



# CLEAN CITIES, BLUE OCEAN

Annual Program Statement – Modification 03

Opportunity Number: CCBO-APS-Philippines-001  
Modification Number: 03  
Date: September 18, 2020  
Regarding: Updates to the Terms of Reference and Application

Dear interested applicants,

A modification to the Philippines Annual Program Statement is being issued to incorporate lessons from the previous closing rounds. The modifications include:

- 1) Removal of the remaining three review rounds (September 25, December 4, 2020) and replacement with January 11, 2021 and March 1, 2021.
- 2) Reorganization to the structure of the Terms of Reference and Concept Paper format

All updates are highlighted in yellow for easy reference. Should you have any questions or concerns about these changes, you may send an email to [opportunities@cleancitiesblueocean.org](mailto:opportunities@cleancitiesblueocean.org). All other terms and conditions of the solicitation remain the same.

Thank you,

Jon Angin  
Chief of Party  
Clean Cities, Blue Ocean



**USAID**  
FROM THE AMERICAN PEOPLE

# CLEAN CITIES, BLUE OCEAN

## Annual Program Statement

Opportunity Number: CCBO-APS-Philippines-001

Phase 1: Concept Papers

Issuance Date: February 26, 2020

Deadlines for Concept Papers: 6pm Philippine Standard Time on the following dates:  
March 20, May 29, July 30;  
**January 11, March 1, 2021**

Concept Paper Template: [https://tetratechard.formstack.com/forms/aps\\_philippines\\_001\\_concept\\_paper\\_v3](https://tetratechard.formstack.com/forms/aps_philippines_001_concept_paper_v3) (please use this updated template)

Phase 2: Full Application

CCBO will accept and review Concept Papers in rounds, according to the closing dates listed above. Those selected to proceed to submit a Full Application will be notified shortly after the review.

Questions: [opportunities@cleancitiesblueocean.org](mailto:opportunities@cleancitiesblueocean.org)

In August 2019, Tetra Tech was awarded the Clean Cities, Blue Ocean (CCBO) Program, a five-year contract from the U.S. Agency for International Development’s (USAID) Bureau of Economic Growth, Education, and Environment’s Office of Land and Urban. CCBO is responding to the global crisis of ocean plastic pollution by targeting pollution directly at the source in cities and towns, specifically in rapidly urbanizing areas throughout low- and middle-income countries. Pursuant to the authority contained in the U.S. Foreign Assistance Act of 1961, as amended, Tetra Tech is authorized to issue Grants under Contract to help meet its project objectives. Funding for this activity is provided under USAID Contract no. AID-OAA-I-14-00059 / 7200AA19F00016.

**CCBO seeks to support effective, locally led solutions and approaches in the Philippines for 3R practices (reducing, reusing and recycling) and solid waste management (SWM) that combat marine debris. To be effective, 3R/SWM solutions must be grounded in local contexts and systems and must be implemented in close collaboration with local government to build a long-term enabling environment that amplifies impact and ensures sustainability beyond the life of the CCBO program.**

Applications will be reviewed and evaluated in two phases. In Phase 1, eligible organizations are invited to submit a short Concept Paper which will be reviewed on a bi-monthly basis, according the closing dates listed above. Concept Papers will be reviewed by the CCBO Review and Evaluation Committee

(REC) according to the evaluation criteria outlined in Section 4. Only successful applicants will be invited to proceed to Phase 2 through submission of a Full Application; unsuccessful applicants will be notified through email.

CCBO seeks to build strong, sustainable enabling environments where local organizations, members of the private sector, and communities can work together to achieve lasting impacts. Accordingly, in the review of Concept Papers, CCBO may identify grant activities that are aligned with work other USAID CCBO stakeholders are conducting or interested in conducting, including local governments and the private sector. In these instances, CCBO may ask successful Concept Paper applicants if they would be interested in collaborating with other stakeholders with the goal of amplifying program impact, partnerships and sustainability.

CCBO reserves the right to fund any or none of the Concept Papers submitted. Additionally, any award pursuant to this funding opportunity is contingent upon the availability of funds. Applicants are encouraged to read the Annual Program Statement (APS) in its entirety before submitting a Concept Paper. This solicitation consists of this cover letter and the following sections:

Section 1: Terms of Reference

Section 2: Award and Administration Information

Section 3: Eligibility Information

Section 4: Evaluation Criteria

Section 5: Submission Instructions

## SECTION I: TERMS OF REFERENCE

### Background

Globally, the Philippines is the third-largest source of discarded plastic that ends up in the ocean, behind only China and Indonesia.<sup>1</sup> The country generates an estimated 2.7 million tons of plastic waste annually—twenty percent of which is estimated to end up in our oceans. The largest drivers of these numbers are a growing consumer base (population growth, economic status, etc.); an evolution to more single use plastics; a lack of regulation, policy, and enforcement for keeping waste out of our natural environment; inadequate waste infrastructure to meet the rapid expansion of discarded materials; and historically uncoordinated efforts by the public and private sectors. Over the last year, plastic pollution has become one of the top priorities for the Duterte Administration, representing a significant opportunity to harness political will for national, regional, and global change.

