



Water, Sanitation and Hygiene Partnerships and Learning for Sustainability (WASHPaLS)

Request for Expressions of Interest for

“Habit Formation Approaches and Gender Equity & Social Inclusion Innovations for Hygiene Behavior Change”

Opportunity Number: WASHPaLS-EOI-001

Issuance Date: June 2, 2017

Questions Due Date: June 8, 2017; 12 noon ET

EOI Submission Due Date: June 23, 2017; 5:00 pm ET

Submit to: Opportunities@washpals.org

Tetra Tech, the implementing partner of the Water, Sanitation and Hygiene Partnership and Learning for Sustainability (WASHPaLS) project, pursuant to the authority contained in the U.S. Foreign Assistance Act of 1961, as amended, is authorized to issue Grants under Contract to help meet its project objectives. WASHPaLS is seeking expressions of interest (EOIs) from eligible entities to identify, develop and evaluate innovative approaches to trigger and sustain hygiene behavior change focusing on 1) habit formation and nudge theory (i.e., habit science) and/or 2) gender equality and social inclusion (GESI), as further described below. Funding for this activity is provided under the United States Agency for International Development (USAID) Contract no. AID-OAA-I-14-00068/AID-OAA-TO-16-00016.

WASHPaLS will use a two-tiered application system to evaluate and award grants. The first tier is the issuance of this Request for Expressions of Interest (REOI) through which applicants are invited to submit an EOI describing their idea or innovation. The second tier of the application process is submittal of a fully developed application by those eligible applicants whose EOIs are identified by the WASHPaLS Review and Evaluation Committee (REC) as being most responsive to the evaluation criteria and demonstrate the most promise to contribute to the project’s objectives. The final selection for award will be made on the basis of the second tier applications.

This REOI contains the following sections: Section 1 provides an overview of the WASHPaLS project and defines the technical scope to which the EOIs must respond. Section 2 summarizes award administration details with which successful applicants must comply. Section 3 provides eligibility information and funding restrictions. Section 4 identifies the evaluation criteria that will be used to score the EOIs. Finally, Section 5 provides instructions for submittal of the EOIs.

SECTION 1: PROGRAM DESCRIPTION

BACKGROUND

WASHPaLS is a 5-year project that supports USAID’s goal of reducing morbidity and mortality in children under the age of five as part of the Ending Preventable Child and Maternal Deaths (EPCMD) initiative by ensuring USAID programming employs high-impact, evidence-based WASH interventions. The project will identify and share best practices in achieving sustainability, scale, and impact by generating evidence around sanitation and hygiene programming paradigms, including the effectiveness of behavioral and market-oriented approaches to sanitation necessary to eliminate open defecation and accelerate investment in durable facilities, while also focusing on measures to disrupt pathways of fecal exposure to infants and young children (IYC). Specifically, the following three core topical areas of research are being pursued, encompassing desk studies and field research to identify and fill gaps in the evidence base.

- In-depth examination and analysis of Community Led Total Sanitation (CLTS);
- Exploration of market-based sanitation (MBS) approaches; and
- Design and implementation of field research to improve hygienic environments for IYC.

Tapping into broad coalitions and dynamic partnerships, WASHPaLS will engage with national and global stakeholders to generate and use evidence to influence best practices. WASHPaLS research protocols, small grants and technical assistance will consider the differential circumstances and opportunities for women and men, and girls and boys that influence sustainable access to sanitation and the adoption of hygienic behaviors, and must be responsive to and embedded within local systems.

PURPOSE AND OBJECTIVES

The WASHPaLS Grant program contributes to the project's learning agenda by supporting grantees to investigate innovative ideas in programming for the adoption of key hygiene behaviors. Over the life of the project and through several rounds of solicitations WASHPaLS expects to award at least 10 grants to investigate the effectiveness of innovative approaches to improving and sustaining hygiene behaviors.

The objective of this initial round of grants is to support learning related to the application of habit formation and GESI principles to hygiene behavior change (HBC). Applicants must specify which of the two areas their EOI addresses. EOIs may be for new stand-alone activities or for activities that build-on or complement on-going projects. For purposes of this REOI, HBC refers to those behaviors that link directly to diarrheal disease and mortality and morbidity of children under age five in the household, including:

- (1) safe disposal of adult and child feces;
- (2) handwashing with soap;
- (3) safe drinking water management; and
- (4) food hygiene.

