



# CLEAN CITIES, BLUE OCEAN

Annual Program Statement – Modification 01

Opportunity Number: CCBO-APS-Vietnam-001  
Modification Number: 01  
Date: December 29, 2020  
Regarding: Updates to the Terms of Reference and Application

Dear interested applicants,

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

- 1) Removal of the review round of November 27, 2020, which was canceled on November 12, 2020, and
- 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

# CLEAN CITIES, BLUE OCEAN

## Annual Program Statement

Opportunity Number: CCBO-APS-Vietnam-001

### Phase 1: Concept Papers

Issuance Date: April 29, 2020

Deadlines for Concept Papers<sup>1</sup>: 6pm Indochina Time Zone on the following dates:

June 5, August 28, 2020;

February 26, April 30, 2021

Concept Paper Template: [https://tetrachard.formstack.com/forms/aps\\_vietnam\\_001\\_concept\\_paper\\_v2](https://tetrachard.formstack.com/forms/aps_vietnam_001_concept_paper_v2)

### 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)

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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 Vietnam for reduction, reuse, and recycling (3R) practices 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 national and 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 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 national and local government, local organizations, members of the private sector, and communities can work together to achieve lasting

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<sup>1</sup> USAID and CCBO are continuously monitoring the evolving situation of the COVID-19 outbreak and understand this may cause disruptions to business operations for organizations and companies. CCBO is committed to advancing its critical program objectives during this period, but dates are subject to change during this time of uncertainty. CCBO asks interested applicants to alert CCBO immediately to request an extension if business operations are halted to the point that an application cannot be developed.

impacts. Accordingly, in the review of Concept Papers, CCBO may identify grant activities that are aligned with work that other CCBO stakeholders, including local governments and members of the private sector, are conducting or are interested in conducting. 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. In the submission of the Concept Paper, applicants will be asked to indicate whether CCBO may or may not share the submission with other potential funders or partners. *(Applicants' decisions will have no impact on scoring and selection).*

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 6: Frequently Asked Questions

## **SECTION I: TERMS OF REFERENCE**

### **Background**

Globally, Vietnam is the fourth-largest source of discarded plastic that ends up in the ocean, behind only China, Indonesia, and the Philippines.<sup>2</sup> The largest drivers of its environmental plastic leakage are consumer consumption and ineffective (or non-existent) waste collection schemes. Although the collection rate of urban solid waste in Vietnam is relatively high, population growth in urban areas and the corresponding increase in plastics consumption are growing at a rapid pace. In recent years, plastic pollution has become one of the top priorities for grassroots efforts and has gained the attention of the national government, 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 are enduring compromised health and safety conditions; unsustainable disposal and recycling practices such as plastics melting and burning are causing environmental and public health concerns; tourism development, a major driver of economic growth and investment, is being threatened due to its close ties to impacted natural assets; and marine biodiversity is suffering due to waste leaking into Vietnam's waterways. 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, enacting or paying for improved SWM measures remains a challenge.

Enhanced infrastructure, collection systems, and markets for recycled and reusable products are critical if Vietnam is to preserve its environmental resources and shift from a current system where significant amounts of plastics are leaking into the environment to a more robust waste collection, recycling, and disposal system that reduces instances of leakage. In Vietnam, collection systems must be established and enhanced to reduce waste flowing into critical bodies of water, such as the Red River, and the livelihoods of those that currently working in the sector must be improved. In December 2019 the Prime Minister of Vietnam signed the National Action Plan on Marine Plastic Debris Management until 2030. The National Action Plan provides an opportunity for national-scale government mobilization and support as Vietnam works to position itself as a leader in combatting marine plastic pollution as the 2020 ASEAN Chair. CCBO efforts are well-positioned to support implementation of the National Action Plan and further its objectives and proposed solutions.

### **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 - Vietnam**

CCBO will rely heavily on its grant program and implementing grantees in Vietnam 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

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<sup>2</sup> Plastic inputs from land into the Ocean, Jenna R. Jambeck et al, (2015) Science,347(6223): 769

foundations and universities, research institutions, business associations, and private companies operating or able to operate in one of CCBO's pilot sites or other areas of interest, as described in the Geographic Focus section below. Organizations who have and have not received prior USAID funding are encouraged to apply.

### **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. CCBO's priorities for grant applications are categorized by theme below. While applicants may propose working across themes, the scope of the proposal should be feasible given the budget limitations.

A summary of CCBOs priority activities are provided below.

