REQUEST FOR APPLICATION (RFA)

AMENDMENT TO DUE DATES	
Due Date and Time for Questions:	November 23, 2022 by 11:59pm
Due Date and Time for Response to Questions:	November 25, 2022 by 5:00pm
RFA Closing Date and Time:	December 2, 2022 by 11:59pm

Program Name:	Upper Lempa Watershed Project
Request for Application (RFA) No:	10003-01
Date RFA Issued:	October 24, 2022
Pre-application Conference Date, if applicable:	N/A
Due Date and Time for Questions:	November 4, 2022 by 11:59pm
Due Date and Time for Response to Questions:	November 9, 2022 by 5:00pm
RFA Closing Date and Time:	November 18, 2022 by 11:59pm
Estimated Award Date:	January 2023

SECTION 1: PROGRAM DESCRIPTION

1.1 PURPOSE AND BACKGROUND

The purpose of this RFA is to solicit applications from prospective grantees to support Winrock International (Winrock) in the implementation of the Upper Lempa Watershed Project, funded by the U.S. Agency for International Development (USAID) Associate Award No. 72051922LA00001. The selected subawardee will be responsible for implementing studies and activities related to Gender Equality and Social Inclusion (GESI) and Gender-Based Violence (GBV) in relation with water security and natural resources management. The selected subawardee will be responsible for implementing studies and activities related to Gender Equality and Social Inclusion (GESI) and Gender-Based Violence (GBV) in relation with water security and natural resources management.

The USAID Upper Lempa Watershed Project (the "Project") works with institutions, municipalities, and civil society to address degraded water quantity, quality, and reliability in the Upper Lempa River watershed shared between El Salvador, Guatemala, and Honduras. Through this project, Winrock leverages expertise from sub-awardees to provide research for science-based mitigation to water

challenges and policy development. Through close coordination with international partners and local stakeholders, the Project will result in improved climate resiliency and governance over natural resources in the watershed by improving capacity for monitoring water resources and using data for evidenced based decision making; demonstrating USAID's Water Security Improvement process to local partners and its uses at municipal level; and assessing water resource management financing landscape to help stakeholders access resources.

1.2 OBJECTIVE AND PROGRAM DESCRIPTION

CONTEXT AND BACKGROUND

The Upper Lempa Watershed Project aims to ensure that water resources will be managed more efficiently and equitably, which will reduce water pollution, increase flows and reduce conflicts and violence related to the scarcity of the resource, achieving water security, whereas they threaten human health, physical security, the economy, prosperity, climate resilience and critical ecosystems essential for biodiversity; it has three working approaches, being: biodiversity, water security and mitigation of gender violence.

Furthermore, the Project strives to increase the voice, representation and influence of women and other marginalized groups throughout the Water Security Improvement (WSI) process.

In the countries of El Salvador, Guatemala and Honduras, the upper Lempa watershed region comprises 35 municipalities; the Trifinio Region in these three countries comprises 45 municipalities, which overlap in part with the upper basin of the Lempa River.

Work has been done in the Trifinio region to promote the Women's Network of Honduras, Guatemala and El Salvador (Red HOSAGUA); a participatory 2020-2024 strategic plan highlights information from the region in relation to the socio-economic conditions in which women live. Red HOSAGUA has identified the main problems facing women as the following[1]:

- Little control over economic resources;
- Weak empowerment and knowledge of their rights, which negatively influences women's participation in public, social, economic and political life;
- Low educational level and limited technical skills;
- Workload and/or household activities that reduce women's opportunities for participation in all areas; and
- Gender-based violence and ignorance of female sexual and reproductive health rights.

In 2016, the poverty rates respectively in El Salvador, Guatemala and Honduras were 29.2%, 59.3%, and most dramitically, 66%. The situation is more critical if we look closely at the rural areas, where poverty in El Salvador increases to 37.5% and in Honduras it is considered that in rural areas one in

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[1] Red HOSAGUA (Women's Network of Honduras, El Salvador and Guatemala), 2020. Strategic Plan 2020-2024.

five persons lives in extreme poverty. In the Trifinio region, the incidence of multidimensional poverty is 57.87% and the regional average Human Development Index (HDI) is 0.6111, well below the national averages of the three countries. In rural areas, as well as in the Trifinio region, poverty affects women to a greater extent than it does men, due to the differentiated conditions between both genders. For 2015, the Femininity Index in poor households was 104.1 in El Salvador, 103 in Guatemala, and 105 in Honduras. [2].