The human, economic, and environmental costs of poor waste management are mounting. For example, citizens living in or next to disposal sites have limited access to clean water; and tourism development, a primary source of economic growth and investment, is tied to natural assets and biodiversity which are under threat from plastic on beaches and in the ocean near shore. Because of these impacts, many national and local actors have been compelled to action, but with the current infrastructure, regulatory environment, and financial systems in place, they are challenged to improve SWM.

Enhanced infrastructure, collection systems, and markets for recycled and reusable products are critical if the Philippines is to preserve their environmental resources. In the Philippines, SWM legislation exists, such as the Republic Act 9003 (also known as the Ecological Solid Waste Management Act of 2000), but will remain relatively ineffective—and in some areas completely ineffective—without support to: establish and strengthen markets required for the regulations to succeed, develop sustained public support for recycling and consistent recycling practiced by households and businesses, increase private sector engagement and investment, and improve the overall enabling environment for local governments to implement and enforce legislative directives. The Philippines is ripe for progress in 3Rs and SWM, with growing national and local interest and demand for change.

### CCBO Objectives

CCBO is a five-year project, targeting ocean plastics pollution directly at their source in cities and towns, specifically in rapidly urbanizing areas throughout low- and middle-income countries. CCBO is working to strengthen the capacity of cities and towns to improve waste management practices through innovative and evidence-based reuse and recycling strategies and establish enhanced local and regional markets for recycled plastic. CCBO seeks to:

1. Promote 3Rs and strengthen local and regional markets for recycled plastic;
2. Build social behavior change for 3Rs and sustainable waste management;
3. Increase capacity and effective governance of SWM and recycling systems; and
4. Support for international fora, public-private partnerships (PPPs), and multi-stakeholder alliances.

### CCBO Grant Program - Philippines

CCBO will rely heavily on its grant program and implementing grantees in the Philippines to help achieve overall project and country-specific objectives. Potential grantee organizations may include non-governmental organizations (NGO), civil society organizations (CSO), community-based organizations (CBO), private foundations and universities, research institutions, business associations, and private

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<sup>1</sup> Plastic inputs from land into the Ocean, Jenna R. Jambeck et al, (2015) *Science*,347(6223): 769.

companies operating or able to operate in one of CCBO’s pilot sites or other areas of interest, as described on page 5. Former and current USAID Municipal Waste Recycling Program (MWRP) grantees are also encouraged to apply.

### **Geographic Focus of Activities**

In the Philippines, CCBO has developed a short-list of initial “pilot” engagement sites, considering areas where: strong existing and successful initiatives can be built upon; biologically significant areas can be strongly impacted; local government units (LGUs) are exhibiting strong interest and ability to buy-in; private sector and civil society stakeholders are active or interested in working; and there is high potential for greenhouse gas reduction/mitigation from plastic waste or solid waste reduction.

Using these criteria, CCBO will prioritize three “pilot sites” in the Philippines:

- **Batangas City and Batangas Province** is a coastal location—complete with a national port—and significant marine biodiversity, active tourism industry, and supportive local government all present ideal characteristics for a primary CCBO engagement site. The existence of waste infrastructure to build upon represents a unique opportunity to strengthen an existing platform toward a “model system.”
- **Iloilo City and Iloilo Province** is a developing tourist hub, biologically significant marine area, and has recently launched voluntary SWM initiatives. For example, in September 2019 the Provincial Environment and Natural Resources Office announced their implementation of the "Barangay Kapitolyo Solid Waste Management" program, which covers five major policies, such as a refuse or reduce strategy; sewage management; segregation or source policy; no segregation, no collection policy; and a recycling strategy. The desire to utilize governance to improve waste and recycling conditions offer the challenge of establishing effective enforcement mechanisms, which can drive significant waste system improvement.
- **Metro Manila:** At this time, CCBO is no longer accepting Concept Papers for Metro Manila under this APS.

### **Illustrative Activities:**

CCBO grant activities may support program objectives by testing new or evidence-based approaches, technologies, or tools that have the potential to be replicated, scaled, and sustained. Lessons learned and results of CCBO grants help expand the body of knowledge of successful and replicable 3R/SWM models that can be recommended to government, the private sector, civil society, and other international development actors for future investment, programming, or policy change.

