CLEAN CITIES, BLUE OCEAN

Request for Applications

Develop an evidence-based Education and Communication Strategy(ies) in Pisco, Paita and Mancora, Peru

Opportunity Number:	CCBO-RFA-Peru-002
Issuance Date:	January 5, 2022
Applicant Conference	January 11, 2022 at 11 am Peru Standard Time
RSVP for Applicant Conference:	Registration Link
Deadline for Questions	January 14, 2022
Deadlines for Applications:	February 7, 2022 at 5pm PET[1]
Submission and Questions:	Ruth Ibarcena, Peru Grant Specialist
	peruprocurement@cleancitiesblueocean.org

Note: All questions and other consultations regarding this RFA should ONLY be sent to the email listed above to preserve transparency. If you feel that your email was not received, you may send an email to Ruth.Ibarcena@cleancitiesblueocean.org. Please do not reach out to any other CCBO staff during the period this RFA is open to solicit input.

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. 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 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. 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 to establish enhanced local and regional markets for recycled plastic. CCBO seeks to:

1. Strengthen local and regional markets for recycled plastics and improve effective and locally appropriate solid waste management (SWM) infrastructure
2. Support behavioral changes and the development, implementation, and enforcement of improved policies and regulations around SWM and reduce, reuse and recycle (3R) practices

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[1] 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 continuing 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 if business operations are halted to the point that an application cannot be developed and request an extension.

3. Increase capacity and effective governance of SWM and recycling systems, particularly at the local level; and
4. Build Public-Private Partnerships (PPP's) and enhanced multi-stakeholder alliances that strengthen program collaboration, impact, and sustainability.

As a cross-cutting objective, CCBO also works to support and enhance the livelihoods of those working in the waste and recycling sectors, particularly women, as well as advance gender equality within the sector and opportunities for women's economic empowerment. CCBO seeks to leverage funding, develop public-private partnerships, and build the sustainable capacity of local partners through the grants program.

As part of the CCBO program, Tetra Tech is implementing a $10 million Grants under Contract (GUC) program that leverages local and international organizations to support CCBOs focus areas in seven countries. CCBO has begun working in the Peruvian departments of Piura and Ica, specifically in the cities of Pisco, Paita and Mancora. In Peru specifically, CCBO will issue approximately $1.5M in grants that will test, scale, and share innovative and proven 3R/SWM solutions that are stakeholder-led and appropriately tailored to the local context. Grants will also seek to understand factors involved in local social and behavior change and apply this understanding to support change in 3R/SWM programs and policies, strengthen local and regional markets, engage underrepresented and vulnerable groups, and create jobs and economic development opportunities. CCBO anticipates grants contributing to a national and global learning agenda to advance and scale solutions and make recommendations for future investments.

Under this solicitation, **CCBO seeks to design and implement an education and communication strategy to advance proper management of solid waste in Pisco, Paita, and Mancora. CCBO will fund one (1) applicant to develop strategic activities that strengthen capacities of key actors for the implementation and institutionalization of the education and communication strategy.** Additional information can be found in Section 1: Terms of Reference.

Interested applicants are invited to the Applicant Workshop to be held on January 11, 2022 at 11am Peru Standard Time. Through this workshop, CCBO-Peru will provide an overview of the Terms of Reference of this solicitation (Section 1), as well as an overview of all application requirements and tips on writing the proposal, developing a budget, and completing all required attachments in alignment with the RFA. Attendees will be able to ask questions about the technical scope and application requirements. All presentation materials and recordings of the workshop will be posted on CCBO's Grants Page following the event. In addition, interested applicants can submit questions by January 14, 2022 which will be compiled in a document and posted on CCBOs Grants Page after the deadline for questions.

CCBO and USAID reserve the right to fund any or none of the applications submitted. Additionally, any award pursuant to this funding opportunity is contingent upon the availability of funds. Please read the RFA in its entirety before submitting an application. This solicitation consists of a cover letter and the following five (5) sections:

Section 1: Terms of Reference
Section 2: Award and Administration Information
Section 3: Eligibility Information
Section 4: Evaluation Criteria
Section 5: Application Instructions and Template

Application Attachments:
        Attachment A: Budget

Attachment B: Budget Notes
Attachment C: Staffing Plan
Attachment D: Reference list
Attachment E: Certifications

Section 6: Additional Attachments:
Attachment F: Media Embargo
Attachment G: CCBO Indicators
Attachment H: CCBO's Approach to Women's Economic Empowerment
Attachment I: Guide to Information, education and communication (IEC) and Social and behavior change (SBC)
Attachment J: DUNS Registration Guide

SECTION 1: TERMS OF REFERENCE

I.   Background

Peru generates more than 20,000 tons of municipal solid waste each day, totaling approximately 7.5 million tons each year. Of this, only 1% is recycled, 49% is disposed of in sanitary landfills, and the remaining 50% is disposed of inadequately through unauthorized landfills which have no cover or regulations. Peru's high volume of waste generation combined with low levels of recycling and inadequate waste disposal, collection, and storage practices have led to urban, coastal, and in-land desert landscapes that are inundated with waste. The impacts of poor waste management, including treatment of plastics, continue to rapidly emerge, with citizens' health impacted by pollution-related issues; a tourism sector threatened by plastic-logged coastlines; and biodiversity—including whales, sea birds, and other marine life—facing serious impacts from the waste leaking into Peru's waters.

Peru began to tackle this mounting problem in 2000 with the passage of the General Law of Solid Waste and then the Integrated Solid Waste Management Law. Likewise, standards have also been approved that regulate single-use plastic and disposable containers. The biggest advancement, however, has been the creation of MINAM in 2008, which has made SWM a national priority and has deployed robust programming in education campaigns, household guides and mobile apps, engagement with informal recyclers to provide certifications and more formalized memberships, carrying out national research, strengthened local government capacity to adopt and enforce national laws, and has attracted private investment in SWM infrastructure. Peru's 2016-2024 National Solid Waste Management Plan outlines the Ministry's objectives to promote comprehensive and sustainable solid waste management systems, expand 3Rs through systems and social inclusion, and strengthen the shared responsibility and actions of businesses and citizens.