The lack of access to basic services mainly affects women, as they are usually in charge of the household and caretaking tasks. In the last decade, access to basic services in rural areas has improved across the three countries. In El Salvador rural electrification is around 93% coverage and access to wastewater sources has also improved. In Guatemala, electrification coverage is around 72% of households but sanitation remains a challenge and is a very relevant factor for problems related to disease transmission. In Honduras, according to the 2019 Economic Commission for Latin America and the Caribbean (ECLAC), the proportion of the national population that uses sources of improved drinking water is 91%; however, when disaggregated by geographical area, only 84% of the rural population has access to this right. Despite the progress made in rural potable water coverage, in the Trifinio region 31% of households lack potable water service in their homes. Among other factors, this is explained by the fact that the Trifinio region is crossed by the Central American Dry Corridor and greatly impacted by climate change. This condition affects rural women with the loss of crops and the consequent difficulties in accessing food, the decrease in flows of water sources and the loss of forests, essential resources that are used in households.[3]

Gender analysis in education shows that considerable progress has been made with regard to improvements in the enrollment ratio of boys and girls in primary and secondary schools, heading toward gender parity. However, the data can disguise adverse realities that are revealed when viewing the data closely. Guatemala's secondary school enrollment rate is barely 46%, which means, among other things, that there is a huge percentage of school-age children who do not attend school. In the particular case of girls, this is directly associated with the caretaking tasks and support in domestic matters, and by the cultural patterns in which girls are only assigned domestic trades, a situation that is further aggravated in rural areas. Education is intimately linked to the role women play in the formal labor market because, without completed academic studies, it is difficult for young women to meet job requirements for employment in institutions, companies and / or non-governmental organizations.[4]

According to ILO data, by 2018 there were unemployment figures in all three countries of more than 125,200 people. The most dramatic case is that of Honduras, where there are 172,700 unemployed people, 47.6% being women. In the case of employed women, many of them are self-employed or employed in the informal sector of the economy. Low educational attainment and various structural factors marginalize women to low-productivity jobs. To this are added other factors such as the lack of access to housing and productive lands that make economic discrimination a reality for many women or extremely limited economic autonomy, mainly in rural areas.[5]

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[2] Idem
[3] Idem.
[4] Idem.
[5] Idem.

In the face of this adversity there is much work to be done to overcome inequality gaps and achieve equity; for this, it is necessary to become aware of changes in behaviors and ingrained thoughts, such as rethinking that women cannot own land or receive inheritances. According to a 2018 diagnosis carried out by FUNDE, with support from the International Coalition for Access to Land, regarding land tenure and governance in the Trifinio region, only 8% of women in El Salvador actually own land. A similar situation is identified in the Trifinio regions of Guatemala and Honduras. It is not surprising that, given these limitations in the labor market and access to economic and productive resources, migration becomes a very concrete option for the population of the region. In the Trifinio region, 25% of the population has relatives who have emigrated outside the country, the vast majority of whom are women.[6]

Additionally, high levels of violence exist in the Trifinio region, with an uptick in recent years that includes an unprecedented increase in homicide rates, sexual violence, femicide, disappearances, and forced gang recruitment. Despite government security efforts, the rates of violent deaths of women, like other indicators, are very high. In El Salvador during 2017, the rate of violent deaths of women was 13.5% of all violent deaths, and of these, 75.9% were categorized as femicides. The situation is similar in Honduras and Guatemala; in Honduras, for example, 83% of sexual crimes are against female victims. The ECLAC 2019 highlighted that three of the five highest rates of femicide in Latin America were registered in Central America: El Salvador (6.8 per 100,000 women), Honduras (5.1 per 100,000) and Guatemala (2.0 per 100,000). Violence in all its expressions limits the integral development of girls, adolescents, young people and adult women, as well as limiting the full exercise of their universal human rights, including sexual and reproductive rights, that is, their physical autonomy. In addition, it is important to note that physical or sexual violence by the husband/life partner predominates.[7]

All these factors that define the situation of women in the Trifinio regions of the El Salvador, Guatemala and Honduras, and of rural women specifically, have shown some progress as a result of the efforts of the institutions of the countries and the broader efforts within the framework of SICA (Sistema de la Integración Centroamericana). Improvements are also the product of the efforts of women via their organizations and the effort to increase their levels of empowerment and participation in decision-making spaces. Although the situation at the level of the three countries has been favourably upwards in recent years, political participation remains low in relation to the participation of men.[8]

In Guatemala and Honduras, at the municipal level, there are gender directorates to address gender equity issues. These gender units have received training and a network of municipalities has been formed to focus on the issue of gender, but it requires greater support for the implementation of actions at the municipal level.[9]

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[6] Idem.
[7] Idem.
[8] Idem.
[9] Idem.