**Note: Applicants should strategically focus on one and no more than three activities that are aligned with their organizational strengths, experience, and will result in measurable impact.**

CCBO’s priority focus for Concept Papers in the aforementioned cities include:

#### **Improve Enabling Environment for 3Rs**

- Design and test reusable and refillable product delivery models.
- Design and test locally appropriate recycled or upcycled plastic products or technologies for reusing material.
- Convene public and private stakeholders for policy dialogue that improves the enabling environment for 3Rs.

### Improve the Lives of Informal Waste Collectors

- Test technologies, tools and strategies that increase informal waste collectors' and handlers' efficiencies in collecting and separating solid waste and expanding their customer base.
- Improve informal waste collectors' health and safety through training and protective uniforms and gear.
- Train informal waste collectors to serve as recycling educational, consultative resources for communities.
- Establish and/or strengthen independent waste collector cooperatives to formalize and promote their societal standing and policy advocacy.

### Build Local Government Capacity for Improved Solid Waste Management

- Develop and promote local evidence-based 3R/SWM strategies, tools, or technologies to inform and improve local and national policies.
- Design, test, or scale decision-making software or other technologies to help communities and governments strengthen and monitor their service delivery models.
- Provide a pilot program for collection and recycling schemes that the LGU can adopt and replicate in other areas of the locale.
- Establish or strengthen the ability of local governments and independent waste collectors to continue providing services and following best practices in health and safety during natural disasters, political unrest, and health outbreaks.
- Support local governments in strengthening coordination among various levels of government (barangay, municipal, provincial, and national government) and across different branches and departments of government that can advance 3R/SWM policy and its enforcement.
- Support local governments in promoting gender equality and/or non-discrimination of women and girls in the 3R/SWM sector through policy or programs.

### Build Capacity for Gender Equality

- Design and carry out capacity building that advances gender equality and female empowerment in the 3R/SWM sector that can be scaled. Capacity building may include government agencies, public and private health, financial, and education institutions, and civil society organizations that seek to strengthen the institution's/organization's capacity to advance gender equality or female empowerment.

**Cross Cutting: Enhance the Economic Empowerment of Women in 3R/SWM:** CCBO seeks to incorporate gender-sensitive and gender-transformative approaches in all of its activities, including grants. Applicants are encouraged to pursue an inclusive approach that fosters gender equality, reduces gender gaps, empowers women and girls, and addresses the unique challenges that affect women, youth and waste collectors and handlers differently. Applicants' proposed activities that address the above objectives should clearly indicate specific activities and approaches to accomplish this cross-cutting goal.

**Cross Cutting: Building Collective Action through Partnerships:** To amplify impact, CCBO will identify grant activities that demonstrate an ability to generate lasting sustainable impacts, partnerships, and investment in activities aimed at reducing ocean plastics and improving SWM. Applicants are encouraged to explore various forms of private sector and local government engagement, including collaborations with financial and non-financial (in-kind) resource contributions; projects to pilot and

scale private sector approaches for greater impact; and establishing effective procedures for monitoring progress.

### **Illustrative Indicators**

CCBO uses performance indicators to monitor and measure progress towards its desired results. Applicants' proposed grant activities must contribute to CCBO's program indicators and may include any combination of the following as relevant to their activity. Below is the current list of CCBO key performance indicators in their thematic categories.

<b>Thematic Category</b>	<b>Indicator</b>
<b>Materials Management</b>	Metric Tons of plastic secured from leaking into the environment as a result of CCBO assistance
	Metric Tons of material recovered and diverted from disposal as a result of CCBO assistance
	Metric tons of waste or recyclables aggregated as a result of CCBO assistance
<b>Innovation</b>	Number of innovations supported
<b>Training / Individual capacity development</b>	Number of people trained in 3R/SWM
	Number / Percent of individuals with new employment following participation in CCBO-assisted workforce development programs (EG 6-12)
	Number / Percent of individuals who complete CCBO-assisted workforce development programs (EG 6-14)
	Number of persons trained with CCBO assistance to advance outcomes consistent with gender equality or female empowerment through their roles in public or private sector institutions or organizations (GNDR-8)
	Number / Percentage of female participants in CCBO-assisted programs designed to increase access to productive economic resources (assets, credit, income or employment) (GNDR-2)
<b>Organizational / institutional capacity development</b>	Number of households / establishments (e.g. businesses, hotels, schools) participating in 3R /SWM programs
	Number of entities with increased capacity to assess or address 3R/SWM
<b>Programmatic reach</b>	Number of individuals reached directly or indirectly through CCBO
<b>Policies</b>	Number of public policies that advance 3R/SWM supported
	Number of legal instruments drafted, proposed or adopted with CCBO assistance designed to promote gender equality or non-discrimination against women or girls at the national or sub-national level (GNDR-1)
	Amount of Investment mobilized for 3R/SWM

<b>Multi-stakeholder Investment / Engagements / events</b>	Number of events, engagements, and publications demonstrating CCBO influence in ocean plastics reduction
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Upon selection of successful applicants, CCBO will work with grantees to identify indicators the grant activity will achieve and establish methods for reporting on these indicators. For the purpose of submitting a Concept Paper, applicants are encouraged to identify indicators the grant activity would contribute to.