Under the General Environmental Law of 2005, there is a requirement to integrate environmental education program into formal and non-formal educational programs at different levels. As a result, Peru developed a national policy on environmental education. Under this overarching legal framework for environmental education, the Ministry of Environment (*Ministerio del Ambiente* - MINAM) and the Ministry of Education (*Ministerio de Educacion* – MINEDU) have jointly created environmental education policies, plans and programs that influence municipal solid waste education. These include the 'Plan for Environmental Education' (*Plan de Educación Ambiental* – PLANEA) and the 'Municipal Program of Education, Culture and Environmental Citizenship' (*Programa Municipal de Educación, Cultura y Ciudadanía Ambiental* - EDUCCA).   PLANEA (2017-2022) serves as a planning instrument to strengthen the country's environmental culture, improve environmental knowledge and individual's rights and duties, and shift behaviors toward greater environmental stewardship and adoption of sound environmental practices, thus promoting the participation of the population to adequately and effectively access information and environmental justice. EDUCCA incorporates solid waste management in educational curriculum and in participatory public space design to engage the broader community and serve as a tool for the local implementation of PLANEA. In addition, under the National Environmental Management System framework, the provincial and district municipalities have specific powers and functions to promote environmental education and research in their areas and encourage citizen participation and a culture of prevention at all levels, as well as strengthen their capacities and articulating their actions with the various public and private actors.

The three cities where CCBO Peru will work, are implementing EDUCCA Programs to develop and deliver environmental education and information that contribute to changes in behavior. The following table presents the regulations and date with which the municipal programs were approved.

Table 1. CCBO Peru Engagement Site Education Programs

CITY	PROGRAM	MEANS OF APPROVAL	APPROVAL DATE
Mancora	Municipal Program of Education, Culture and Environmental Citizenship EDUCCA	Municipal Ordinance 02-2018-MDM/C	26/04/2018
Paita	Municipal Program of Education, Culture and Environmental Citizenship EDUCCA 2021	Resolution of the Mayor's Office N° 349-2021-MPP/A	13/05/2021
Pisco	Municipal Program of Education, Culture and Environmental Citizenship EDUCCA 2019 - 2022	Mayor's Resolution 606-2019-MPP-ALC	27/11/2019

In addition, in July 2021, MINAM approved the "Peru Limpio" education and communication strategy on responsible consumption, recovery and integrated management of solid waste. The strategy serves as an instrument to promote and strengthen citizens participation in environmental practices for responsible consumption, as well as minimization in the generation of solid waste, segregation, and valorization of solid waste.

The national and local government, have made significant efforts to set rules, establish a regulatory framework for appropriate SWM, and educate citizens. NGOs, businesses and individual citizens are also playing a key role in promoting environmental stewardship and principles of circular economies. While environmental education in Peru is a clear priority, there remain many issues including dumping of waste in public roads and the marine environment, minimal source separation, delinquent payment for waste management services, and low credibility for municipal waste workers. These gaps suggest that there is a need to design and implement an education and communication strategy based on formative research.

Social and Behavior Change (SBC) Formative Research

The traditional approach to education regarding waste management has generally been a campaign approach that may achieve short-term results but has limited long-term efficacy, combined with top-down, one size fits all education, and community engagement. CCBO will seek to implement more participatory social and behavior change (SBC) programs that utilize newer SBC approaches—leading to sustained behavioral change (e.g., communities practicing 3Rs, informal sector waste workers wearing protective gear, stigma reduction for waste workers, etc.) and aiming for creation of a culture with general recognition of and aversion to the environmental harm caused by plastics and other wastes entering rivers and oceans, coupled with widespread 3R actions. In this respect, CCBO Peru is carrying out formative research (which will be done prior to this grant commencing) with the following objectives:
- Identify target audience perception regarding waste, cleaning, recycling, among others key issues related with solid waste management.
- Identifying the internal and external determinants that condition inappropriate habits, attitudes, and behaviors regarding municipal and marine solid waste management by the target audience.
- Identifying the factors or drivers that would motivate the target audience to adopt adequate attitudes and behaviors with respect to municipal and marine solid waste, actively participate in the waste

minimization, segregation at source, as well as being responsible to maintain their neighborhoods and city clean. All of this for the timely payment of public cleaning taxes.

- Determining key elements to design and implement an educational and communication strategy, considering mechanisms and communication channels, key messages, frequency of diffusion, suitable communication instruments to be used, among others, according to each type of target audience.

The target audience will include:

- Population of Mancora (Piura) and Pisco (Ica), disaggregated by gender and socio-economic status or level.
- Artisanal fishers.
- Owners of local markets.
- Students.
- Youth.
- Municipal authorities and employees.
- Private sector companies (the largest generators).

CCBO Peru intends to build an education and communication strategy based on the results of the abovementioned formative research. This strategy will include behavior change lines of action for contributing to the improvement of solid waste management in Paita, Mancora, and Pisco, while being aligned with the Government of Peru's environmental education plan, particularly EDUCCA and Peru Limpio.

2. Grant to develop and deliver an evidence-based education and communication strategy(ies) in Mancora, Paita, and Pisco

CCBO seeks to issue one grant to a qualified organization (see eligibility information in Section 3) to work in partnership with CCBO technical experts and the consulting group who will have carried out the formative research, to develop an education and communication strategy(ies) for the cities of Mancora, Paita and Pisco. The formative research which will conclude before this grant begins, will identify key elements that the successful grantee will use to design, implement, and institutionalize an education and communication strategy(ies). In addition, the strategy(ies) will be developed in consideration of structural or systemic gaps (e.g. citizens will not be asked to carry out household segregation of materials if their home is not serviced by municipal collection that keeps plastic material separated throughout the whole waste stream). It is imperative that CCBO and the successful grantee work collaboratively with relevant public institutions and other leading environmental NGOs to leverage what is working and build solutions to what is not working in behavior change related to 3Rs/SWM at various points throughout the waste value chain (reducing plastic consumption, increasing recycling through source separation, improving waste worker safety by utilizing protective gear and best practices in waste management, etc.). The selected grant is also required to identify potential work opportunities with international cooperation institutions that have been developing programs or projects on issues relevant to this call. The successful applicant will also work with CCBO to develop a training program to institutionalize the strategy within the municipalities.