Future grant solicitations, while still focused on HBC, are more likely to directly support the project's three core areas of research and the in-country implementation of research activities.

Prompting Behavior Change that Sticks

Traditional behavior change approaches may influence individual behaviors initially; however, these practices have a tendency to not 'stick' in the longer term. Recognizing this trend and the associated need to look to other BC paradigms, the USAID-funded WASHplus project introduced the application of habit science to the behavior of handwashing with soap. WASHplus identified six principles designed specifically to address the habit formation system to create disruptive and sticky, i.e., lasting change in handwashing behaviors.¹ These principles were later applied in a WASH in Schools project implemented by WASHplus in Zambia.

The World Bank's Water and Sanitation Program (WSP) continued this line of inquiry by investigating the application of habit science to influence the behavior of open defecation (OD). The WSP report² presents eight principles focused on the so-called 'System 1' or reflexive behaviors (i.e., habit forming part of the brain) which create disruptive and lasting change in OD behavior. The WSP report also suggests programmatic implications for each principle, both in terms of mapping to recent innovations and tactics (that is, examples of how the principles are already being applied in traditional CLTS and BC campaigns), as well as offering new ideas and new opportunities to apply habit science. The conclusion of the March 2016 report suggests the sharing of new ways to translate, tailor, and "bring to life" these basic science principles as makes sense in specific environments, cultures, and sub-populations.

Following on to these efforts, WASHPaLS seeks grantees to design and test approaches targeting 'System 1' drivers of behavior changes relevant to hygiene practices and maintaining hygienic environments. Grants will hone in on feasible approaches that both modify behavior patterns and demonstrate that the adoption of targeted behaviors are sustained.

Illustrative activities that would be considered for funding include, but are not limited, to the following:

- Application of the principles of habit formation and nudges to trigger and sustain key hygiene behaviors (such as abandoning OD, handwashing with soap, infant feces disposal, etc.)
- Replication of applications, or proofs of concept, of habit formation and nudge theory in the WASH sector in diverse settings to compare outcomes and sustainability.

¹ Neal D, et al. 2015. The Science of Habit: Creating Disruptive and Sticky Behavior Change in Handwashing Behavior. Washington D.C., USA. USAID/WASHplus Project.

² Neal D et al. 2016, Nudging and Habit Change for Open Defecation: New Tactics from Behavioral Science, World Bank, Water and Sanitation Program.

- Innovative approaches with an articulated hypothesis of change employing reflexive, cue-driven tactics to hygiene behaviors.

GESI

Evaluation and reflection on many WASH efforts that fail to produce universal behavior change across communities reveal that often key groups are inadvertently and perhaps systematically ignored when working toward open defecation free communities, including infants and young children, people with disabilities, menstruating women, the chronically ill and socially vulnerable. WASH programs which fail to consider and address gender and social inclusion in programming, including CLTS, may inadvertently exacerbate existing gender norms, such as those around personal safety/violence, and may also perpetuate or worsen social exclusion for certain groups. In doing so, WASH programming may ignore (or in the worst cases undermine) the ability of individuals, households and communities to adopt healthier behaviors given the social confines of their society. Further, BC-focused programs in the WASH sector often ignore the structural and societal drivers of WASH outcomes that determine individuals' behaviors as well as knowledge and attitudes which reinforce behaviors. GESI approaches critically consider societal factors, such as social norms, that underpin individual behaviors and by considering and addressing these determinants adopt a more inclusive and sustainable approach towards hygiene behavior change. GESI approaches acknowledge that interventions addressing societal drivers of hygiene behavior are likely to be more inclusive and effective and therefore more sustainable.

Successful inclusive and gender-aware WASH interventions focus on identifying, understanding and removing attitudinal, environmental and institutional barriers (e.g., those that block access and perpetuate stigma and discrimination), to see improved hygiene behaviors of women and other excluded populations. Addressing the determinants of improved hygiene behaviors often requires improving access to services, opportunities (e.g., better representation of excluded populations in water management or village hygiene committees) and processes (e.g., capacity building and participation in planning functions). Furthermore, better measurement of these relationships is critical to building the evidence base for inclusive WASH and its effects on improving hygiene behaviors.