OBJECTIVES

A. Characterize gender-based violence (GBV) affecting women in the upper basin of the Lempa River;
B. Analyze GESI (Gender Equity and Social Inclusion), including youth, people with disabilities, and groups, and GBV in relation to access to natural resources management and water resources in quantity and quality;
C. Identify barriers to access to GESI/GBV care and response services, including a review of the Water Law (Ley General de Agua) in El Salvador;
D. To evidence and analyze the available resources and mechanisms that women have in situations of violence;
E. Formulate recommendations for approaches and actions to address the problem; and
F. Coordinate and organize with regional and local networks of women, in training processes and exchange of experiences on issues of rights and equity.

ACTIVITIES

- Collection of secondary information and experiences of other institutions that work on the approach to gender and gender violence;
- Construction of a map of actors (organizations, networks) involved in the attention of women in the project region;
- Conduct a study that incorporates a context analysis with a GESI and GBV approach, including poverty, for the evaluation of water security incorporating water resources laws, policies and regulations; characterization of gender-based violence and the relationship to water resources that affects women and indigenous peoples in the upper basin of the Lempa River;
- Design of a program and methodology for strengthening local and regional capacity to protect people at risk and victims; and potentially the realization of specific interventions to reduce and report risks;
- Development of local in-person workshops and trainings on topics related to gender-based violence, including power imbalances that result in women's lack of decision-making authority and unequal household tasks that create time burdens, as well as the stresses men face due to cultural expectations of their family roles and how these stresses are impacted by environmental issues, climate change, lack of water resources, need for restoration of eco systems; including findings from studies previously done.
- At least one knowledge exchange workshop between countries with participation of at least 60 persons;
- Work closely with local and/or regional organizations working in the region to address gender-based violence issues in water resources management; and facilitate women's participation in water management processes.
- Identify and link with existing support services for victims of gender-related violence, creating awareness about existing protocols for referral of cases, psychosocial care and training on the steps to follow and which institutions to contact for each specific case.
- Development of a proposal to enable communication channels through which information, consultations and/or referrals can be provided to beneficiaries or reporting parties.

METHODOLOGY

The Project recognizes the importance of understanding and communicating GESI and GBV issues to stakeholders throughout all project activities. Applicants should include their own methodological tools and knowledge in addition to those specified below. Applicants should also consider ADS 205 and the CARSI (Central American Regional Security Intiative) objectives with focus on the first and fourth (see Annex D).

Actions will be guided by five Gender Analysis domains established by ADS 205: Laws, Policies, Regulations and Institutional Practices; Cultural norms and beliefs; Roles, responsibilities and time; Access to and control over assets and resources; and Patterns of power and decision-making.

The five objectives of CARSI in Central America are: 1. To create safe streets for the citizens of the region. 2. Disrupt the movement of criminals and smuggling in and between Central American countries. 3. Support the development of strong, capable and responsible Central American governments. 4. Restore the effective presence of the State, services and security in communities in situations of danger; and 5. Foster higher levels of coordination and cooperation among the countries of the region, other international partners and donors in order to combat threats to regional security.

It requires analysis of the impact informal cultural norms and beliefs have on the ability of women and girls, men and boys to gain equal access to water resources. It is also important to know how marginalized groups are able to access water resources, particularly during challenging situations such as natural disasters and conflicts.

Data on GESI related to water resources, citizen security, and institutional policies and regulations need to be obtained, mainly at the local and national levels. By completing this desk review, a solid understanding of GESI will be able to ensure that this perspective is captured in the context analysis of the Water Security Assessment.

There is a lack of gender disaggregated data in the water sector, and this poses a big problem to track gender progress in water goals globally and even regionally. The Project will use its understanding of GESI and GBV information to identify gaps that need complementary data when it comes to water resources management.

The Project will conduct complementary GESI surveys. These can be implemented in conjunction with, or otherwise inform, the multidimensional poverty analysis of the Water Security Assessment (see Annex E). The project will interview women's associations in the area, especially SICA since it works on gender issues; representatives of the UN Women Project, local women, NGOs in the Trifinio region and staff of municipal Gender Units; as well as coordinate with Plan Trifinio and learn about the efforts of associations on gender equity work. The Project will use the new data to support other project activities, such as institutional capacity building to integrate equitable access and principles of gender-based violence mitigation into El Salvador's proposed new regulations at the national and municipal levels.

The Project's objective is to align the collection of complementary data as closely as possible with, or within, the Water Security Improvement process (see Annex E). It is important to hear from water

resource management experts about the GESI and GBV-focused organizations operating in this space and related sectors such as environmental conservation, natural resource management and agriculture.

The Project plans to support the capacity building of the Municipal Women's Directorates in Guatemala and Honduras and to introduce the women's network initiative to the municipalities of El Salvador as an essential element of our approach to successfully integrate GESI and GBV considerations into municipal water planning.

INDICATORS

Gender performance indicators ensure that GESI and gender-based violence are an integral part of the project. These three (3) project indicators directly link the Project's activities to the gender-based violence goals of USAID's Central American Regional Security Initiative.