**Create Market-Based Solutions:** To stem the tide of plastic pollution, markets and systems must exist for the *reduced* use of single-use and low-value plastics and the *reuse* or *recycling* of these materials. Low-value plastics, or those that currently lack the economic sustainability for collection and recycling (such as plastic film and sachets), are a widely recognized and common source of ocean plastic pollution. Noting that materials are often commingled when disposed of, proposed solutions may target multiple materials, but the primary focus should include the reduction, reuse, or recycling of low-value plastics. Illustrative activities include:

- Identifying and testing market-based solutions for low-value plastics which could include ways to eliminate these materials, substitute these materials, or circular solutions for these materials after their use
- Collecting and sharing market data for low-value plastics and other waste to enable the development and demonstrate success of sound interventions (policy, infrastructure, behavior change)
- Design and test reusable and refillable product delivery models that move consumers away from single-use or low-value plastics
- Design and test locally appropriate recycled or upcycled plastic products that have a demonstrated or potential market (ex: consumer goods, building or landscaping materials, etc.)
- Convene public and private stakeholders for policy dialogue that improves market conditions for plastics and stabilizes the price paid to material collectors

**Build Local Government Capacity for Improved Solid Waste Management:** Effective and sustained 3R/SWM must be led by the local and national government. To ensure governments can meet their mandate to implement and enforce 3R/SWM, CCBO seeks grants that build the capacity of governments. Illustrative activities include:

- Develop and promote local evidence-based 3R/SWM strategies, tools, or technologies<sup>3</sup> 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.

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<sup>3</sup> Limited funding is available for mobile applications (app) development. CCBO may consider scaling and supporting apps that exist or reinforce sound 3R/SWM practices, but such requests will only be considered within the context of a broader proposal.

- Provide a pilot program for collection and recycling schemes that local governments can adopt and replicate in other areas.
- Provide a pilot program to expand collection services to un-served areas (especially along waterways) that local governments can adopt and replicate in other areas.
- Support local governments in strengthening coordination among various levels of government (provincial, municipal, and national government) and across different branches and departments of government that can advance the implementation and enforcement of 3R/SWM policy.

**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 strongly 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, e.g., gender-based violence and sexual harassment. Applicants' proposed activities that address the above themes should clearly indicate specific activities and approaches to accomplish this cross-cutting goal.

In addition, CCBO seeks to fund grants that specifically support gender equality and women's economic empowerment in SWM through activities that may include:

- 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
- Support women-owned upcycling and reuse businesses such as junk shops, consumer products (reused or upcycled jewelry, artisan goods and decorative products, clothing, shoes, and reusable bags and backpacks), sustainable building materials, as well as businesses or cooperatives that use natural materials to make compostable bags to substitute for single-use plastic bags.
- Conduct research to investigate women's presence, absence, and any income differential through all nodes of the SWM value chain, and identify areas where women's status, income, and access to economic opportunities could be improved to achieve economic gender equality; in addition, investigate cases where women have been able to achieve economic equality in SWM work
- Conduct research on stigma faced by SWM collectors, including the stigma women face in and identifying opportunities for social change. Identify and provide training to champions for gender equity in the 3R/SWM sector

**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.

| Thematic Category | Indicator |
|-------------------|-----------|
|-------------------|-----------|

|  |   |
|--|---|
| <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)   |
| <b>Multi-stakeholder Investment / Engagements / events</b> | Amount of Investment mobilized for 3R/SWM   |
|  | Number of events, engagements, and publications demonstrating CCBO influence in ocean plastics reduction  |

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 1-3 indicators the grant activity would contribute to.

**Geographic Focus of Activities:**

In Vietnam, CCBO has developed a short-list of initial “pilot” engagement sites, considering criteria including: alignment with USAID Mission’s priorities and focus regions/municipalities; risk to health, economic development, and ecosystems; demonstrated political buy-in; potential to reduce marine plastics pollution; demonstrated private sector interest and investment opportunities; potential to leverage prior or existing efforts, including those of previous/ongoing USAID investments; presence of under-represented groups.

Using these criteria, CCBO plans to establish up to four pilot sites in Vietnam in its first year, as well as engage at the national level through targeted grants and technical assistance. Activities, learnings, and successful interventions in pilot sites may be scaled to additional sites in subsequent years. CCBO’s approach will be designed to secure early wins at the selected sites. Preferred sites for Year One and

justifications for their being short-listed include:

- **Phu Quoc** is the largest island in Vietnam, with a population of just over one hundred thousand and a burgeoning tourist sector. Phu Quoc’s location and characteristics, including established momentum toward engaging in 3R and SWM initiatives, make the area a prime location for CCBO to scale and further expand existing recycling efforts and engage the private sector in long-term solutions.
- **Da Nang** is a coastal city that produces over 1,000 tons of waste/day. Costs of waste include collection, transportation, labor, treatment, and disposal, which the city is keen to reduce while improving its SWM practices and infrastructure. Da Nang presents the opportunity for CCBO to work in a growing mid-sized urban setting that needs to address the vertical integration of SWM and recycling services through investment, technological innovations, and “green” development.
- **Bien Hoa** is located twenty miles northeast of Ho Chi Minh City on the left bank of the Dong Nai River, near the Mekong River Delta. It is an important and rapidly growing industrial and commercial area that could benefit from the development of SWM and recycling infrastructure. In addition, the industrial core produces and consumes significant plastic volumes.
- **Hue City**, located on the Central Coast of Vietnam, carries historical significance and remains a popular area for tourism. As one of the larger urbanized areas in Vietnam, Hue offers CCBO the opportunity to provide greater capacity building, the chance to optimize Independent Waste Collector (IWC) collection efforts and interim aggregation points in addition to matching private sector donors with disposal site mitigation activities.

## **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 \$150,000 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 2-3 months after the submission and successful acceptance of the Concept Paper and Full Application. While committed to advancing program objectives, CCBO will continue to maintain flexibility and ongoing communication with applying organizations to responsibly respond to the coronavirus outbreak and the potential impacts on program timing.



## 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 Workshop 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 already awarded a grant under this APS will not be considered for future funding under this APS, except in exceptional cases.

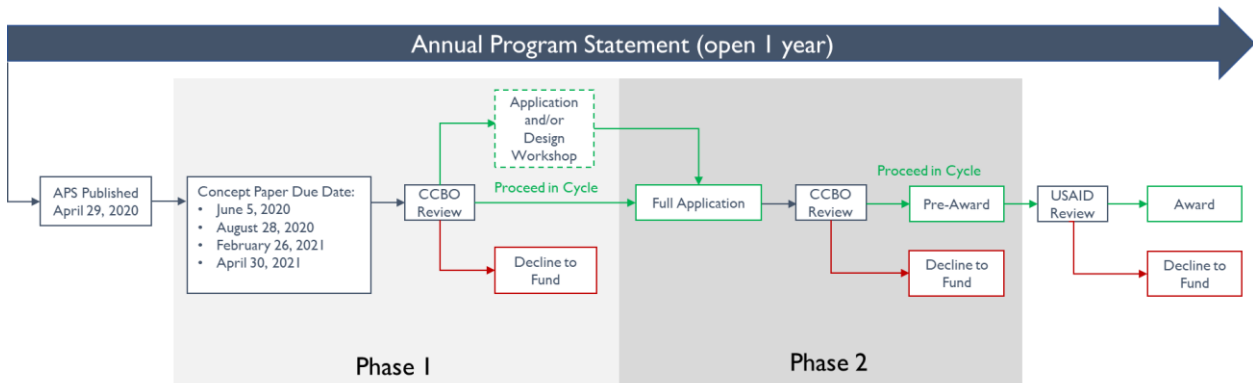
## Application Workshop

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>4</sup>

Final approval of all grant awards must be provided by the Government of Vietnam and USAID.

## **Award Administration**

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

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 (e.g., 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 201ma, 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.

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<sup>4</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.

## **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 and assistance 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 and assistance 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/fee may not be charged to a grant);
- Non-US organizations;
- US organizations (limited to \$100,000 budget);
- Organizations that have previously received a USAID grant;
- Organizations that have never received a USAID award before; and
- Organizations that 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 Vietnam;
- Be in good standing with all civil and fiscal authorities in Vietnam;
- Be willing to sign applicable assurances and certifications if invited to submit a Full Application; and
- Be willing to register with a DUNS number if invited to submit a Full Application

## 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>5</sup> and improvements, renovation, alteration and refurbishments<sup>6</sup> as defined in [ADS 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](#):

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<sup>5</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>6</sup> Any betterment or change to an existing property to allow its continued or more efficient use within its designed purpose (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.)

- 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>7</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.

### **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.

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<sup>7</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.