The strategy must involve the inhabitants of each of the cities and reflect the unique needs and willingness of the diverse segments of the communities (age, gender, income, level of education, race, sector, etc.).

3. Illustrative Activities

The strategy(ies) will focus on sustainable 3R/SWM practices related to municipal waste and inorganic waste from artisanal fishing (reduction, reuse, and recycling of solid waste as well as proper disposal) that is based on formative research that will be finalized before the grant ends. Illustrative activities include the following. CCBO will work with the successful applicant to define grant activities, based on the results of the conductive research which will be ending as the grant is being negotiated and finalized.

- Analysis of formative research, and regulatory instruments approved by the Ministry of the Environment.
- Preparation of the education and communication strategy(ies) by target group, defining messages, communication channels, and identifying educational and informative resources to be used (videos, audios, materials for social media, etc.).
- Validation of the strategy and educational and informative resources with the target audiences.
- Development of a Tool - kit with educational and informative resources (videos, audios, materials for social media, etc.) for the municipal governments and other key actors to implement the strategy.
- Prepare a document that will serve to include the activities of the strategy in the work plan of the EDUCCA Program of each municipality.
- Train the team of municipalities and key actors for the implementation of the strategy in each city.

SECTION 2: AWARD AND ADMINISTRATION INFORMATION

Estimated Value of Grant and Period of Performance

CCBO anticipates awarding one (1) grant that is not expected to exceed $100,0000. Grant budgets must fully align with the proposed activities, and in certain instances the final budget will be less than $100,000.

It is anticipated that the grant implementation will begin on or around March 2022 and the overall period of performance will be for approximately 6 months.

Application Process

Interested and eligible applicants (see Section 3) must submit their application by **February 7, 2022,** using the application format and attachments provided (Attachments A-H). After the closing date, CCBO will conduct a review of the applications based on the criteria provided in Section 4. CCBO may request clarifications from applicants or ask applicants to provide a short presentation to make a final determination. The top scoring applicant will be asked to 'proceed in cycle' to begin negotiating the grant budget and technical Project Description with CCBO. CCBO will also carry out the due-diligence requirements listed below. Unsuccessful applicants will be notified in writing.

Certifications
Applicants must submit a signed copy of the following certifications (provided in Attachment H):
1. Certification Regarding Lobbying.
2. Certification Regarding Terrorist Financing.
3. Certification of Recipient.

DUNS Registration
The successful applicant will be asked to provide a Data Universal Numbering System (DUNS) number. While registration for a DUNS number is not required with submission of an application, guidance on registering for a DUNS number can be found in Attachment N.

Pre-Award Requirements

Notification of a successful 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.

The successful applicant will work directly with CCBO on finalizing the technical Project Description to incorporate CCBO-specific requirements, including but not limited to best practices, gender considerations, linkages to CCBO's performance indicators, and establishment of key deliverables.

Award Administration

CCBO will select one of the following grant types depending on the individual application's size, duration, and complexity of proposed activities, as well as the organization's 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 a 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 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 (see Attachment K) 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. The organization selected for an award will be asked to address any potential impacts and the mitigation, monitoring, and relevant safety measures that will be put in place, if applicable and in coordination with CCBO.

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

The organization selected for award will be 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 Full Application. CCBO will provide a BSMP template and work with the successful applicant 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, the grant recipient 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-Profit International technical cooperation institutions and entities,
- Civil society organizations (CSOs),
- Non-US NGOs,
- US NGOs;
- Private foundations and universities,
- Private enterprises or firms (profit is not allowed under CCBO grants), and
- Business associations

In addition, CCBO will assess potential grantees using a pre-award survey as outlined in Section 4.2 to ensure the applicant maintains the necessary capabilities to execute the grant activity.

Eligible applicants must demonstrate the following:
- Be legally registered to operate in Peru;
- Be in good standing with all civil and fiscal authorities in Peru;
- Sign applicable assurances and certifications; and
- Have a DUNS number or be willing to register for a DUNS number.

Ineligible Entities

The following entities are **not** eligible for CCBO grant funding:
- Local, regional or national government entities (including public universities);
- 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; and
- Public International Organizations (PIO).

Ineligible Activities

CCBO will NOT fund the following types of activities:
- Construction[2] and improvements, renovation, alteration and refurbishments[3] 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;
- 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;[4]

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[2] 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.

[3] 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.)

[4] 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:

- Pre-award costs are not allowable (costs incurred prior to award or in the preparation of the Full Application); 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.

SECTION 4: APPLICATION EVALUATION CRITERIA

The CCBO Review and Evaluation Committee (REC) will formally evaluate applications in writing based on the 100-point evaluation criteria that follows. Only the top scoring applicant(s) will be asked to proceed. Applicants will be evaluated on responding to the following areas as required by the application template.

1. **Previous Experience: 50 points**

Does the applicant (and any proposed partners/consultants) have the necessary experience in:
   a) Analyzing research to inform program development
   b) Education and communication research and/or program implementation
   c) Development and delivery of program training
   d) Development of programs and projects with government institutions
   e) Grant management (managing reporting and compliance requirements).
   f) Knowledge of or previous work experience in Paita, Mancora and/or Pisco

2. **Program Management: 40 points**

Does the applicant adequately address their organizations strategy for:
   a) Analyzing the research and developing an education and communication strategy(ies)
   b) Collaboration and communication with various stakeholders to vet and finalize the strategy(ies)
   c) Developing educational and informational materials intended to reach different audiences or target groups
   d) Developing trainings and strategy documents to institutionalize the education and communication

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Cuba, Iran, North Korea, (North) Sudan, and Syria.

strategy(ies)
- e) Receiving feedback on the strategy(ies) and refining them during the period of the grant
- f) Managing the grant (staff, resources, systems).

3. Cost Effectiveness: **10 points**
- Are costs reasonable and directly related to the grant given the scope of the project?
- Does the applicant minimize unnecessary costs?