The following indicators should be compiled:
- Number of persons trained with U.S. Government (USG) assistance to advance outcomes consistent with gender equality or female empowerment through their roles in public or private sector institutions or organizations.
- Number of municipal instruments (laws, policies or procedures) drafted, proposed, or adopted with USG assistance designed to improve prevention of or response to sexual and GBV at the regional, national, or local level.
- Number of people reached by a USG-funded intervention providing GBV services (e.g., health, legal, psycho-social counseling, shelters, hotlines, etc.).

EXPECTED PRODUCTS

- Preparation of work plan;
- Design of research methodology and data collection tools;
- Field report and preliminary report of the study;
- Final GESI/GBV analysis report, which will include the gap analysis study. The GESI analysis will provide information for the Water Security Assessment, and as such, should be completed no later than fourth months after the agreement is signed.
- Training program document/methodology and workshop schedule;
- Report of results: trainings, exchange of regional experiences and people served (at least an exchange of experiences; train 190 people, with a maximum of 30 people per training session);
- Results of surveys and report of compliance with indicators (600 people served to reduce gender-based violence). All data will be gender and age disaggregated; and
- At least two (2) municipal instruments designed to improve the prevention or response to gender-based violence.

SECTION 2: SUBAWARD INFORMATION

2.1 ANTICIPATED NUMBER OF SUBAWARDS TO BE ISSUED

The Upper Lempa Watershed Project expects to award up to one (1) subaward under this RFA but reserves the right to award more or none based on the quality of applications received and availability of funding.

2.2 ESTIMATED AMOUNT OF SUBAWARDS

It is expected that an individual subaward amount will not exceed $80,000.00 or the equivalent in local currency. The final amount awarded will depend on award activities and final negotiations.

2.3 ANTICIPATED START DATE AND DURATION OF SUBAWARDS

The anticipated period of performance is from January 2023 to January 2024, depending on the negotiated award activities. The duration of the subaward is expected to be one (1) year.

2.3.1.1.1.1.1.1.1.1   TYPE OF SUBAWARDS TO BE ISSUED

Winrock will determine the appropriate subaward mechanism, in consultation with the applicant during the negotiation process, based on the pre-award assessment of the applicant, nature of the award activity, and estimated total cost of the award.

SECTION 3: ELIGIBILITY INFORMATION

3.1 ELIGIBLE APPLICANTS

This solicitation is open to all organizations including non-profit and for-profit non-US organizations. To be minimally eligible for funding, applicants must comply with the following conditions:

- Be legally registered or otherwise authorized to conduct business in the applicant's country or countries of operation.
- Agree to be subject to a pre-award assessment to examine that the applicant has sound management in the form of financial, administrative, and technical policies and procedures.
- Be able to demonstrate successful past performance in implementation of integrated development programs related to gender equity and inclusion and gender based violence prevention. Successful past performance in natural resources is a plus.
- Provide a documentable, measurable minimum cost-share requirement of 10% or more.
- At the time of application, provide a Unique Entity ID (UEI) or evidence of having requested a UEI via the SAM.gov platform. If the applicant already has a UEI number, it should be included in their application. All subawardees are expected to have a UEI number before an award is issued. UEI numbers can be obtained online at https://sam.gov/content/duns-uei; if assistance is needed, please advise to proyectoCARL@winrock.org.

SECTION 4: INSTRUCTION TO APPLICANTS AND SUBMISSION INFORMATION

4.1. PRE-APPLICATION CONFERENCE

A pre-application conference will not be held.

4.2. Technical Application

Applicants will develop their applications based on their understanding of the program's needs, their prior institutional experience and their determination of the approaches that would be feasible and successful. In all cases, applicants shall clearly explain the rationale for the proposed approaches chosen.

Submissions must clearly state the objectives and the expected results of the activity within the life of the funding period and define an implementation plan with a proposed time frame and budget. On-going monitoring and reporting of the funded activities will be the responsibility of the applicant. An Application Form template is provided as an annex to this RFA.

4.3. COST APPLICATION

Cost applications shall be submitted separately from the technical application. Applicants shall submit a summary and detailed budget in Microsoft Excel with budget notes identifying how the applicant would allocate any subaward funds received during the term of the potential agreement. The budget narrative should explain and justify the need for the costs proposed in the budget. The narrative should help the reviewer understand why an item of cost is necessary and how it will be used to support the activity for which it will be incurred. The budget narrative should demonstrate the relationship between the proposed activities and the budget. Just as the technical application should reflect the applicant's understanding of the objectives and the proposed approach to achieve those objectives, the budget and the accompanying narrative should be realistic and show a similar understanding of the financial requirements of the proposed activities. A budget and narrative template is provided as an annex to this RFA.

