A. Review of Concept Notes and Full Application

Once a Concept Note has been submitted in response to the Integrating WASH Services Addendum, USAID will conduct an initial review of the Concept Note using the criteria outlined in the Merit Review Criteria and Considerations section below.

The purpose of the initial review and related communication is to determine whether USAID wishes to engage in further discussions regarding the proposed approach and activities. The initial review and communication will result in one of three outcomes:

- A decision to forego further consideration of the approach proposed in the Concept Note;
- An invitation to engage in more in-depth and specific co-creation discussions aimed at further developing the proposed approach and determining whether to request a Full Application.

B. Co-creation, Shared Responsibility, Collaboration, and Communication

Please see the DiP-WASH Umbrella APS for information on co-creation, shared responsibility, collaboration, and communication that applies to the Integrating WASH Services Addendum.

C. Merit Review Criteria and Considerations

USAID/Guatemala will use the following criteria to assess Concept Notes and Full Applications in response to Integrating WASH Services Addendum. Any Concept Note/Full Application submitted to this Addendum should propose an approach that satisfies these criteria and exhibits the characteristics set forth below.

Concept Notes and subsequent Full Applications will be assessed according to the following merit review criteria on an adjectival system; *Very Good, Satisfactory, and Marginal. The Criteria below are all of equal importance.*

Criterion 1 - Technical Approach

Extent to which the approaches articulated in the Concept Note or other response (a) offer a credible, evidence-based development hypothesis for the Objectives or Intermediate Objectives they seek to address and (b) demonstrate credible approaches to addressing the DiP-WASH Principles (sustainability; use of systems approaches; understanding of local context; equity and inclusion; and leveraging) as relevant.

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

Criterion 2 - Institutional Capability

Extent to which the Applicant demonstrates institutional capacity to (a) perform proposed activities, (b) build and manage relationships with host country stakeholders and with the U.S. Government, and (c) assemble high-quality technical teams.

Criterion 3 - Staffing Plan

Extent to which the proposed personnel (a) have the skills and resources necessary for successful implementation of the proposed activities and (b) include a plan for increasing diversity, equity and inclusion at every stage of program design and implementation.

Criterion 4 - Local Capacity Development

The extent to which the proposed Concept Note's proposed forms of engagement that increase the likelihood that local and locally established partners or the affected communities themselves will be able to continue the program's activities and/or maintain its achievements without funding from USAID (on a scale of 1 - 3; 1 represents none/minimal advancement, and 3 represents significant advancement): The use of the proposed form of engagement is likely to achieve 1) No or minimal chance of sustainment; 2) Some chance of sustainment; or 3) Significant chance of sustainment.

NOTE: At a minimum, Concept Notes should include illustrative indicators used to track progress, quality, and impact (custom or standard F indicators as applicable), note any technical frameworks that should shape the approach to monitoring, evaluation, or learning, and include at least one illustrative learning priority. At the full application stage, additional guidance will be provided.

Applicants are advised to refer to both the umbrella APS and this addendum in preparing concept notes and full applications, as applicable.

D. Additional Considerations

In addition to aligning with the [USG Global Water Strategy](#), applicants should ensure that their concept note is aligned with other relevant USAID strategies, policies, and priorities, such as the [USAID Youth in Development Policy](#), [USAID Policy on Promoting the Rights of Indigenous People](#), [USAID LGBT Vision for Action](#), [USAID Education Policy](#), [USG International Basic Education Strategy](#), [USAID Environment and Natural Resources Management Framework](#), [Strategy on Democracy, Human Rights and Governance](#), [USG Global Food Security Strategy](#), [USG Feed the Future Initiative](#), and [Gender Equality and Female Empowerment Policy](#).

Proposed activities should reflect best practices highlighted in USAID's series of [technical guidance briefs on WASH Programming](#).