SECTION 5: APPLICATION INSTRUCTIONS AND TEMPLATE

To apply for this solicitation, CCBO is primarily focused on selecting an applicant who has the necessary experience and management capabilities. Since formative research will be carried out while this grant is being solicited, reviewed and negotiated, Applicants are not asked to develop a proposal with activities and results. Once CCBO has selected a successful applicant based on the scoring criteria, the CCBO team will work with the winner to collaboratively develop the results, activities, timeline, and budget based on results of the research.

Instructions

Please submit your Full Application consisting of the following (using the templates provided below):
- Cover page
- Table of Contents
- Organization Profile (including Previous Experience and Program Management)
- Attachments
  - o Attachment A: Budget
  - o Attachment B: Budget Notes
  - o Attachment C: Staffing Plan
  - o Attachment D: Reference list
  - o Attachment E: Certifications

The suggested page lengths per section of the Project Description are indicated in the outline, however, the whole application may not exceed **10** single-spaced typed pages (not including the cover page, table of contents, or attachments). Please use Times New Roman 11-point font, single-spaced with one-inch margins. Applications may be submitted in English or Spanish. Failure to submit an application in the following format may result in a disqualification of the application.

CLEAN CITIES, BLUE OCEAN

CCBO-RFA-Peru-002

Name of Organization:	Date:
Name of Primary Contact:	E-mail:
Address:	Phone:

DUNS Number: (if applicable)

Activity Title:

Proposed Budget:	Duration of Proposed Activity:

"We, the undersigned, hereby submit this Grant application to CCBO for review and consideration. We have materially participated in its preparation. To the best of our knowledge, all information provided is current, complete, and accurate and based on the need to efficiently and effectively meet the needs of the target population. Additionally, I certify that myself nor any employee of the organization who assisted in the preparation of this Application have or are aware of any real or potential conflict of interest with a USAID or CCBO official involved in this RFA."

Signature: _____   Date: _____

Organization Profile – Format

1. **Previous Experience (5 pages):** Describe your organizations (and any proposed partners/consultants) experience in:
   a) Analyzing research to inform program development
   b) Education and communication research and/or program implementation
   c) Development and delivery of program training
   d) Development of programs or projects with government institutions
   e) Grant management (managing reporting and compliance requirements).
   f) Knowledge of or previous work experience in Paita, Mancora and/or Pisco

2. **Program Management (5 pages):** If provided a grant, describe your organization's strategy for:

   a) Analyzing the research and developing an education and communication strategy(ies)
   b) Collaborating and communicating with various stakeholders to vet and finalize the strategy(ies)
   c) Developing educational and informational materials intended to reach different audiences or target groups
   d) Developing trainings and strategy documents to institutionalize the education and communication strategy(ies)
   e) Receiving feedback on the strategy(ies) and refining them during the period of the grant
   f) Managing the grant (staff, resources, systems).

ATTACHMENT A: BUDGET TEMPLATE
(Please use the MS Excel version)

Since the budget is not associated with results and activities at this stage, it is intended to provide CCBO with basic information about your organizations staffing costs and estimates for carrying out illustrative activities. The budget template, provides suggestions for staffing, materials, supplies and activity costs but your organization is welcome to submit a budget that reflects your understanding of the needs of the project. If selected as the winner, CCBO will work with your organization to develop the results, activities, timeline and budget to ensure sufficient resources are allocated for this grant.

ATTACHMENT B: BUDGET NOTES
Please read the guidance below and provide budget notes following this same format.

Personnel/labor: List each position by title and name of employee, if available. Show the annual salary rate and the percentage of time to be devoted to the project. Compensation paid for employees engaged in grant activities must be consistent with that paid for similar work within the applicant organization in accordance with the organization's personnel policies. Overtime costs will not be approved. All personnel listed in the budget should be included in Attachment C: Staffing Plan. *Suggested positions are included in the budget to demonstrate anticipated needed positions.*

Fringe Benefits: If a fringe benefit rate has not been approved, the application should propose a rate and explain how the rate was determined. The narrative should include a detailed breakdown comprised of all items of fringe benefits (e.g., unemployment insurance, social insurance, health and life insurance, retirement, etc.) and the costs of each, expressed in local currency and as a percentage of salaries. If the organization has a fringe benefit rate that has been approved by an agency of the U.S. Government, such rate should be used, and evidence of its approval should be provided.

Consultants: List consultants who will be hired for the grant, their daily rate and the number of days they will provide consulting services. All consultants listed in the budget should be included in Attachment E: Staffing Plan. *Suggested positions are included in the budget to demonstrate anticipated needed support (through consultants or staff).*

Travel and Transportation: Include all costs related to international and local travel in the budget and provide additional information on the purpose of travel. Per diem should be based on the applicant's normal travel policies for domestic travel which will be reviewed during the pre-award process. (Applicants may however choose to refer to the US State Department Federal Standardized Travel Regulations for cost estimates for international travels). *This category should be used for staff to travel to Mancora, Paita, and Pisco on an as needed basis, taking into consideration COVID-19 restrictions.*

Materials and supplies: List items by type (office supplies, postage, training materials, copy paper, and expendable equipment items costing less than $5,000, such as books, laptops and handheld tape recorders) and show the basis for computation. Generally, supplies include any materials that are expendable or consumed during the course of the project. *Suggested material and supply costs are included to demonstrate anticipated needs.*

Other Direct Cost: This category is divided into three: Activity Costs, Project Specific Costs, and Operational/Administrative costs.

Activity Costs – Identify the costs or items associated with the implementation of the project. that are not

included in any of the categories above. Depending on the type of activities, sample costs include but not limited to catering fees, workshop materials, venue rental etc. ***Suggested activity costs are included to demonstrate anticipated needs.***

Other Project Specific Costs – for any additional activity or project costs not captured elsewhere in the budget. Provide a narrative description of the items and justification for their need.

Operational/Administrative Costs (only for organizations not applying an indirect rate) – If the applicant does not have an approved Negotiated Indirect Cost Rate Agreement (NICRA) and will not apply the 10% fixed indirect rate (see explanation below), shared costs for running and maintaining the office and general operations of the organization may be included as 'other direct costs'. Shared operational and administrative costs may include things like office rent, utilities, communications, insurance, security, annual external audit, etc. These are usually shared/allocated across projects, each paying its "fair share."