4.4. COST-SHARE

☒ Cost share is required

Applicants are required to provide cost-share of at least 10%, demonstrating their commitment to the proposed subaward activities in order to be competitive. Cost-share may be in the form of cash or in-kind contributions, including real property, equipment, supplies, and other expendable property. Other examples of cost-share include volunteer services and donated office/venue space. To be counted, a cost-share contribution must:

- Be verifiable – The applicant must be willing and able to provide sufficient documentation to support all recorded cost-share.
- Not included as contributions for any other USG-assisted program.
- Necessary and reasonable for efficient and proper accomplishment of the objective(s).

4.5. SUBMISSION GUIDELINES

All questions and other communications regarding this RFA should be submitted in writing to proyectoCARL@winrock.org. Written responses to questions will be made available to all applicants.

Applications must be submitted in English or Spanish, and the technical application may not be more than 15 pages, using Times New Roman, font size12, single-spaced. Annexes and CVs of proposed staff should be included as part of the application, but are not included in the aforementioned page limit.

Applications (including a technical description, estimated budget and supporting documentation) must be submitted electronically via email to proyectoCARL@winrock.org and should reference RFA No. 10003-01. Applications must be submitted no later than the time and date indicated on the cover page.

Incomplete or late applications will be marked as such and will be ineligible for review or award; however, Winrock reserves the right to accept and include incomplete or late applications in the review and award process when it is considered within the best interest of Winrock to do so. Applications that are submitted late or incomplete run the risk of **not** being considered for review.

Applications may be withdrawn by written notice via email received at any time before an award is made. Applications may be withdrawn in person by an organization or its authorized representative if the representative's identity is made known and the representative signs a receipt for the application before award is made.

A complete submission, at a minimum, will include the following:

- A copy pf the applicant's valid legal registration
- A completed and signed technical application
- Personnel with expertise and experience in the following areas:
  - Gender-based violence (GBV)
  - Gender Equity and Social Inclusion (GESI)
  - Natural Resources
- CVs for project personnel, including a narrative regarding professional experience and areas of expertise
- Organizational curricula demonstrating past experience in projects related to this RFA
- A completed and signed budget application
- Budget supporting documents, including the budget narrative
- Organigram
- Financial Statement (year 2021)

Receipt time for electronic submissions is when the application is received by Winrock's Internet Server. Please do not send files in ZIP format. Hand delivery and hardcopy paper submissions of the application will not be accepted or considered.

SECTION 5: APPLICATION EVALUATION AND REVIEW PROCESS

5.1. MERIT REVIEW

The criteria presented below have been tailored to the requirements of this RFA. A total of 100 points are possible for all components of the application. The relative importance of each criterion is indicated by approximate weight by points.

In evaluating the applications, Winrock will examine overall merit and feasibility, as well as specific criteria relevant to each component as elaborated below. Up to one (1) award will be made to the overall highest scores to the responsible applicant(s). Applicants should note that these criteria: (1) serve as the standard against which all applications will be evaluated, and (2) serve to identify the significant matters which applicants should address in their applications.

Merit Review Criteria	Points
1. **Technical Approach** Clarity and appropriateness of proposed technical approach to achieve the RFA's proposed objectives: • Technical Activities • Methodology • Products/Results • Level of Innovation in Technical Proposal	35 (15) (10) (5) (5)

2. **Organizational Capacity**
Extent of applicant's capacity to address the RFA's proposed objectives with the following skills, abilities and commitments of proposed personnel:
• Personnel with expertise and experience in the following areas
   o Gender-based violence (GBV)
   o Gender Equity and Social Inclusion (GESI)
   o Natural Resources
• Capacity for analysis and preparation of gender studies; and
• Preparation, tabulation and analysis of gender surveys.
• Evidence of teamwork in past activities, as well as transmitting instructions, work toward the achievement of results, ease of communication and leadership of groups;
• Capacity to resolve conflicts and achieve agreements amongst different groups; excellent interpersonal relationships;
• Excellent planning and organizational capacity, results-oriented and goal-fulfillment;
• Problem solving ability;
• Ability to write executive reports.
	40
	
	(20)
	
	(20)

3. **Past Performance**	25

Demonstrated previous or on-going experience/knowledge of gender equity and mitigation of gender-based violence; natural resource management with gender equity. Minimum of 2-5 years of experience in: • GBV and GESI training workshops and exchanges; • Application of knowledge with groups of adults, with little academic training; • Management of groups of people with little academic training; • Experience in care services to attend victims of violence; and • Experience in facilitating women's networks and strengthening networks of women and young people on gender issues and reduction of gender violence. • Experience working in rural areas.	
Overall Rating (out of 100 points)	100

5.2. REVIEW PROCESS

Subaward applications will be reviewed and evaluated by an evaluation panel using the merit review criteria indicated above.

