Subject: Q&A for Multi-Year Annual Program Statement (MYAPS) WASH Round released on June 20, 2024 Funding Opportunity Number: 720BHA23APS00002-03-WASH

Summary: U.S. Agency for International Development Assistance's (USAID) Bureau for Humanitarian Assistance (BHA) has summarized below the questions that BHA received on the Multi Year Annual Program Statement (MYAPS) WASH Round 3.

BHA has made changes to the following sections:
- Section D.5.b - Phase 2 Full Technical Application - Technical Application Format
  - Added "Draft Annual Work Plan (5 pages maximum)"
- Section D.6 - Other Supporting Documents
  - Added "Draft Annual Work Plan (5 pages maximum)"
- Section D.7 - Cost Application Format
  - removed "and WASH"

Questions on APS and BHA Responses:

1. **What are the eligible countries for "Round 03 - BHA Water Sanitation and Hygiene (WASH) Studies Activity under Base APS 720BHA23APS00002"**

BHA Response: Country eligibility is not restricted; however, the identified intervention locations should align with the goals of the Round in terms of scope and context (prioritizing non-refugee humanitarian contexts). Please see the descriptions under each Purpose for more information. BHA will approve identified country/countries for pilot implementation as a part of its substantial involvement under Purpose II.B (pg. 17 of the Round).

2. **Can USAID indicate the anticipated time frame between the request for a Full Application if successful at the Concept Note phase, and when the Full Application would be due?**

BHA Response: USAID anticipates a minimum of 30 business days for the full application drafting period once applicants have been notified of successful concept papers.

3. **Sub-Purpose 2b includes field piloting and testing of promising approaches, which can only be defined after the research conducted in 2a. Therefore, we can put forward countries that we expect will be well placed to pilot and test, but the exact countries can only be determined later. Please confirm that this is**

acceptable. Would the countries proposed need to be countries where BHA has active programs, as opposed to where PRM has active programs?

BHA Response: Applicants may build in some flexibility around the planned countries based on the findings of the research under Sub-purpose II.A; however, BHA expects prospective countries to be identified in advance based on the applicant's experience and relevance to the Round. BHA will approve identified country/countries for pilot implementation as a part of its substantial involvement under Purpose II.B (pg 17 of the Round). Please refer to the response to question 1 above for country eligibility.

4. **Sub-Purpose 2b does not specify how many promising approaches are expected to be tested or whether the approaches should be tested across multiple contexts and regions. We would propose budgeting to test 2 promising models in 2 or 3 different countries and contexts. Is this in line with BHA expectations?**

BHA Response: Applicants should submit a package which they identify as most likely to address the identified sub-purpose goals and lead to global impact within the available resources and timeframe. The Round describes the expected activities and outputs (pg. 13-14) including reference to testing models in different humanitarian response contexts.

5. **Sub-Purpose 2a focuses on an analysis of different O&M models for different types of systems in rural settings. The choice of O&M models to implementers varies depending on the type of infrastructure installed, primarily whether decentralized or centralized. Would BHA be open to also looking within 2a at the relationship between infrastructure choices (including costs) and final O&M performance? A practical example would be where multiple handpumps are chosen over a centralized piped system (perhaps as CAPEX is lower or a piped system is not seen as appropriate for initial humanitarian funding). In this example that initial infrastructure choice pre-limited the O&M models that would be available moving forwards.**

BHA Response: Please see the description under Sub purpose II.A for BHA's areas of interest with regard to O&M models. Applicants may choose to address additional research questions or topics beyond those stated if those areas may be addressed while simultaneously addressing the points explicitly identified in the Round.

6. **Will USAID please confirm that Key Personnel information (names, CVs, etc.) is not required to be included in the Phase 1 Concept Note?**

BHA Response: BHA confirms that Key Personnel are not required at the Concept Paper phase and are required only at the Full Application phase. Please see Section D of Round 3.

7. **We wanted to enquire on an aspect of eligibility related to the APS quoted in the subject – is it possible for an organization to apply to the same Purpose once as prime recipient, and once as a subgrantee? Or is each organization expected to apply only once per purpose, regardless of its role?**

BHA Response: An organization may submit as prime up to two concept papers under this Round, one for each Purpose. An organization that submits as prime may also be listed as sub awardee on additional Concept Papers under each Purpose. Please refer to APS Section C.1 for more information.

8. **Does the indirect rate set for the prime partner also apply to sub-grants for sub-partners?**

BHA Response: Responsibility for the negotiation of indirect cost rates for subrecipients rests with the prime recipient. While subrecipient budgets must adhere to the same application instructions as the prime budget (as stated in the APS), the indirect and fringe rates would reflect the subrecipients' cost structure and not the primes.

9. **On page 19, the NOFO states "To be considered as a potential prime on a full application, an organization may submit a total of two concept papers under this Round, one concept paper per purpose." However, on page 8 and 11 of the NOFO, BHA notes that it will issue separate cooperative agreements for each Purpose. Could BHA please clarify if it intends to issue one award to one prime who will cover both purposes, or will BHA issue two awards to two primes (one for Purpose 1 and one for Purpose 2)?**

BHA Response: USAID intends to award up to two cooperative agreements–one for each purpose–pursuant to this notice of funding opportunity. Please see Section B for more information.