If you will have operational/administrative costs directly related to the CCBO project, please list your assumptions and estimates for those costs and a description of how the percentage allocated to CCBO was derived (this will be reviewed during the pre-award process). For example, if you are implementing three projects of equal size you may decide to charge 1/3rd of the monthly office rental cost to each project.

Indirect Costs: Indirect costs are allowed if the applicant 1) has a federally approved indirect cost rate (NICRA), or 2) has never received a NICRA and will apply the 10% fixed indirect rate to specific cost categories described below. CCBO must approve all indirect cost rates which must comply with 2 CFR 200.414(f).

1) A NICRA must be applied in accordance with the NICRA agreement and a copy will be requested during the pre-award process
2) The 10% fixed indirect rate is allowed by USAID when the applicant is not billing shared operational/administrative costs as direct costs (rent, utilities, etc.). The fixed indirect rate may be applied to all cost categories in the budget except equipment, capital expenditures, charges for patient care, rental costs, tuition remission, scholarships and fellowships, participant support costs and the portion of each subaward in excess of $25,000. CCBO will help the applicant correctly apply the 10% fixed rate during the pre-award process.

Example Budget notes:

Personnel

Project Leader, Darwin Diaz: One Project Leader is budgeted part-time (25% on Year 1 and 15% on Year 2) for 18 months. The Project Leader will lead the overall project development and activity implementation, ensuring compliance to the grant commitments and reporting to CCBO on progress and status of activities.

Project Coordinator, vacant: One Project Coordinator is budgeted part-time (30%) for 12 months to support the Project Manager in implementing key activities such as Waste Analysis and Characterization Study (WACS) and development of Waste Management Plan (WMP) and help with project reporting.

Fringe Benefits

Employee 13 and 14 Bonus: As indicated in the HR Manual "an employee is entitled to receive 1/6 of his/her monthly salary for each full month worked (from Jan to June, to be paid in Jul and from Jul to Dec

to be paid in Dec).

Severance Pay: As indicated in the HR Manual, employees are entitled to a severance pay. The severance pay is equal to one-month salary for one year of employment. It will be paid twice a year (May and Nov).

Essalud contribution: Employer will paid 9% of salary.

Consultants

Waste Management Consultant, vacant: The Waste Management Consultant will lead the development of WACS design and its protocols; conduct WACS and analyze data; and provide technical advice on WMP. The consultant will be paid at a daily rate of PEN 400 for a duration of 7 days with a total payment of PEM 2,800.

Monitoring/Communications and Media Specialist, Dorelyn Jose: The Monitoring/Communications and Media Specialist will be responsible in project monitoring, developing communications and training strategies for community-based projects. The consultant will be paid at a daily rate of PEN 100 for a duration of 68 days with a total payment of PEN 6,800.

Travel, Transportation and Per Diem

Accommodation: A budget of PEN 51,504 (PEN 444 per person per night) is allocated for the accommodation of project staff and consultants to carry out the necessary community engagement work as detailed in the project description.

Per diem: The Per diem is budgeted for the project team and consultants visiting the regions. The total budget allocated is PEN 8,120.

Transportation: A total of PEN 42,200 is budgeted for in-country travel and transportation for the project team and consultants over the 18-month period of the grant. The cost basis for the staff transportation is PEN 100 per trip, based on the distance of the Project Office and location of target stakeholders; and pick-up truck rental for waste survey is PEN 600.

Other Direct Costs

Activity costs

Activity 1.1: Grantee A will carry out a two-day waste survey for 250 households. A total of PEN 6,744 is budgeted for this survey including plastic bags (PEN 20/household), weighing scale (PEN 744) and stationaries (PEN 1,000).

Activity 1.2: A budget of PEN 6,940 is allocated to purchase two voice recorders to record the project team's engagement with the 12 households selected for the in-depth research. Each household will be provided with 6 journals (PEN 252/household) to document their *Living Without Plastic* journey.

Activity 2.1: Grantee A will hold four interactive sessions with participating businesses to get their feedback on research carried out and alternative products that will be introduced to the households. These sessions will be held at the Grantee A office. A total of PEN 7,200 is budgeted to cover the refreshments of the participants (PEN 180/person).

<u>Activity 3.1:</u> Grantee A will organize two workshops to engage government officials and discuss potential opportunities in prohibiting SUP. A total of PEN 30,220 is budgeted for this workshop including refreshments (PEN 370/person) and venue rental (PEN 15,420).

Project Specific Costs

Translation services: Grantee A allocated a budget of PEN 20,000 to cover the translation services fees of the Operations Manual.

Indirect Costs

Grantee A agrees to the De minimis indirect cost rate of 10% to be used as basic support for administration and operational costs such as internet, electricity, and water.

ATTACHMENT C: STAFFING PLAN

List all project team members (staff and consultants) including their name, position, what role they will play on the project and relevant experience. Highlight Key Personnel who will manage the project. Include CVs for all staff

First & Last Name	Position	Level of Effort[5]	Status (Hired or need to hire)	Role on Project	Experience

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[5] The level of effort (LOE) is the amount of time the staff will be working in the project. If the position is a full time, then the LOE is 100%. The LOE for part-time staff is anything that is less than 100%.

ATTACHMENT D: REFERENCE LIST

Please list any individuals or organizations we may contact regarding previous, relevant work.

Organization:
Name of Individual:
Role:
Phone:
Email:

Organization:
Name of Individual:
Role:
Phone:
Email:

Organization:
Name of Individual:
Role:
Phone:
Email:

ATTACHMENT E: CERTIFICATIONS

Certification 1: Certification Regarding Lobbying
The undersigned certifies, to the best of his or her knowledge and belief, that:

1. No Federal appropriated funds have been paid or will be paid, by or on behalf of the undersigned, to any person for influencing or attempting to influence an officer or employee of any agency, a Member of Congress, an officer or employee of Congress, or an employee of a Member of Congress in connection with the awarding of any Federal contract, the making of any Federal grant, the making of any Federal loan, the entering into of any cooperative agreement, and the extension, continuation, renewal, amendment, or modification of any Federal contract, grant, loan, or cooperative agreement.