## **SECTION 2: AWARD AND ADMINISTRATION INFORMATION**

### **Estimated Number and Value of Grants**

CCBO anticipates awarding multiple grants from this solicitation. The number of awards is dependent upon the number of meritorious applications received, available funding, and CCBO's technical priorities. Awards are expected to range from \$50,000 to \$250,000 based on the technical approach proposed. Depending on the availability of funds, number of awards, and technical approach, CCBO may work with selected organizations to increase or decrease their overall budget. In accordance with Automated Directives System (ADS) 302.3.4.13, grants to 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 24 months but may be longer or shorter depending on the technical scope of work. Depending on the scope of work proposed, CCBO may work with the applicant to develop a performance-based or multi-phased grant in which a successful grantee must complete Phase 1 prior to being considered for Phase 2 funding.

It is anticipated that grant implementation will begin between June and July 2020 for those Concept Papers received before the first cutoff of April 6, 2020, provided a Full Application is reviewed and approved by CCBO and USAID. All subsequent awards are expected to begin between 2-3 months after the submission and successful acceptance of the Concept Paper and Full Application.

### **Application Process**

This solicitation will be carried out in two phases (see Figure 1):

1. Applicants will first submit a Concept Paper in accordance with this APS. CCBO will review Concept Papers based on the criteria provided in Section 4. Only those applicants that comply with all submittal requirements, adequately address the selection criteria, and are ultimately selected by CCBO will be asked to proceed to the second phase through submission of a Full Application. Unsuccessful applicants will be notified by email.
2. In the second phase, CCBO will invite successful applicants to develop a Full Application. CCBO will provide feedback for applicants to address specific areas of the program description, engagement strategy, or program management—or ask applicants to participate in an Application or Design Workshops as described below.

Following the review of Concept Papers and Full Applications, CCBO will either mark the application as “proceed in cycle,” or “decline to fund.” Applicants who are awarded a grant will not be considered for future funding under this APS, except in exceptional cases.

### **Application Workshop**

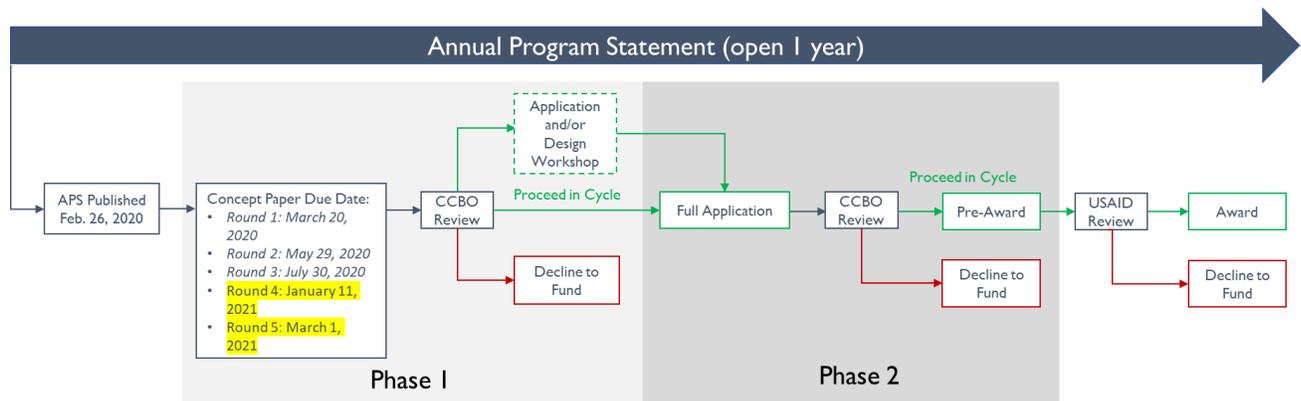
Following the selection of Concept Papers, CCBO may choose to hold an Application Workshop (in-person or remotely) to orient applicants with the Full Application development process and USAID requirements; present CCBO's objectives and target areas; answer technical questions; provide

guidance on filling out the Full Application and required budget; and support applicants who may need additional assistance.