Cost applications will not be scored but will be reviewed and evaluated for reasonableness and effectiveness based on the scope of activities being proposed.

It is anticipated that awards will be made within two (2) months after the submission deadline, as stated on the cover page of this RFA. Final negotiations and award will be managed by Winrock.

SECTION 6: OTHER TERMS AND CONDITIONS

6.1. DISCLAIMERS
• The issuance of this solicitation does not commit Winrock to make an award to any prospective subawardee responding to this solicitation. Prospective subawardees will not be reimbursed for costs incurred in the preparation and submission of an application. Winrock reserves the right to reject any and all applications, or to make an award without further discussion or negotiation.
• All awards will be negotiated, denominated and funded in local currency. All costs funded under the subaward must be allowable, allocable and reasonable.

6.2. CONFLICT OF INTEREST
Applicants must provide disclosure of any past, present or future relationships with any parties associated with the issuance, review or management of this RFA and anticipated subaward. Failure to provide full and open disclosure may result in Winrock having to re-evaluate selection of a potential applicant.

6.3. OTHER CONDITIONS

- Applicants must agree and be willing to sign and submit required certifications before a subaward is issued.
- For those selected for a subaward, Winrock will conduct a pre-award risk assessment.
- Issuance of subaward agreements will be subject to applicable prior written approval by Winrock funder, as needed.
- Applicants may only submit one application per prime organization under this RFA.
- Individuals are not eligible to receive funding under this solicitation.
- Applications must remain valid for at least 180 days.
- Application forms should be signed by an authorized agent of the applicant's organization.
- Applicants that submit applications that meet or exceed the evaluation criteria will be notified of next steps in the application process.

Additionally, the following items cannot be purchased under the potential resultant subawards:

- Any purchases or activities deemed unnecessary to accomplish subaward purposes as determined by Winrock, including any subawardee headquarters expenses that are not directly linked to the implementation of the proposed activities
- Private ceremonies, parties, celebrations or "representation" expenses
- Previous obligations and/or bad debts
- Expenses related to overtly religious purposes
- Expenses intended to influence the outcome of elections or other political processes
- Fines and/or penalties
- Creation of endowments
- Alcoholic beverages
- Real property (land, including land improvements, and structures thereto)

The following items are also ineligible or restricted under USAID-funded subawards:

- Prohibited goods under USAID eligibility rules, including: military equipment, surveillance equipment, commodities and services for support of police or other law enforcement activities, abortion equipment and services, luxury goods, and gambling equipment, and weather modification equipment
- Restricted goods under USAID eligibility rules, such as agricultural commodities, motor vehicles, including motorcycles, pharmaceuticals, pesticides, used equipment, contraceptive products, USG-owned excess property or fertilizer
- Goods and services whose source and nationality are other than Geographic 937. Complete geographic code guidance can be found in the Geo Code Reference.
- Construction or infrastructure activities of any kind.

SECTION 7: ANNEXES
Annex A – Program Description

Upper Lempa Watershed Project

WATER IS A CRUCIAL PART OF ADAPTATION TO CLIMATE CHANGE AND GLOBAL WARMING; AND IT IS A DECISIVE LINK BETWEEN SOCIETY AND THE ENVIRONMENT.
- TRIFINIO PLAN STATEMENT, MARCH 2022, INTERNATIONAL DAY OF WATER

The USAID Upper Lempa Watershed Project (2022 – 2027) is an associate cooperative agreement under the **Sustainable Water Partnership** (SWP), a global USAID project that promotes global water security efforts through collaborative planning and evidence-based decision-making. These principles are central to the Upper Lempa Watershed Project to identify practical solutions to address man-made and climate-related water security risks.

Purpose. The Project works with institutions, municipalities, communities, and civil society to address degraded water quantity, quality, and availability in the Upper Lempa River watershed shared by El Salvador, Guatemala, and Honduras.

Objectives. Through close coordination with international regional and local partners and local stakeholders, the Project improves climate resiliency and governance over natural resources through three objectives: strengthening capacity for monitoring water and using data to make decisions; demonstrating USAID's Water Security Improvement process to local partners and its uses at the municipal level; and assessing the water resource management financial landscape to help stakeholders access resources.

EXPECTED RESULTS

- **260,220** hectares of biologically significant areas with improved natural resource management
- **180,000** people benefiting from improved water resource management
- **37** institutions with improved capacity to assess or address climate change risks
- **950** people in the public and private sector trained to advance gender equality and female empowerment

Implementers. The Upper Lempa Watershed Project is implemented by Winrock International with partners Tetra Tech ARD, Stockholm Environment Institute, and The Center for Water Security and Cooperation.