Illustrative HBC activities that would be considered for funding include, but are not limited, to the following:

- Interventions focusing on identifying, understanding and removing attitudinal, environmental and institutional barriers that block inclusion and perpetuate stigma and discrimination that inhibit the practice of key hygiene behaviors (e.g., use of latrines, handwashing with soap at critical moments, handling of infant stools, etc.).
- Gendered social norms change interventions that seek to change social expectations regarding hygiene to drive behavior change.
- Social and behavior change communication strategies for improved hygiene behaviors such as community discussions and media campaigns with a focus on those groups who have typically been left out.
- Work with groups that have previously been underrepresented/marginalized in WASH programs to understand their unique challenges to adopting improved hygiene behaviors.
- Programming to increase the meaningful participation of women and other marginalized persons in existing community institutions governing or working with WASH, when explicitly tied to a hypothesis of change that improves related hygiene behaviors.

Geographic Focus of Activities

Applicants must propose to work in one or more of the countries prioritized by the Agency's EPCMD initiative and Water and Development Strategy, as indicated below:

Afghanistan	Haiti	Malawi	Philippines	Yemen
Bangladesh	India	Mali	Rwanda	Zambia
Cambodia	Indonesia	Mozambique	Senegal	
DRC	Kenya	Nepal	South Sudan	
Ethiopia	Liberia	Nigeria	Tanzania	
Ghana	Madagascar	Pakistan	Uganda	

SECTION 2: AWARD AND ADMINISTRATION INFORMATION

ESTIMATED NUMBER AND AMOUNT OF GRANTS

WASHPaLS anticipates awarding up to four (4) grants from this solicitation. The number of awards is dependent upon the number of meritorious applications received and available funding. Depending on the applications received, WASHPaLS will determine how many awards will be issued to each focus area. WASHPaLS and USAID reserve the right to award none, one, or multiple grants as a result of this solicitation. Awards are anticipated to range from \$50,000 to \$300,000. In accordance with Automated Directives System (ADS) 302.3.4.13, U.S.-based organizations are limited to \$100,000.

PERIOD OF PERFORMANCE

The applicant shall specify the period of performance for the project being proposed. It is anticipated that the duration of the grants will be 12 to 18 months, but may be longer depending on the technical scope of work.

APPLICATION PROCESS

This REOI will follow a two-step process to select final applicants:

1. Applicants will first submit an EOI in accordance with this solicitation. WASHPaLS will conduct a merit review of the EOIs based on the criteria provided in Section 4. Organizations with successful EOIs that demonstrate alignment with project objectives and satisfy the requirements, will be invited to submit a full application.
2. Applicants that submit successful EOIs will be asked to submit a full application. Information about the full application and other requirements will be provided at this time. These full applications will then be evaluated against another set of merit criteria provided with instructions for the full applications.

PRE-AWARD REQUIREMENTS

Notification of a successful EOI or invitation to submit a full application is **not** a notification that the applicant will receive an award. All applicants will be assessed for their risk and ability to successfully comply with USAID requirements. This will be determined through a pre-award assessment as described in Section 3.

While not required with submission of the EOI, successful applicants who are asked to submit full applications will also be asked to provide a signed copy of the following certifications:

1. Assurance of Compliance with Laws and Regulations Governing Non-Discrimination in Federally Assisted Programs (applicable to U.S. Organizations, and non-U.S. organizations if any part of the program will be undertaken in the U.S.)
2. Certification Regarding Lobbying
3. Certification Regarding Terrorist Financing
4. Certification Regarding Trafficking in Persons
5. Certification of Recipient
6. Representation by Organization Regarding a Delinquent Tax Liability or a Felony Criminal Conviction (for U.S. organizations only)

Other certifications that apply if the organization is from a 'Covered Country' (see ADS 206.3.3) include:

1. Prohibition on Assistance to Drug Traffickers for Covered Countries and Individuals
2. Key Individual Certification Narcotics Offenses and Drug Trafficking
3. Participant Certification Narcotics Offenses and Drug Trafficking

Successful EOI applicants also will be asked to demonstrate that they:

1. Are registered in the System for Award Management (SAM) (sam.gov) and are willing to maintain this registration for the life of the project; and
2. Have a valid Dun and Bradstreet Universal Number System (DUNS) number.