## **SECTION 4: CONCEPT PAPER EVALUATION CRITERIA**

### **Initial Screening**

Upon receipt of Concept Papers, the USAID CCBO Grant Manager will review each Concept Papers 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 Vietnam 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\\_vietnam\\_001\\_concept\\_paper\\_v2](https://tetrachard.formstack.com/forms/aps_vietnam_001_concept_paper_v2)

***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:

- June 5, 2020
- August 28, 2020
- February 26, 2021
- April 30, 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**

(must be submitted via: [https://tetrachard.formstack.com/forms/aps\\_vietnam\\_001\\_concept\\_paper\\_v2](https://tetrachard.formstack.com/forms/aps_vietnam_001_concept_paper_v2))

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

**Problem Statement (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/upcyclers

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/project/ccbo-grants/>

## **SECTION 6: FREQUENTLY ASKED QUESTIONS**

### **Question 1**

**I a.** Are private sector entities (for-profit) allowed to apply?

**I b.** Can a private sector entity propose to use grant funds to purchase equipment that would generate income?

### **Answer 1**

**I a.** For-profit entities are eligible to apply but may not charge a profit (fee) for their services.

**I b.** Entities may propose to purchase equipment or carry out activities that would generate income, however program income, as defined below, will be treated differently depending on the organization type. Note that these requirements do not apply to income earned after the end of the period of performance of the CCBO grant or if a grantee receives a Fixed Amount Award, which will be negotiated prior to award.

**Program income** means gross income earned by the Grantee that is directly generated by a supported activity or earned as a result of the U.S. Government Federal award (CCBO grant) during the award period of performance. Program income includes but is not limited to income from fees for services performed, the use or rental of real or personal property acquired under Federal awards, the sale of commodities or items fabricated under a Federal award, license fees and royalties on patents and copyrights, and principal and interest on loans made with Federal award funds. Interest earned on advances of Federal funds is not program income. Except as otherwise provided in Federal statutes, regulations, or the terms and conditions of the Federal award, program income does not include rebates, credits, discounts, and interest earned on any of them.

Program income for US, non-profit organizations: ordinarily program income must be deducted from the total allowable costs to determine the net allowable costs, as specified in 2 CFR 200.307(e)(1). Applicants may request that program income earned during the period of the grant be added to the total value of the award and used to further program objectives. In this instance, the applicant, with CCBOs assistance, would be required to calculate the anticipated program income prior to award which would be presented to USAID for approval. Program income that the grantee did not anticipate at the time of the award must be used to reduce the award amount rather than to increase the funds committed to the project.

Program income for non-US, non-profit organizations: unless otherwise stated in the award, program income earned during the period of the grant must be added to the total program amount and used to further eligible project or program objectives.

US and non-US Commercial (for-profit) entities: are prohibited from adding program incomes to the total program amount and must be deducted from the USG share of the award.

**Question 2** Does CCBO have grant opportunities in other Southeast Asian countries?

**Answer 2** CCBO will be working in countries in South and Southeast Asia and Latin America. Organizations interested in working in other countries are encouraged to regularly check the Urban Links website to learn where CCBO is working and available grant opportunities.

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**Question 3** How do you select programs?

**Answer 3** CCBO will evaluate all Concept Papers against a set of pre-established evaluation criteria that can be found in Section 4 of the APS. Only those applicants that comply with all submittal requirements, adequately address the evaluation criteria, and are ultimately selected by CCBO based on funding availability and technical priorities will be asked to proceed to the second phase through submission of a Full Application. Unsuccessful and successful applicants will be notified following the review.

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**Question 4** Are UK organizations eligible to apply?

**Answer 4** Both US and Non-US organizations are eligible to apply. A Non-US organization is defined as a foreign organization in 2 CFR 200.47 described below. Based on this definition, a UK organization meeting the definition below would be considered 'foreign' or non-US and eligible to apply.

**2 CFR 200.47 Foreign organization**

(a) A public or private organization located in a country other than the United States and its territories that is subject to the laws of the country in which it is located, irrespective of the citizenship of project staff or place of performance;

(b) A private nongovernmental organization located in a country other than the United States that solicits and receives cash contributions from the general public;

(c) A charitable organization located in a country other than the United States that is nonprofit and tax exempt under the laws of its country of domicile and operation, and is not a university, college, accredited degree-granting institution of education, private foundation, hospital, organization engaged exclusively in research or scientific activities, church, synagogue, mosque or other similar entities organized primarily for religious purposes; or

(d) An organization located in a country other than the United States not recognized as a Foreign Public Entity

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**Question 5** Are organizations allowed to propose partnering with other organizations on a grant?

**Answer 5**

CCBO will consider 'partnerships' in the form of subgrants and subcontracts (to another organization under the prime grant) or consultant agreements (to an individual) on a case by case basis. As part of the pre-award process, CCBO will ensure both organizations partnering on the grant have the capacity to manage their respective awards.

Partnerships may also include Memorandum of Understanding (MoU) or other non-financial agreements or arrangements with other entities who will contribute to the overall goal of the proposed grant activity (i.e. technical support, leveraging networks, etc.).

Interested applicants proposing a partnership will be scored the same as all other applications in accordance with the selection criteria in Section 4 of the APS. Interested applicants and their partners are asked to submit only one Concept Paper.