### **Design Workshop**

Additionally, CCBO may choose to hold a Design Workshop where selected Concept Paper applicants will work in close collaboration with CCBO and other key stakeholders (beneficiaries, local governments, the private sector, USAID, and other development actors) in the refinement and development of an idea, solution or partnership. In these instances, CCBO will first determine if the applicant is interested in participating in a Design Workshop and will then follow-up with next steps.

**Figure 1: Annual Program Statement Flowchart**



### **Pre-Award Requirements**

Notification of a successful Concept Paper or invitation to submit a Full Application is **not** a notification that the applicant will receive an award. CCBO will conduct a thorough cost analysis of the proposed budget to ensure all costs are reasonable, allowable, and allocable in accordance with USAID’s cost principles. In addition, CCBO will conduct a pre-award risk assessment to determine the capacity of the recipient organization to comply with USAID requirements and cost accounting procedures and if any special award conditions will be placed on the applicant.

While not required with submission of a Concept Paper, applicants who are invited to submit Full Applications will be asked to provide a signed copy of applicable USAID certifications. Successful applicants will also be asked to demonstrate that they have or are in the process of registering for a Dun & Bradstreet Data Universal Number System (DUNS) Number.<sup>2</sup>

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

### **Award Administration**

CCBO will select one of the following grant types depending on the individual proposals size, duration, and complexity of proposed activities, as well as the organizations capacity to manage USAID funds:

<sup>2</sup> While evidence of being registered with a DUNS number and in the SAM is not required for the application, it is required prior to award of any grant.

**Fixed Amount Award (FAA):** The grantee and CCBO will establish a set of pre-identified milestones with a fixed payment tied to the successful completion of the milestone. Activities and outcomes must be priced with reasonable degree of certainty for this type of grant (eg., conferences, studies, surveys, workshops, etc.).

**Simplified Grant (SiG):** Activities are usually simple in nature and funds are reimbursed based on actual costs incurred.

**Standard Grant (SG):** Activities may be more complex in nature and funds are typically advanced in 30-day installments based on anticipated projections and reconciled on a monthly basis.

Grants will be administered in accordance with applicable regulations as follows:

- For U.S. organizations: [2 CFR 700](#), [2 CFR 200](#), and [ADS 303mat, Standard Provisions for Fixed Amount Awards to Nongovernmental Organizations](#) (for FAA) or [ADS 303maa, Standard Provisions for US Nongovernmental Organizations](#) (for SG).
- For non-U.S. organizations: [2 CFR 200 Subpart E](#), and [ADS 303mat, Standard Provisions for Fixed Amount Awards to Nongovernmental Organizations](#) (for FAA) or [ADS 303mab, Standard Provisions for Non-US Nongovernmental Organizations](#) (for SG).

## **Environmental and Climate Risk Compliance**

All grants issued will be subject to the USAID requirements for environmental soundness and compliance as required by [22 CFR 216](#). An Environmental Review Form will be completed by CCBO with input from the successful applicant to determine if activities may have an adverse environmental impact and if proposed mitigation and monitoring measures will sufficiently mitigate the impact. Organizations asked to submit a Full Application should address any potential impacts and the mitigation, monitoring, and relevant safety measures that will be put in place.

Additionally, in accordance with ADS 303 and ADS 201mal, CCBO will screen all activities to incorporate into the grant any climate risk management measures as necessary. Climate risk management ensures USAID safeguards development gains and uses development dollars wisely so that today's investments provide value for many years to come.

## **Branding Strategy and Marking Plan**

Successful grantees are required to comply with the Marking and Public Communications under USAID-Funded Assistance provision which requires all programs, activities, public communications, and commodities that USAID partially or fully funds under an award or sub-award to be appropriately marked with the USAID identity.

A Branding Strategy and Marking Plan (BSMP) is not required upon submission of a Concept Paper or Full Application. CCBO will provide a BSMP template and work with successful applicants proposed for award to determine if additional considerations need to be incorporated into each specific award.

Applicants can find additional information in [ADS 303mab, Standard Provisions for Non-U.S. Nongovernmental Organizations](#), [ADS 303maa, Standard Provisions for U.S. Nongovernmental Organizations](#), or [ADS 303mat, Standard Provisions for Fixed Amount Awards to Nongovernmental Organizations](#), as applicable; and [ADS 320, Branding and Marking](#).

## **Reporting Requirements**

As a condition of award, grant recipients will be required to submit brief monthly progress reports including information on key performance indicators. Depending on the grant type, the award will outline financial, technical, and deliverable reporting requirements which will be discussed with the recipient prior to grant signing. In addition, grantees must comply with the following USAID provisions:

Development Experience Clearinghouse (DEC): Grant recipients will be required to comply with DEC submittal requirements with guidance provided by CCBO. For additional information please refer to the applicable Mandatory Standard Provision entitled *Submission to the Development Experience Clearinghouse and Data Rights*.