2. If any funds other than Federal appropriated funds have been paid or will be paid to any person for influencing or attempting to influence an officer or employee of any agency, a Member of Congress, an officer or employee of Congress, or an employee of a Member of Congress in connection with this Federal contract, grant, loan, or cooperative agreement, the undersigned shall complete and submit Standard Form-LLL, "Disclosure Form to Report Lobbying," in accordance with its instructions.

3. The undersigned shall require that the language of this certification be included in the award documents for all sub awards at all tiers (including subcontracts, subgrants, and contracts under grants, loans, and cooperative agreements) and that all sub recipients shall certify and disclose accordingly.

This certification is a material representation of fact upon which reliance was placed when this transaction was made or entered into. Submission of this certification is a prerequisite for making or entering into this transaction imposed by section 1352, title 31, US Code. Any person who fails to file the required certification shall be subject to a civil penalty of not less than $10,000 and not more than $100,000 for each such failure.

Certification 2: Certification Regarding Terrorist Financing (ATC)

By signing and submitting this application, the prospective recipient provides the certification set out below:

1. The Recipient, to the best of its current knowledge, did not provide, within the previous 10 years, and will take all reasonable steps to ensure that it does not and will not knowingly provide, material support or resources to any individual or entity that commits, attempts to commit, advocates, facilitates, or participates in terrorist acts, or has committed, attempted to commit, facilitated, or participated in terrorist acts, as that term is defined in paragraph 3.

2. The following steps may enable the Recipient to comply with its obligations under paragraph 1:

> a. Before providing any material support or resources to an individual or entity, the Recipient will verify that the individual or entity does not (i) appear on the master list of Specially Designated Nationals and Blocked Persons, which list is maintained by the US Treasury's Office of Foreign Assets Control (OFAC) and is available online at OFAC's website : http://www.treas.gov/offices/eotffc/ofac/sdn/t11sdn.pdf, or (ii) is not included in any supplementary information concerning prohibited individuals or entities that may be provided by USAID to the Recipient.

> b. Before providing any material support or resources to an individual or entity, the Recipient also will verify that the individual or entity has not been designated by the United Nations Security (UNSC) sanctions committee established under UNSC Resolution 1267 (1999) (the "1267

Committee") [individuals and entities linked to the Taliban, Osama bin Laden, or the Al Qaida Organization]. To determine whether there has been a published designation of an individual or entity by the 1267 Committee, the Recipient should refer to the consolidated list available online at the Committee's website: http://www.un.org/Docs/sc/committees/1267/1267ListEng.htm.

c. Before providing any material support or resources to an individual or entity, the Recipient will consider all information about that individual or entity of which it is aware and all public information that is reasonably available to it or of which it should be aware.

d. The Recipient also will implement reasonable monitoring and oversight procedures to safeguard against assistance being diverted to support terrorist activity.

3. For purposes of this Certification.

a. "Material support and resources" means currency or monetary instruments or financial securities, financial services, lodging, training, expert advice or assistance, safe houses, false documentation or identification, communications equipment, facilities, weapons, lethal substances, explosives, personnel, transportation, and other physical assets, except medicine or religious materials."

b. "Terrorist act" means-(i) an act prohibited pursuant to one of the 12 United Nations Conventions and Protocols related to terrorism (see UN terrorism conventions Internet site: http://untreaty.un.org/English/Terrorism.asp); or (ii) an act of premeditated, politically motivated violence perpetrated against noncombatant targets by sub-national groups or clandestine agents; or (iii) any other act intended to cause death or serious bodily injury to a civilian, or to any other person not taking an active part in hostilities in a situation of armed conflict, when the purpose of such act, by its nature or context, is to intimidate a population, or to compel a government or an international organization to do or to abstain from doing any act.

c. "Entity" means a partnership, association, corporation, or other organization, group or subgroup.

d. References in this Certification to the provision of material support and resources shall not be deemed to include the furnishing of USAID funds or USAID-financed commodities to the ultimate beneficiaries of USAID assistance, such as recipients of food, medical care, micro-enterprise loans, shelter, etc., unless the Recipient has reason to believe that one or more of these beneficiaries commits, attempts to commit, advocates, facilitates, or participates in terrorist acts, or has committed, attempted to commit, facilitated or participated in terrorist acts.

e. The Recipient's obligations under paragraph 1 are not applicable to the procurement of goods and/or services by the Recipient that are acquired in the ordinary course of business through contract or purchase, e.g., utilities, rents, office supplies, gasoline, etc., unless the Recipient has reason to believe that a vendor or supplier of such goods and services commits, attempts to commit, advocates, facilitates, or participates in terrorist acts, or has committed, attempted to commit, facilitated or participated in terrorist acts.

This Certification is an express term and condition of any agreement issued as a result of this application, and any violation of it shall be grounds for unilateral termination of the agreement by USAID prior to the end of its term.

Certification 3: Certification of Recipient

By signing below the recipient provides certifications and assurances for, (1) the Certification Regarding Lobbying, (2) and the Certification Regarding Terrorist Financing.

These certifications and assurances are given in consideration of and for the purpose of obtaining any and all Federal grants, loans, contracts, property, discounts, or other Federal financial assistance extended after the date hereof to the recipient by the Agency, including installment payments after such date on account of applications for Federal financial assistance which was approved before such date. The recipient recognizes and agrees that such Federal financial assistance will be extended in reliance on the representations and agreements made in these assurances, and that the United States will have the right to seek judicial enforcement of these assurances.

These assurances are binding on the recipient, its successors, transferees, and assignees, and the person or persons whose signatures appear below are authorized to sign these assurances on behalf of the recipient.

Request for Application:

Date of Application:

Name of Organization:

Representatives Name:

Representatives Title:

Representatives Signature:

SECTION 6: ADDITIONAL ATTACHMENTS

(not required for submission)

Attachment F: Media Embargo
Attachment G: CCBO Indicators
Attachment H: CCBO's Approach to Women's Economic Empowerment
Attachment I: Guide to Information, education and communication (IEC) and Social and behavior change (SBC)
Attachment J: DUNS Registration Guide

ATTACHMENT F: MEDIA EMBARGO

As a USAID implementing partner, CCBO works closely with the Agency to officially announce its grant agreements. Until grant agreements are officially signed and counter-signed and explicit permission is granted to the awarded grant organization, CCBO prohibits organizations from sharing or publishing announcements of their award. All announcements are strictly embargoed until grant agreements and signed, countersigned, and the grantee has received permission from CCBO.