Final approval of all grant awards must be provided by USAID.

AWARD ADMINISTRATION

A grant award will be administered in accordance with applicable regulations as follows:

- For U.S. organizations, 2 CFR 700, 2 CFR 200, and ADS 303maa, Standard Provisions for U.S. Non-governmental Organizations are applicable.
- For non-U.S. organizations, ADS 303mab, Standard Provisions for Non-U.S. Non-governmental Organizations will apply.

All grants issued under the WASHPaLS project will be subject to the USAID requirements for environmental soundness and compliance as required by 22 CFR 216 and branding and marking standards as required in 2 CFR 200.16. Successful grantees will be responsible for regular submission of financial and technical performance reporting, per the specific requirements of the grant award.

SECTION 3: ELIGIBILITY INFORMATION

ELIGIBLE ENTITIES

The following types of entities are eligible for an award under this solicitation:

- Non-U.S. NGOs – either non-profit or for profit organizations not affiliated with a foreign government that meet the definition in 2 CFR 200.47 (profit cannot be charged to a grant)
- U.S. entities or non-profit organizations that meet the definitions in 2 CFR 200.69 and 200.70
- Private foundations and universities

Each Applicant must be determined to be a responsible entity before receiving an award. WASHPaLS will review all potential grant recipients to determine their ability to manage USAID awards. Organizations that have not previously received USAID funding are encouraged to apply though they must have a strong capacity for and past experience of managing donor funds. Each applicant must:

- Possess and apply a system of internal controls that safeguard assets and protect against fraud, waste, and conflicts of interest;
- Possess sound managerial, technical and institutional capacities to achieve project results;
- Possess financial accountability and maintain detailed records of all expenses;
- Be in good standing with all civil and fiscal authorities;
- Be willing to sign applicable assurances and certifications if the EOI is selected to proceed to the next round and the applicant is asked to submit a full application (listed in Section 2 above);
- Be legally registered in the country in which it operates;
- Be willing to register in the SAM and maintain registration for the life of the project;
- Provide a valid DUNS number with its full application or show verification that it has registered and is pending receipt of a DUNS number (if the applicant does not have a DUNS Number or a SAM registration, the WASHPaLS Grant Manager may assist the organization in registering or obtaining one), and:
- Not have a negative determination on the SAM, UN 1267 or OFAC Blocked Persons Lists.

INELIGIBLE APPLICANTS

The following organizations are **not** eligible for WASHPaLS grant funding:

- Any entity which is a “private voluntary organization” (“PVO”) that has not registered as such with USAID;
- Political parties and their subsidiaries or affiliates;
- Organizations that have been found with a negative determination on the SAM, UN 1267 or OFAC Blocked Persons Lists;
- Organizations that promote or engage in illegal activities or anti-democratic activities;
- Faith-based organizations that are not in compliance with ADS 303.3.6.4.m, which is in accordance with Executive Order 13279, Equal Protection for the Laws of Faith-based Community Organizations;
- Any entity affiliated with Tetra Tech, its officers, directors, or employees, or WASHPaLS subcontractors;
- Any Public International Organization (PIO)
- In accordance with the Standard Provisions for U.S. Nongovernmental Organizations (ADS 303maa) and Standard Provisions for Non-U.S. Nongovernmental Organizations (ADS 303mab) any organization which performs or actively promotes abortion as a method of family planning in

a foreign country or provides financial support to any other foreign non-governmental organization that conducts such activities.

Applications from individuals will not be considered for award.

FUNDING RESTRICTIONS

1. Equipment and materials are allowed under this award. A complete list of allowable and eligible commodities can be found at ADS 312: <http://www.usaid.gov/sites/default/files/documents/1876/312.pdf>
2. The award will not allow for the reimbursement of costs incurred prior to award or in the preparation of the grant application (pre-award costs).
3. VAT will not be an allowable cost under this award.