Development Data Library (DDL): Grant recipients will be required to comply with DDL submittal requirements with guidance provided by CCBO. For additional information please refer to the applicable Mandatory Standard Provision entitled *Submission of Datasets to the Development Data Library*.

## SECTION 3: ELIGIBILITY INFORMATION

### Eligible Entities

Eligible applicants include:

- Non-governmental organizations, civil society organizations, community-based organizations, private foundations and universities, research institutions, business associations, and private companies (profit is not allowed under grants);
- Non-US organizations;
- US organizations (limited to \$100,000 budget);
- Organizations who have received a USAID MWRP grant;
- Organizations who have never received a USAID award before; and
- Organizations who are working or are able to work in the one or more of the pilot sites listed above.

Eligible applicants must demonstrate the following:

- Be legally registered to operate in the Philippines;
- Be in good standing with all civil and fiscal authorities in the Philippines;
- Be willing to sign applicable assurances and certifications if invited to submit a Full Application; and
- Provide a valid DUNS number with submission of a Full Application (not required with the Concept Paper).

### Ineligible Entities

The following entities are **not** eligible for CCBO grant funding:

- Local, regional or national government entities;
- Private Voluntary Organizations (PVO) that have not registered as such with USAID;
- Political parties and their subsidiaries or affiliates;
- Organizations that have 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;
- Entities affiliated with Tetra Tech, its officers, directors, or employees, or its subcontractors and their officers, directors, or employees;
- Public International Organizations (PIO); and
- Any organization which, in accordance with ADS 303maa and ADS 303mab, 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.

### Ineligible Activities

CCBO will NOT fund the following types of activities:

- Construction<sup>3</sup> and improvements, renovation, alteration and refurbishments<sup>4</sup> as defined in [ADS](#)

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<sup>3</sup> Construction, alteration, or repair (including dredging and excavation) of buildings, structures, or other real property and includes, without limitation, improvements, renovation, alteration and refurbishment. The term includes, without limitation, roads, power plants, buildings, bridges, water treatment facilities, and vertical structures.

<sup>4</sup> Any betterment or change to an existing property to allow its continued or more efficient use within its designed purpose

[303maw](#);

- Activities that duplicate the activities of other United States government (USG)-supported program or programs conducted by other organizations in CCBO target regions;
- Activities that are inconsistent with international standards of human rights or with democratic goals of racial and ethnic tolerance and harmony;
- Ceremonies, parties, celebrations, or “representation” expenses except for those that are specified in the grant (for example, opening ceremonies) to promote the visibility of USAID in the eyes of the communities USAID is trying to serve;
- Involuntary sterilization programs;
- Abortion-related activities and biomedical research relating to abortion; and
- Activities outside the contract scope and/or not approved by USAID.

## Funding Restrictions

Please review the following considerations when generating a concept paper and budget.

- Equipment and materials are allowed under this award. A list of restricted and ineligible commodities can be found at [ADS 312](#);
- In accordance with the Mandatory Standard Provisions regarding USAID Eligibility Rules for Procurement of Commodities and Services, when the total value of procurement for commodities and services during the life of the award is valued at \$250,000 or less, the authorized geographic code is 935, which allows for the purchase of goods and services from any area or country including the cooperating country, but excluding any country that is a prohibited source.<sup>5</sup>
- Pre-award costs are not allowable (costs incurred prior to award or in the preparation of the grant Concept Paper or Full Application);
- Nonrefundable Value Added Tax is not allowable; and
- Profit is not allowable.

## **Conflict of Interest Pre-Award Term (August 2018)**

### **a. Personal Conflict of Interest**

1. An actual or appearance of a conflict of interest exists when an applicant organization or an employee of the organization has a relationship with a USAID or CCBO official involved in the competitive award decision-making process that could affect the USAID/CCBO official’s impartiality. The term “conflict of interest” includes situations in which financial or other personal considerations may compromise, or have the appearance of compromising, the obligations and duties of a USAID/CCBO employee or recipient employee.

2. The applicant must provide conflict of interest disclosures when it submits a concept note. Should the applicant discover a previously undisclosed conflict of interest after submitting the application, the applicant must disclose the conflict of interest to the CCBO Grants Manager or Chief of Party no later than ten (10) calendar days following discovery.