By agreeing to the media embargo rules, the applicant's representative is committing to the terms of the embargo not only on their behalf but that of the organization.

As a potential CCBO grant recipient, the applicant agrees to the following conditions:

- Sharing any information or details about the grant application process to the public is not allowed
- Publishing the status of the grant application on any kind of media platforms including but not limited to newspaper, blog, social media accounts is prohibited, without express approval of CCBO
- The results of the grant application are strictly confidential and cannot be disclosed in any manner until publicly announced by USAID, CCBO, or until express permission is given to the awarded grantee.

ATTACHMENT G: CCBO INDICATORS

Below is the current list of CCBO key performance indicators in their thematic categories.

Thematic Category	Indicator
Materials Management	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
Innovation	Number of innovations supported
Training / Individual capacity development	Number of people trained in 3R/SWM
	Percent of individuals with new employment following participation in CCBO-assisted workforce development programs (EG 6-12)
	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)
	Percentage of female participants in CCBO-assisted programs designed to increase access to productive economic resources (assets, credit, income or employment) (GNDR-2)
Organizational / institutional capacity development	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
Programmatic reach	Number of individuals reached directly or indirectly through CCBO
Policies	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)
Multi-stakeholder Investment / Engagements / events	Amount of Investment mobilized for 3R/SWM
	Number of events, engagements, and publications demonstrating CCBO influence in ocean plastics reduction

ATTACHMENT H: ADDITIONAL INFORMATION ON CCBO'S APPROACH TO WOMEN'S ECONOMIC EMPOWERMENT

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 plastics directly at the source in cities and towns, specifically in rapidly urbanizing areas throughout low- and middle-income countries.

CCBO integrates gender inclusivity throughout its global approach and in each of its country-specific activities. As part of its focus on gender inclusivity, CCBO aims to improve women's economic empowerment (WEE). CCBO's efforts are part of the U.S. government's Women's Global Development and Prosperity (W-GDP) initiative, which is guided by three core pillars. CCBO also seeks to address other gender-related challenges, and as such—depending on local contexts—also seeks to address other gender issues that affect the ability to practice good SWM, women's ability to work in SWM jobs, and/or their broader well-being, (e.g., ability to make decisions within the household, participate equally in society, and be free from gender-based violence).

CCBO is a W-GDP funded program and its activities seek to advance the three pillars of W-GDP. CCBO's grants program will significantly contribute to these goals. An overview of W-GDP is provided below.

W-GDP aims to enhance opportunities for women to participate meaningfully in the economy and advance both prosperity and national security. W-GDP focuses on three pillars:

1. *Women Prospering in the Workforce:* Advancing women in the workforce by improving access to quality vocational and skills training, enabling women to secure jobs in their local economies.

2. *Women Succeeding as Entrepreneurs:* Increasing women's access to capital, markets, networks, and mentorship to aid women in establishing and growing their businesses.

3. *Women Enabled in the Economy:* Removing restrictive legal, regulatory, and cultural barriers to facilitate women's meaningful participation in the economy.

Additionally, under Pillar 3, W-GDP focuses on **five foundational areas of legal reform:**
1. *Accessing Institutions:* Lifting restrictions on women's authority to sign legal documents, such as contracts and court documents, and addressing unequal access to courts and administrative bodies for women, whether officially or through lack of proper enforcement.
2. *Building Credit:* Ensuring women's equal access to credit and capital to start and grow their businesses and prohibiting discrimination in access to credit on the basis of sex or marital status.
3. *Owning and Managing Property:* Lifting restrictions on women possessing and managing property, including limitations on inheritance and the ability to transfer, purchase, or lease property.
4. *Traveling Freely:* Addressing constraints on women's freedom of movement, including restrictions on obtaining passports on the basis of sex.
5. *Removing Restrictions on Employment:* Eliminating barriers that limit women's working hours, occupations, or tasks on the basis of sex.[6]

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[6] WGDP: Women's Global Development and Prosperity Initiative Annual Report 2019-2020

ATTACHMENT I: GUIDE TO INFORMATION, EDUCATION AND COMMUNICATION (IEC) AND SOCIAL AND BEHAVIOR CHANGE (SBC)

What is the difference between information, education and communication (IEC) and social and behavior change (SBC)?

Information, education and communication (IEC), behavior change (BC) and behavior change communication (BCC) and social change (SC)/social change communication (SCC) are based on somewhat different assumptions. Both IEC and BC assume that people are primarily individuals, although influenced by other people or groups. Both are mostly based on social psychology. SC has many different schools. Mostly they begin with the assumption that human beings live in societies and are bearers of culture. SC approaches are generally based on social science, i.e., anthropology, sociology, political science, economics, and perhaps history. All three approaches (IEC, BCC, and SCC) are based on formative, usually qualitative, research early in the process. The research is conducted with the people the program intends to reach and is usually brief. Programmers use the research to develop strategies for the BCC or SCC program. IEC often uses the research to develop activities, materials, and messages, with or without formal strategy development.

Information, education and communication (IEC)

Definitions of IEC vary. Some definitions overlap with SBC, but traditionally IEC differs from social and behavior change. Based on a literature review, The Manoff Group describes IEC this way: "Specifically focused on the communication aspect, Information, Education and Communication (IEC) was developed in the early 1970s, when the use of mass media proved to be a useful tool in disseminating health information. IEC can range from didactic one-way communication to entertaining methods. It can utilize a wide range of media channels and materials. Regardless of the approach, IEC is usually implemented by an … expert who gives recommendations to an audience. Fundamentally, the IEC approach assumes that people will follow … advice when they are provided with the 'right' information." Underlying this assumption is the belief that people are "empty vessels" that need to be filled with correct information and that experts have that correct knowledge.