SECTION 4: APPLICATION EVALUATION CRITERIA

The WASHPaLS Review and Evaluation Committee will formally evaluate EOIs in writing based on the evaluation criteria provided below. Only those that comply with all submittal requirements and adequately address the selection criteria will be recommended to proceed to the second tier with applicants invited to submit full applications.

1. Does the organization propose interventions to pilot and/or test innovative approaches for hygiene behavior change?
2. Is the technical approach innovative, feasible and have the potential to be an effective driver of hygiene behavior change?
3. Does the technical approach have the potential to be scaled-up?
4. Does the technical approach include a plan for engaging with local stakeholders/systems?
5. Does the EOI adequately address how the project would be managed?
6. Does the organization have prior experience in the technical area to effectively carry out the proposed activity?
7. Does the organization have the internal capacity and prior experience to comply with the administrative requirements of the grant?

SECTION 5: EOI SUBMISSION INFORMATION

INSTRUCTIONS

Eligible Applicants should submit an EOI following the format provided in Attachment A. EOIs should not exceed (3) three pages (not including the cover page) and must contain the information requested in Attachment A. EOIs that do not follow the format provided or are late will not be evaluated.

Applicants may submit multiple EOIs in response to this REOI under one or both focus areas, but no more than one EOI per organization will be recommended for preparation of a full application.

SUBMISSION INFORMATION

Questions and applications must be submitted electronically in English by the dates indicated on the cover page of the REOI. They should be directed to:

Attention: Ms. Amy Kirk
WASHPaLS Grants Manager
Email: Opportunities@WASHPaLS.org

Please insert the following text into the subject line of the submission email: WASHPaLS EOI-001.

Attachment A: Expression of Interest Form

Instructions: Please provide the following information in three (3) pages or less, not including this cover sheet. Please use Times New Roman 11 pt. font with one-inch margins. Applications must be prepared in English.

Expression of Interest	
Innovations in Hygiene Behavior Change for:	
<input type="checkbox"/> Habit formation and nudge theory	
<input type="checkbox"/> Gender Equity and Social Inclusion	
<i>Select one</i>	
Name of Organization:	Date:
Name of Primary Contact:	E-mail:
Address:	Phone:
DUNS Number, if available:	
Activity Title:	
Estimated Budget:	Duration of Proposed Activity:
Country(ies) where the Activity will be carried out:	

I, the undersigned, hereby submit this Expression of Interest to WASHPaLS for review and consideration. I have materially participated in its preparation. To the best of our knowledge, all information provided is current, complete, and accurate.

Name and Position

Signature

Date

Please provide the following information in no more than three pages. Recommended section page limits provided below are guidelines only.

Technical Approach (1.5 pages)

Note: Briefly describe your technical approach including:

- Statement that clearly articulates the problem or evidence gap in programming that the proposed Activity will address
- Technical approach, detailing how the approach is innovative, informed by evidence or local practice, and has the potential to be scaled-up
- The national and/or local context in which the Activity will be based.
 - Discuss current policies, programs or partnerships relevant to the proposed work
 - Reference existing analyses, needs assessments, or recent evaluations as may be appropriate, and how the proposed approach builds on these to improve hygiene behavior change programming
- Plan for engaging with local stakeholders and local systems
- The potential for the proposed approach to achieve a catalytic effect beyond the programming under this grant, as well as the potential for national and global influence

Timeline and Expected Results (0.5 pages)

Note: Briefly describe the Activity's expected timeline and results, including:

- Timing for the activity, showing major tasks and timelines.
- What indicators will be used to measure progress and achievement
- Who will be the target beneficiaries

Program Management (0.5 pages)

Note: Briefly describe how the Activity will be managed including:

- Key personnel involved in the activity and brief summary of relevant experience
- Where program operations will be based
- If there will be a remote management component, describe what backstop or Home Office support would be provided to programs located in a developing country

Previous Experience and Organizational Capacity (0.5 pages)

Note: Briefly describe the organization's capacity to manage the Activity including:

- Past performance in managing technical programs of similar size, scope and complexity
- Experience in managing U.S. Government funds or other donor funds for similar sized projects

Budget Estimate (on cover sheet):

- Please provide a budget estimate for the proposed activity based on the conceptualization that is presented in the EOI. Applicants who are invited to present a full application will be required to submit a detailed implementation budget.