TETRA TECH   SEI Stockholm Environment Institute   CWSC THE CENTER FOR WATER SECURITY AND COOPERATION

Contacts

El Salvador	United States
Deisy López	Jennifer Solakian
Chief of Party	Project Manager

proyectoCARL@winrock.org

MAP OF THE UPPER LEMPA WATERSHED

winrock.org

Annex B – Application Form

GRANT APPLICATION FORM

GRANTEE INFORMATION	
Name of Applicant	
Address	
Name of Applicant's Authorized Representative	
E-mail Address	
UEI Number	
VAT Number, if applicable	
Phone Number	

GRANT INFORMATION	
Grant Name	
Location Where Activity will be Performed	
Period of Performance	

BUDGET SUMMARY *(Please note that a detailed budget must be included in the submission)*

	Local Currency	USD
Amount Requested		
Cost-share amount		
Total Budget		

KEY PERSONNEL *(Please list key personnel and short description: e.g. Project Manager, Technical Lead.)*

Name	Title	Description

APPLICANT CAPABILITY AND PAST PERFORMANCE *(Please provide a brief narrative describing your organization's mission and primary activities, and also list annual income over the past three years along with main financial contributors/funders)*

Organizational Background Narrative

Organizational Capacity

Year	Annual Income	Financial Contributor/Funder

PAST PERFORMANCE *(Please describe three major projects in which your organization was involved in the past two years, which show the organizations expertise and ability to meet the goals of the proposed grant.)*

First Project (if applicable)	
Project Title	
Period of Performance	
Location	
Role of Organization (leader or partner)	
Project Objectives	
Project Results	
Total Budget	
Funding Source and Contact Information	
Second Project (if applicable)	
Project Title	
Period of Performance	
Location	
Role of Organization (leader or partner)	
Project Objectives	
Project Results	
Total Budget	
Funding Source and Contact Information	

STATEMENT OF LIABILITY

I, the undersigned, being the person responsible in the applicant organization for this project, certify that the information given in this application is true and accurate.

Name	
Position	
Signature	
Date	

PROGRAM DESCRIPTION:

Background *(Please provide a brief and necessary background information on the issues and the problems that the proposed grant will address.)*

Goals and Objectives *(Please state the goal and its corresponding objectives to address the problems identified above.)*

Goal:
- Objective 1
- Objective 2
- Objective 3

Summary *(Please provide a brief summary of the proposed grant including objectives and outcomes.)*

Technical Approach/Strategy

Activities *(Please provide a detailed description of all the activities to achieve each objective. Explain the logical connection between the proposed activities and the fulfillment of objectives.)*

Expected Outcomes and Targets/Deliverables Narrative *(What are the expected results that the project will bring about? Please describe how data will be gathered and analyzed, and how performance will be monitored, measured, and reported.)*

Beneficiaries *(Please describe the type and number of beneficiaries.)*

Project Work-Plan and Timeline *(Please provide a summary narrative of the work-plan and timeline in addition to attaching a copy of the proposed work-plan table. Include a description of how the project will be managed and operated administratively; for example, which staff will perform certain tasks.)*

Sustainability *(Please describe the measures you will take to ensure sustainability after the end of the grant agreement e.g. capacity building, institutionalization, etc. Please also describe how the organization will allocate its time and manage its existing commitments while also performing this project.)*

Attachments:
Include any necessary attachments in support of your application.

Annex C – Budget Format and Narrative

PROJECT BUDGET (ADD PROJECT NAME)
(Organization name's)
(Project execution period)

BUDGET LINE No.	DESCRIPTION	QTY	UNIT COST	FREQUENCY /MONTHS	REQUESTED AMOUNT	CONTRIBUTION/ COST SHARE	TOTAL PROJECT
1	SALARIES						
1.1					$0	$0	$0
	Sub-total Salaries				$0	$0	$0
2	BENEFITS						
2.1					$0	$0	$0
	Sub-total Benefits				$0	$0	$0
Sub-total Salaries + Benefits					$0	$0	$0
3	TRAVEL						
3.1					$0	$0	$0
	Sub-total Travel				$0	$0	$0
4	EQUIPMENT >$5,000						
4.1					$0	$0	$0
	Sub-total Equipment >$5,000				$0	$0	$0
5	SUPPLIES						
5.1					$0	$0	$0
	Sub-total Supplies				$0	$0	$0
6	OUTSIDE SERVICES/CONSULTANTS FEES						
6.1					$0	$0	$0
	Sub-total Outside Services/Consultants fees				$0	$0	$0
7	CONSTRUCTION						
7.2					$0	$0	$0
	Sub-total Construction				$0	$0	$0
8	OTHER DIRECT COSTS						
8.2					$0	$0	$0
	Sub-total Other Direct Costs				$0	$0	$0
9	WORKSHOPS/TRAININGS						
9.1					$0	$0	$0
	Sub-total Workshops/Trainings				$0	$0	$0
10	INDIRECT COSTS						
10.1	NICRA (if apply) 1/				$0	$0	$0
	Sub-total Indirect Costs				$0	$0	$0
	TOTAL BUDGET				$0	$0	$0