In IEC, the first step is often to identify the primary and secondary audiences. The primary audience consists of the people whose behavior the programmer wishes to change. The secondary audience consists of people who influence members of the primary audience or control their access to the ability to implement the new behavior. IEC is message-based and understands that different audiences may require different messages or versions of the same message. For example, mayors may need to hear that their constituents are concerned about plastic waste and want the municipality to do something about it. Children may need to hear that if they want to have a healthy world when they grow up, they need to tell their parents to separate their waste and take it to a collection point. Both messages would, of course, need to be based on research.

IEC for solid waste management (SWM) is often based on awareness raising (through beach clean ups and media campaigns) and education on the 3Rs and how to separate waste.

Behavior Change

Behavior change (BC) grew out of social marketing and IEC. BC assumes that information alone is seldom sufficient to change behavior. Behavior change isolates one or more desirable behaviors, based exclusively on the scientific evidence for doing the behavior. These are called "ideal behaviors." BC specialists conduct formative research to identify what people are doing now-- which may or may not correspond to the ideal behavior—and why they are doing what they are doing, what factors influence how they behave regarding

the SWM issue, whether they would want to carry out the ideal behavior and what would make the behavior easier for them to do.

The BC practitioner breaks down the ideal behavior into sub-behaviors that must be executed in order to perform the desired behavior, e.g., segregation of household waste. Some of the sub-behaviors might include: dedicating a container already in the house as the container for recyclable plastics; reading a material (electronic or paper) and/or listening to an expert explaining how to tell which plastics are recyclable; sharing that information with other members of the household; etc.

A BC expert classifies behaviors and sub-behaviors into those that must be done consistently over time or those that are rare or one-time-only behaviors. The support needed for repetitive, long-term behaviors is different than that required for single or rare behaviors. For example, waste pickers must wear PPE every day during their entire working hours in order to prevent injury and illness to themselves. Buying PPE or selecting an appropriate container in which to keep household recyclables is a rare behavior. BC recognizes that awareness alone, even with knowledge, is not effective in promoting sustained behaviors.

BC spreads its research net more widely than IEC formative research, so it will usually uncover some systemic issues that BCC cannot address but that a program must address in order to make it easier for people to do 3Rs, e.g., no convenient MRF. Based on formative research results and knowledge of SWM, BC programmers design a BC strategy. Communication with waste generators is almost always part of the strategy, but it will also include the other factors necessary to enable people to change their behavior, e.g. establishing a MRF where community members can take their waste.

Social Change

Many definitions of social change exist. Some are based on philosophy, some on participatory change, some on various schools of social science. SC assumes that behavior cannot be isolated from the people who carry out the behavior and the fact that people are members of families, and societies is of primary importance. People carry, transmit, and produce culture. In contrast, both IEC and BC tend to view culture as a "barrier" that is external to the individual and often gets in the way of what people "should" be doing for their own good. SC approaches tend to focus on structures of society, social groups, interests, power structures, history, and social relationships that help determine behaviors rather than on each individual's behaviors.

SC also begins with formative research, which may be participatory with those the program seeks to help. While SC ultimately results in changed behavior, the path to get there is different because SC strives for changes in societal relationships that ensure sustainability and greater equity. For example, if informal waste collectors are enabled to become outreach experts on recycling and their expert consulting role is promoted through various media, both waste segregation at source and the social status of waste pickers may improve. Another example is raising women's status, e.g., women are almost uniformly found at the lowest levels of the SWM value chain. Providing women with jobs that pay a living wage, offer the possibility of advancement, and are suited to their needs and desires could result in social change if these women are able to advance, not individually, but as a gendered social class.

How does SCC work with cultural, social, and historical factors? For example, one study found that people were traditionally accustomed to throwing their waste on neighbors' fields. While this was benign when waste was purely organic, with increasing levels of plastic waste, the traditional practice has become problematic. SC research would learn the current practice, but search farther, e.g., social norms for disposal of waste, what factors have led to related norms changing over time, ideas about community and community disputes, constructs of neighborliness (if they exist), local pride, connections of plastic with perceptions of effects of globalization, etc. Research results might suggest that the SCC program could successfully

promote segregation of plastic waste and disposal in a MRF as a way to keep community peace and continue with traditional dumping of organic waste in fields, but after composting. SCC is the least likely approach to rely mostly on educational messages, although sharing information between communities and experts is common.

ATTACHMENT J: DUNS REGISTRATION GUIDE

OVERVIEW

Created in 1962, the Data Universal Numbering System or D-U-N-S® Number is Dun & Bradstreet's (D&B) copyrighted, proprietary means of identifying business entities on a location-specific basis. This number remains with the company location to which it has been assigned even if it closes or goes out-of-business. The DUNS Number "unlocks" a wealth of value-added data associated with that entity, including the business name, physical and mailing addresses, trade styles ("doing business as"), principal names, financials, payment experiences, industry classifications (SICs and NAICS), socio-economic status, government data and more. The DUNS Number also links members of corporate family trees worldwide.

The DUNS Number is widely used by both commercial and federal entities and was adopted as the standard business identifier for federal electronic commerce in October 1994. The DUNS Number was also incorporated into the Federal Acquisition Regulation (FAR) in April 1998 as the Federal Government's contractor identification code for all procurement-related activities. Requesting a DUNS number from D&B is free.

A.   PURPOSE

The project for which you have applied for grant funding will require that your organization submit proof of a DUNS number. The purpose of this guide is to provide step-by-step instruction on how grantees working with Tetra Tech ARD must register in the DUNS.

B.   REGISTERING FOR A DUNS NUMBER

Step 1: Access website http://fedgov.dnb.com/webform/displayHomePage.do

Step 2: Select the link **Click here to request your D-U-N-S Number via the web**

Step 3: Select the country your organization is located from the pulldown menu and then select **Continue**

Step 4: A box will appear below that you will need to fill out with your Business name, street, city and phone number. You will need to enter the verification code and then click **Submit**

Step 5: Follow and enter the additional screen information

Under normal circumstances the DUNS is issued within 2-3 business days when using the DUNS online process. D&B should confirm your nine-digit DUNS number via email. For questions, please email ccrhelp@dnb.com.