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(renovation), or for the use of a different purpose or function (alteration). Improvements also include improvements to or upgrading of primary mechanical, electrical, or other building systems. Does not include non-structural, cosmetic work, replacement of plumbing or conduits that does not affect structural elements, and non-load bearing walls or fixtures (e.g., shelves, signs, lighting, etc.)

<sup>5</sup> ADS 310mac currently does not have any specific countries listed as prohibited. Because the Office of Foreign Assets Controls (OFAC) regulations are complex and constantly evolving, Tetra Tech maintains an internal list of ‘prohibited sources’ including: Cuba, Iran, North Korea, (North) Sudan, and Syria.

**b. Organizational Conflict of Interest**

The applicant must notify CCBO of any actual or potential conflict of interest that they are aware of that may provide the applicant with an unfair competitive advantage in competing for this financial assistance award. Examples of an unfair competitive advantage include but are not limited to situations in which an applicant or the applicant's employee gained access to non-public information regarding a federal assistance funding opportunity, or an applicant or applicant's employee was substantially involved in the preparation of a federal assistance funding opportunity. USAID/CCBO will promptly take appropriate action upon receiving any such notification from the applicant.

## SECTION 4: CONCEPT PAPER EVALUATION CRITERIA

### Initial Screening

Upon receipt of Concept Papers, the USAID CCBO Grant Manager will review each Concept Paper to ensure it meets the minimum requirements before proceeding with technical review. The initial screening requirements include:

- Applicant has submitted a Concept Paper which follows the guidelines outlined in the APS;
- Applicant has proposed working in one of the geographic sites and supporting one of the activities listed in the Terms of Reference;
- Applicant is legally registered to operate in the Philippines and meets the eligibility criteria listed above;
- Proposed activities are eligible for USAID CCBO funding; and
- Applicant is not found with a negative determination in the SAM, OFAC, or UN 1267 lists.

### Evaluation Criteria

The Review and Evaluation Committee (REC) will formally evaluate Concept Papers in writing based on the following evaluation criteria.

1. Does the applicant demonstrate a thorough understanding of the local context and the problem or evidence gap that will be addressed through the intervention?
2. Does the Concept Paper contribute toward USAID CCBO performance indicators?
3. Does the technical approach have the potential to be scaled-up or replicated?
4. Are proposed activities and their sequencing logical?
5. Does the applicant outline a realistic and suitable plan for engaging local stakeholders, and does the proposed activity enhance or build on local systems and local governments mandate or vision?
6. Does the applicant adequately outline mitigation measures to assumptions and risks?
7. Does the Concept Paper include gender considerations in the background, technical approach and engagement strategy?
8. Does the applicant outline an effective and efficient plan for managing the project?
9. Does the applicant have prior experience in the technical scope and geographic area?
10. Is the budget reasonably priced and consistent with proposed activities?

Only those Concept Papers that pass the initial screening, adequately address the evaluation criteria and are ultimately selected by USAID CCBO will be invited to submit Full Applications. CCBO reserves the right to select any number of applications to proceed in the cycle based on the total anticipated number of awards that will be issued and available budget. Notification of a successful Concept Paper or invitation to submit a Full Application is **not** a notification that the applicant will receive an award.

## SECTION 5: CONCEPT PAPER SUBMISSION INSTRUCTIONS

### Instructions

Concept Papers must be submitted in English. If the applicant feels that submitting a Concept Paper in English will undermine the content of the application, please email [opportunities@cleancitiesblueocean.org](mailto:opportunities@cleancitiesblueocean.org).

**Applicants must use the form provided in the following link:**

[https://tetrachard.formstack.com/forms/aps\\_philippines\\_001\\_concept\\_paper\\_v3](https://tetrachard.formstack.com/forms/aps_philippines_001_concept_paper_v3)

***Applications submitted via email will not be accepted, except in the case where technical difficulties have been encountered and communicated to CCBO***

The format provided has word count limits that may not be exceeded. Applicants have the option to 'Save and Resume' the Concept Paper so that the application can be closed and reopened later to continue work. Once the Concept Paper is complete, the applicant's organizational representative must sign the Concept Paper and hit the 'Submit Form'. Once submitted, the applicant will receive confirmation of receipt from CCBO. Concept Papers will be reviewed on a bi-monthly basis according to the following deadlines, unless otherwise amended in this APS:

- March 20, 2020 (closed)
- May 29, 2020 (closed)
- July 30, 2020 (closed)
- January 11, 2021
- March 1, 2021

**Tip:** You are encouraged to draft your Concept Paper in Word using the structure and word limits provided below. When ready, you can 'copy' and 'paste' your narrative into the Concept Paper template.