SECTION F: FEDERAL AWARD AND ADMINISTRATION INFORMATION

A. Federal Award Notices

The USAID Agreement Officer (AO) is the only individual who may legally commit the U.S. Government to the expenditure of public funds. Applicants are prohibited from charging or incurring costs to the proposed award prior to receipt of either a fully executed award or a specific, written authorization from the AO. USAID will administer awards in accordance with Parts 700 and 200 of Title 2 of the CFR, and Standard Provisions for U.S./non-U.S. organizations.

B. Type Of Award

USAID/Guatemala expects to award a Cooperative Agreement. The type of award and terms and conditions included therein depends upon the type of recipient organization, programmatic factors, and other due-diligence matters (including responsibility determinations.)

C. Additional Information On Award Administration

- ADS Chapter 201 Program Cycle Operational Policy:
<https://www.usaid.gov/sites/default/files/documents/1870/201.pdf>
- ADS Chapter 204 Environmental Procedures:
<https://www.usaid.gov/sites/default/files/documents/1865/204.pdf>
- ADS Chapter 205 - Integrating Gender Equality and Female Empowerment in USAID's Program Cycle: <https://www.usaid.gov/sites/default/files/documents/1870/205.pdf>
- ADS Chapter 303 Standard Provisions for Non-U.S. Non-governmental Organizations:
<https://www.usaid.gov/sites/default/files/documents/1868/303mab.pdf>
- ADS Chapter 303 Standard Provisions for U.S. organizations:
<https://www.usaid.gov/sites/default/files/documents/1868/303maa.pdf>
- ADS Chapter 318 Intellectual Property Rights:
<https://www.usaid.gov/sites/default/files/documents/1876/318.pdf>
- ADS Chapter 579 USAID Development Data:
<https://www.usaid.gov/sites/default/files/documents/1868/579.pdf>
- Grant and Contract Process:
<https://www.usaid.gov/work-usaid/get-grant-or-contract/grant-and-contract-process>
- USAID Graphic Standards Manual and Partner Co-branding Guide:
https://www.usaid.gov/sites/default/files/documents/1869/USAID_GSM_03_05_2019.pdf

SECTION G: FEDERAL AWARDING AGENCY CONTACT(S)

Alina Menicucci
Agreements Officer

Fabiola Loy
Senior Acquisition and Assistance Specialist

USAID/Guatemala
Office of Acquisition and Assistance

email: guatemalaproposals@usaid.gov

SECTION H: OTHER INFORMATION

USAID reserves the right to fund any or none of the Concept Notes/Full Applications submitted under this addendum to the DiP-WASH APS.

A. Recipient's Staff Support, Administrative and Logistics Arrangements and Legal Registration in the Cooperating Country

The Recipient will be responsible for all administrative support and logistics required to fulfill the requirements of this Agreement. These include all travel arrangements, appointment scheduling, secretarial services, report preparations services, printing, and duplicating.

In addition, the Recipient is responsible to comply with all applicable local laws regarding fringe benefits for its local employees, local business operations, including but not limited to the registration of its offices in the local country, etc.

Adherence to IVA program is a requirement for the prime recipient and for any sub-awardees; exemption procedures will be provided to the Recipient soon after award. Use of EXENIVA form is authorized only for official project related procurement.

Use of IVA exemption form is authorized for project related procurement. USAID will support the customs clearance of official project vehicles. These vehicles will be cleared free of duty and IVA and will be given MI license plates.

The recipient will appoint two individuals to be trained and provided access to EXENIVA. The names of the appointed persons will be provided to the AOR.

[END OF APS No: 72052021APS00001]

Attachment 1 - Concept Paper Template

2020-2021 Diversifying Partnerships in WASH (DiP-WASH) Annual Program Statement (APS) Addendum: Integrating WASH Services (I-WASH) Concept Note Template

The main body of the concept note (sections II) must not exceed five (5) pages single-spaced and must use 12 point Times New Roman font and one-inch margins on the electronic equivalent of 8.5 x 11 inch paper, with page numbers in the footer. The concept note and supporting information must use the format described below and be written in English. Any concept notes that do not follow the instructions will be disqualified and not be reviewed. The concept note must be submitted to guatemalaproposals@usaid.gov not later than the date specified in the APS Addendum. Applications submitted after the deadline will not be reviewed. Both the email subject line and document file name should follow this naming scheme: “I-WASH – [name of organization] - Concept Paper”.