10. **If an applicant submits two concept notes (one per Purpose, per the NOFO instructions), will BHA consider awarding both purposes to the same agency, and would this be done under one award or two awards?**

BHA Response: If an organization submits Concept Papers under both Purposes, they will both be considered. If those Concept Papers both proceed to full applications and are each selected as the best application under each Purpose, BHA will consider combining these into one award covering both Purposes in line with the total funding and implementation timeline described in Section B of APS Round 3.

11. **"Could BHA please confirm if concept notes should only use the HPSAA sector, or should the WASH sector also be used? The NOFO notes on page 16 (and other pages) that this opportunity falls under HPSAA; but on page 28, the NOFO states that HPSAA and WASH should be used.**

BHA Response: Thank you for noting this, BHA has corrected the related page (28) to now read "HPSAA ~~and WASH~~."

12. **For sub-Purpose IIB, is BHA prioritizing the countries in the USG Global Water Strategy, and does BHA have a minimum number of counties required for the data collection/implementation in purpose IIB?"**

BHA Response: No. Please see responses to questions 1 and 4 above. There is no minimum number of counties (or countries) required for data collection/implementation.

13. **On page 21, the NOFO states that a draft workplan is required at the concept note submission stage; however, on page 16, the NOFO states that the annual workplan draft is submitted with the full technical application. Could BHA please confirm when the draft workplan is required to be submitted?**

BHA Response: The work plan submitted at concept paper stage should provide an overview of the planned approach spanning the full period of performance for the identified Purpose within a 2-page limit (see page 21). The annual work plan draft submitted with the full application should provide additional detail on activities proposed for the first year of implementation. This has been added to the round language under Section D.

14. **On page 16, under Section B: Federal Award Information, the NOFO states "For Purpose II USAID intends to award one (1) Cooperative Agreement of up to $2,250,000 in IDA funding over a maximum three-year period." Could BHA please confirm what is meant by "over" a maximum three-year period? What is the maximum duration for this purpose?**

BHA Response: The maximum duration for this purpose is three years.

15. **Is the funding for this opportunity sourced from Washington, D.C. or the BHA mission?**

BHA Response: Please refer to Round Section B. Federal Award Information.

16. **Does BHA have any geographic preference?**

BHA Response: Please see response to question 1 above.

17. **Will there be any opportunity to submit questions or co-create with BHA at a later stage?**

BHA Response: There will not be another question period during this Round. Please see APS Round 3 Section B.4 Substantial Involvement for information regarding BHA's involvement with the successful applicant(s).

18. **Can applicants target areas within a country that are not part of the Humanitarian Response Plan in that country if the applicant considers the area to be in crisis?**

BHA Response: Yes, the applicant should justify the chosen geographic areas for implementation in line with the goals of the solicitation.

19. **For the budget, the template provided includes a sample summary and sample detailed budget. Is only the summary required at the concept note stage, or also the detailed budget?**

BHA Response: Only the summary budget of one page is required at the concept note stage (See Round Section D.5 a.v.). A summary and detailed budget are required at the full application stage (See Round Section D.7).

20. **For sub-purpose II, are there any specific promising O&M models that BHA specifically would like to be included?**

BHA Response: BHA expects the applicant to identify the most appropriate and promising O&M models based on the results of the research conducted under Sub-Purpose II.A. Please see the APS Round Section A.2.3 for more information.

21. **For sub-purpose II.A, the NOFO mentions "Evaluating baseline durability/functionality" – can you please specify what is meant by "baseline": is it the existing durability/functionality of the models? Is there specific baseline data that should be considered?**

BHA Response: "Evaluating baseline durability/functionality" refers to evaluating the current performance of existing O&M models implemented in humanitarian contexts. Please see APS Round 3 Section A.2.3 for more information.

22. **For sub-purpose II.B, the NOFO mentions a "range of humanitarian contexts." Can you provide guidance on the response context (acute, urgent humanitarian, and/or early recovery response settings), number of contexts or models, and geographies? Relatedly, will these be ongoing protracted crises, or planned for future acute responses?**

BHA Response: This APS Round is focused on generating evidence and capacity strengthening resources relevant for multiple contexts, rather than focusing on a singular response type or geographic context. BHA prefers applicants to identify the specific humanitarian contexts they plan to work in considering their operational area and expertise, the global nature of this Round, and expecting results to have broader impacts for the global humanitarian WASH community.

23. **For the concept note, can example research reports be from the development sector, or must they be from the humanitarian sector? Also, do they both need to be from the prime or can one be from a planned consortium member?**

BHA Response: Example research report(s) should be from the humanitarian WASH sector, as specified on page 22. Applicants should submit research report(s) that best demonstrate the applicant's institutional capacity to carry out the proposed work.