1/

F. _____

Elaborated

Name:

Position:

Date:

F. _____

Approved

Name:

Position:

Date:

BUDGET NARRATIVE OF FUNDS REQUESTED FOR THE UPPER LEMPA WATERSHED PROJECT
(Organization name's)
(Project execution period)

BUDGET LINE	DESCRIPTION	REQUESTED AMOUNT	DESCRIPTION OF EXPENSES INCLUDED IN BUDGET LINES
1	SALARIES		
1.1		$0	
	Sub-total Salaries	$0	
2	BENEFITS		
2.1		$	
	Sub-total Benefits	$	
Sub-total Salaries + Benefits		$	
3	TRAVEL		
3.1		$	
	Sub-total Travel	$	
4	EQUIPMENT >$5,000		
4.1		$	
	Sub-total Equipment >$5,000	$	
5	SUPPLIES		
5.1		$	
	Sub-total Supplies	$	
6	OUTSIDE SERVICES/CONSULTANTS FEES		
6.1		$	
	Sub-total Outside Services/Consultants fees	$	
7	CONSTRUCTION		
7.1		$	
	Sub-total Construction	$	
8	OTHER DIRECT COSTS		
8.1		$	
	Sub-total Other Direct Costs	$	
9	WORKSHOPS/TRAININGS		
9.1		$	
	Sub-total Workshops/Trainings	$	
10	INDIRECT COSTS		
10.1	NICRA (if apply) 1/	$	
	Sub-total Indirect Costs	$	
	TOTAL BUDGET	$	

Annex D – Informational Links

- [ADS 205 (English only)](#)
- [CARSI (English version)](#)
- [CARSI (Spanish version)](#)

Annex E – Water Security Improvement Methodology

The Project addresses Water Resource Management (WRM) challenges through the implementation of the Water Security Improvement (WSI) process developed as part of the USAID-funded Sustainable Water Partnership. The WSI methodology is achieved through a five-step process (see Figure below) based on assessing, planning, funding, and implementing water security improvement actions that address risks affecting water security.

Step 1 of the WSI Process is to **define** the WSI space, including the target geography and key water problems to be addressed.

Step 2 focuses on **assessing risk**, defining the geographic, technical, institutional, and temporal space to work. Step 2 also includes the assessment and validation of water risks based on desk reviews and a series of assessments, evaluations, and studies undertaken by the Project. The goal of Step 2 is to produce a stakeholder-validated **Water Security Assessment Report** on the current and future status of water resources and water governance as well as identifying priority water security risks and hot spots in the target geography. Several Project activities, including the Organizational Capacity Assessment, Water Security Law Assessment, and Water Resources Management Budgeting and Financial Landscape Assessment and their contributing evaluations are associated with steps 1 and 2 of the WSI process.

Step 3 of the WSI process involves water security **planning**, a participatory process that aims to identify, evaluate, and select interventions that increase water security. The planning process builds on the water security risks defined in the Water Security Assessment Report and will consider the costs of key actions against the benefits to current and future conditions in the target geography. The goal of Step 3 is to prepare **Water Security Improvement Plans** (WSI plans) that define manageable intervention(s) that address priority risks in the defined setting for selected municipalities.

Implementation of water security interventions and actions outlined in Water Security Improvement Plans is Step 4 of the WSI process. Implementation of tangible actions and measures that improve water security may be captured under four categories: (1) policy and institutional, (2) social and behavioral, (3) gray infrastructure, and (4) green infrastructure,

Lastly, Step 5 of the WSI process is the **monitoring** of water security, which is a continuous process of tracking and assessing information with the intent of improving decision-making and performance throughout the life of the Project.

WSI PROCESS

STEP 1 — DEFINE

WSI SPACE
* Socio-institutional engagement space
* Geographic area
* Priority water risks
* Time horizon

STEP 2 — ASSESS RISKS

WATER SECURITY
* Physical status
* Management/institutional settings
* Risk studies

STEP 3 — PLAN & FUND

PREPARE WATER SECURITY ACTION PLANS
* Exploration and analysis of solutions
* Robust decision making
* Funding identification

STEP 4 — IMPLEMENT

INTEGRATED ACTIVITIES
* Gray infrastructure
* Green infrastructure
* Institutional improvements
* Behavioral change campaign

STEP 5 — MONITOR & EVALUATE

ADAPTIVE MANAGEMENT
* Measure
* Reflect
* Improve