SECTION I - SUMMARY INFORMATION COVER SHEET

Cover sheet must be limited to one page and will not count towards the 5 page limit. Cover sheet will include the following:

- A. Name of applicant:**
- B. Applicant’s phone number:**
- C. Applicant’s email address:**
- D. Lead institution:**
- E. Lead institution DUNS number¹³ (optional at Concept Note stage):**
- F. Partnering organization(s) (if applicable):**
- G. Title of concept note:**
- H. Overall concept objective (maximum half page):**

SECTION II – PROPOSED APPROACH and ORGANIZATIONAL CAPACITY (Section II may not exceed 5 pages)

¹³ A DUNS number is a unique nine-character number used to identify your organization. The federal government uses the DUNS number to track how federal money is allocated. For more information, refer to: <https://www.grants.gov/applicants/organization-registration/step-1-obtain-duns-number.html>

This section will be evaluated according to DiP-WASH Evaluation Criterion. For more information please refer to the umbrella DiP-WASH APS (<https://www.grants.gov/web/grants/view-opportunity.html?oppId=331500>) and Addendum Integrating WASH Services (I-WASH).

A. Technical Approaches for Impact at the Individual, Institutional or Systems Levels

Describe your organization / group's proposed approaches for achieving each of the Objectives of DiP-WASH and Integrating WASH Services (I-WASH), including a brief description of how these approaches have addressed long-term sustainability of activities and ways to increase equity and inclusion. Please include information on technical approach (in water, sanitation, hygiene and/or WRM based on the Addendum focus. A brief synopsis of initial systems-based analyses of the Integrating WASH Services (I-WASH) problem statement, and an indication of anticipated systems-level impacts, should be included.

B. Partnership Approaches for Local Capacity Development of Individuals, Institutions, and/or Systems

Describe your organization's strategy for equitably engaging with partners, particularly with local partners. Also indicate how you plan to build the capacity of these partners. A brief synopsis of how each partner will engage within a partnership should be included.

C. Staffing Plan

Describe key personnel and their qualifications and experience to deliver proposed activities, plans for filling capacity gaps, and ways in which partners, including those with capacity building needs, will be drawn upon to ensure sufficient capacities are in place.

D. Past Expertise including in WASH or WRM Approaches and Alignment with USAID Programming Priorities

Describe your organization's expertise and past experience in the areas of a) safe drinking water b) sanitation c) hygiene or social and behavior change and/or d) water resources management in lower and middle income countries (LMICs), and e) program management (based on the focus of the Addendum). Include the same description for any partners in your consortium, if they have been determined. Describe your organization's approach to effectively address emerging challenges, including sustainability, aligned with USAID's programming priorities and reflect diversified expertise as described in the Addendum.

SECTION III – SUPPORTING INFORMATION

A. Proposed Estimated Cost and Cost Breakdown (1 page maximum)

This Section should include a proposed summary budget and a summary budget narrative justifying proposed expenses.

If invited to submit one, future steps in the co-creation will require submission of a detailed budget and narrative.

B. Contact Information for Proposed Partners (2 pages maximum)

If applicable, provide contact information for all the core partners. Include organization name, point of contact (POC) name, POC title, POC email, and POC phone numbers. If this concept note is in response to a New Partnerships Initiative partnership approach, please also include organization name, point of contact (POC) name, POC title, POC email, and POC phone numbers for each member of the proposed consortium that meets the definition of new, local, locally-established or underutilized partner, as outlined in the Addendum to which this concept note responds.