### Concept Paper Format

Concept Papers must be submitted via:

[https://tetrachard.formstack.com/forms/aps\\_philippines\\_001\\_concept\\_paper\\_v3](https://tetrachard.formstack.com/forms/aps_philippines_001_concept_paper_v3)

**Organization Profile (limit 150 words):** Briefly describe your organization's mission, goals and experience in SWM/3R

**Background (300 words):** Describe the local context in which the grant activity would be situated (how is waste currently being handled by the local government, what are individuals relationship with and perception of waste, what systems exist for separating and collection recyclable materials, etc.) and the problem or evidence gap that the grant activity will address including relevant gender gaps or inequalities that need to be addressed.

**Theory of change (75 words):** Describe the theory of change (TOC) that the activity will follow in order to achieve its goal, including required intermediate results. The TOC should describe the causal pathway of the activity, and can be thought of the roadmap to success, with the results being the key achievements that we want to see along the way. The theory of change should only include what is within the manageable interest of the implementer, and what can be measured and verified using evidence and documentation. Be careful not to overpromise the impact of the activity by noting things that are potential

indirect contributions which cannot be measured or verified. Please see the CCBO Theory of Change as an example.

*CCBO Theory of Change: If local and regional markets for recycled plastics are strengthened (Result 1); awareness and behavior change for 3R/SWM is increased (Result 2); capacity for effective governance of 3R/SWM systems is increased (Result 3); and multi-stakeholder engagement surrounding 3R/SWM is strengthened (Result 4); and women are economically empowered in 3R/SWM (crosscutting result), THEN CCBO's focal areas will have increased capacity to Reduce, Reuse, and Recycle (3Rs) and implement solid waste management (SWM) in urban and peri-urban settings, particularly in riverine and coastal areas. If this is successful, then cities are cleaner, and the tide of plastic pollution is stemmed from entering the blue ocean*

**Results and Activities (4000 words):** Use the following format to breakdown the results of the proposed grant, and the activities that will support the accomplishment of those results (see examples below).

**Result:** A result is a desired effect or achievement and should align with your IF statements in your TOC. These should be phrased as something that has been accomplished (e.g. write out results statements as: "Capacity of women in SWM Increased" instead of "increase capacity of women in SWM")

**Activity:** Activities support the achievement of results. Activities should be written as tasks or statements of things to do.

**Example:**

*Result 1: Local and regional markets for recycled plastics are strengthened*

*Activity 1.1: Conduct local plastics market research*

*Activity 1.2: Create market linkages between waste collectors and recycler/lupcyclers*

*Result 2: Awareness and behavior change for 3R/SWM is increased*

*Activity 2.1: Conduct localized SBC and 3R/SBC Research*

*Activity 2.2 Develop and deliver SBC Strategy*

*Result 3: Capacity for effective governance of 3R/SWM systems is increased*

*Activity 3.1 Develop awareness and training materials for local governments to build capacity for local implementation of and enforcement*

**Gender Considerations (150 words):** Describe how the program will address gender gaps or address the unique needs and interests of male and females and how your organization will monitor for unintended consequences (such as gender-based violence or sexual harassment in the workplace). Describe any findings from gender analyses your organization has conducted or if there are plans to conduct such an assessment to inform program activities.

**Assumptions and Risks (300 words):** Outline program assumptions and potential risks or obstacles that may be encountered and how these will be addressed. Specifically address how impacts of the coronavirus will be taken into consideration with activity planning and implementation. Address any potential differential effects (including unintended or negative consequences) on women and men and

assumptions or risks to fostering gender equality and/or social inclusion through grant funds and how these will be managed or mitigated. Include any potential environmental impacts and how these will be managed and/or mitigated, if applicable.

Engagement Strategy (300 words): Describe how local stakeholders, local government and local systems will be engaged; how existing or potential partnerships or investments will be leveraged; and how women, youth, waste collectors and handlers, and/or other under-represented groups will be included in strategy or activity design and implementation. **Note: proposals should not take the place of government services, but instead should support and enhance the role of the LGU in providing SWM services and enforcement.**

Program Management (150 words): Briefly describe the organization’s plan for managing the project including anticipated key personnel, location of offices, number of staff, number of field visits, etc.

Past Performance (200 words): Briefly describe similar projects the organization has implemented and experience with USAID or other donor-funded grants.

**Budget Summary:**

- Personnel (including fringe)
- Materials and Supplies
- Equipment (unit cost of \$5,000 or more and useful life of 2 years or more)
- Transportation
- Activity Costs
- Other Direct Costs
- Indirect Costs
- Total

## Questions

Questions may be sent to [opportunities@cleancitiesblueocean.org](mailto:opportunities@cleancitiesblueocean.org). A list of all questions and answers will be compiled at the end of each week and posted on <https://urban-links.org/ccbo-grants/>