24. **Can BHA provide any recommendations on potential consortium structures (which types of organizations they would like to be included, and how many)?**

BHA Response: It is up to the applicant to propose appropriate partner organizations and management structures based on the expertise of the organizations included in a consortium to appropriately address the Round. Applying as a consortium is not required but is an option if organizations would like to work together to most effectively address the goals of the APS Round.

25. **For an applicant with both field practitioner capacity and research capacity, is partnership with an external research institution required or preferred over deploying in-house research capacity?**

BHA Response: BHA expects the applicant to demonstrate that the organization, partners, or consortium applying have the necessary technical and research skills required to carry out the proposed work in line with the requirements of the Round. There is no requirement to partner with an external research institution. Please see pages 24-25 of the APS Round for more information.

26. **Can BHA confirm that the solicitation is open to applications submitted by multiple organization under a consortium scheme?**

BHA Response: Consortium are able to apply for this Round. Please see Section C.1 in the Base APS for additional information around eligibility.

27. **Can BHA confirm that organizations may apply for both purpose 1 and purpose 2 funding simultaneously?**

BHA Response: As stated in the Round, "an organization may submit a total of two concept papers under this Round, one concept paper per purpose." Please see section D.3 in the WASH Round for additional information.

28. **Can BHA clarify if there are any limitations to the number or type of research institutions that applicants may partner with?**

BHA Response: Please see Section C.1 in the Base APS for additional information around eligibility.

29. **Can BHA please confirm that all activities proposed under this APS, whether they fall under Purpose 1 or Purpose 2, should be under one sector (HPSAA), as well as one sub-sector (Applied Research and Studies), and should not include the Guidelines Development, Toolkits, & Resources sub-sector, or WASH sector activities (as referenced in section D.7. (page 28)?**

BHA Response: Please refer to the response to question 11 above.

30. **Conducting comprehensive research to extract meaningful insights requires studying a diversity of response options and contexts. It would be challenging for a single organization or a small consortium to access the data required for comprehensive analysis. Therefore, would BHA support the award recipient(s) in securing access to complementary data from its implementation partners?**

BHA Response: BHA expects applicants to propose appropriate methods and approaches needed to support the research and capacity building objectives of this Round.

31. **Under Sub-Purpose II.B., would BHA support a grant mechanism for the "piloting, testing, and documenting performance of new or modified O&M models during humanitarian response contexts."?**

BHA Response: Please see the response for Question 30. Applicants are expected to design and propose appropriate approaches to address the Round.

32. In Base APS Section A. 3.2 (page 8), Table A.2 lists "Acute onset phase only" under the column titled "humanitarian response contexts". However, page 13 of the Common Requirements of BHA's Emergency Application Guidelines does not include a definition for "acute onset." Could you please define what BHA considers the "acute onset phase" in the context of this solicitation?

BHA Response: Please see Section A.2 of the Round for a description of "acute onset" emergencies under this Round.

33. In Base APS Section A. 3.2 (page 9), it is stated that "USAID/BHA is also interested in establishing appropriate expectations for the time to begin and complete provision of WASH interventions after an acute shock." Can BHA please define what it considers an "acute shock" in the context of this solicitation?

BHA Response: Please see the response for question 32, and Sections A.2 and A.3 of the Round.

34. In Base APS Section A. 3.2 (page 9), the solicitation states "The modalities of the WASH interventions should include responses that provide direct service delivery for water and sanitation, distribution of WASH-related NFIs, and single-sector cash/vouchers for WASH needs." Can BHA clarify if they would be interested in further segregating implementation into other approaches, such as through local contractors, partner organizations (e.g., NGOs, CBOs), and community-led implementation?

BHA Response: Please see the description under Purpose I for BHA's areas of interest with regard to timeliness and targeting. Applicants may choose to address additional research questions or topics beyond those stated if those areas may be addressed while simultaneously addressing the points explicitly identified in the Round.

35. In Base APS Section A. 3.2 Sub-Purpose 1.B (page 10), the solicitation identifies three beneficiary targeting methods: blanket, single or multi-criteria, and index-based targeting. Would BHA be open to considering other targeting approaches in the analysis, such as community-based, self-selection, geographic targeting, and mixed approaches?

BHA Response: Please see the description under Sub-Purpose I.B for BHA's areas of interest with regard to targeting. Applicants may choose to address additional research questions or topics beyond those stated if those areas may be addressed while simultaneously addressing the points explicitly identified in the Round.

36. **In Base APS Section A. 3.2 Sub-Purpose 1.B (page 11) the solicitation notes a sector validation workshop as an expected output. Given the global scope of the analysis required to gather comprehensive, representative, actionable insights, would BHA be open to the applicant proposing multiple validation workshops?**

BHA Response: Applicants may propose to exceed the minimum required outputs identified in the Round as long as the project timeline and budget are within the constraints identified in Section B. Federal Award Information.

37. **In Base APS Section A. 3.3 Sub-Purpose II.A (page 12), it references section 2 stating "many humanitarian (and development sector) water supply programs in rural settings rely on community-based management models." Can BHA confirm if applicants may also propose to analyze urban responses?**

BHA Response: Please see the language under Purpose II for the contexts BHA will consider.