



CLEAN CITIES, BLUE OCEAN

Request for Applications

Social and Behavior Change (SBC) for Solid Waste Management (SWM) and Reduce, Reuse and Recycle (3R) practices in Samaná Province, Dominican Republic

Opportunity Number:	CCBO-RFA-Dominican Republic-001
Issuance Date:	April 2, 2020
Modification -01 Purpose:	Extend the due date as shown below. All other terms and conditions of the solicitation remain the same.
Deadlines for Applications:	May 13, 2020 at 5pm DST ¹
Questions and Submission:	opportunities@cleancitiesblueocean.org

In August 2019, Tetra Tech was awarded the Clean Cities, Blue Ocean (CCBO) Program, a five-year contract from the U.S. Agency for International Development's (USAID) Bureau of Economic Growth, Education, and Environment's Office of Land and Urban. 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 plastic and improve effective and locally appropriate solid waste management (SWM) infrastructure;
2. Support behavior change and the development, implementation, and enforcement of improved policies and regulations around SWM and reduce, reuse and recycle (3R) practices;
3. Increase capacity and effective governance of SWM and recycling systems, particularly at the city level; and
4. Build public-private partnerships and enhanced multi-stakeholder alliances that strengthen program collaboration, impact, and sustainability.

Beginning in 2020, CCBO will work in the Province of Samaná to stem marine plastics pollution, in

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.

partnership with national and municipal government; members of the private sector; and civil society organizations. During the life of the project, CCBO will issue grants to help achieve overall program objectives. As such, **CCBO seeks to issue a grant for social and behavior change (SBC) research that lays the groundwork for effective, locally-led solutions and approaches in Samaná Province for enhanced SWM and 3R practices that will ultimately reduce marine debris.**

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 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: Application Instructions and Template

Application Attachments:

- A. Budget with notes
- B. Staffing plan
- C. Reference List
- D. Certifications

Additional Attachments:

- E. Additional Information on CCBO's Approach to Women's Economic Empowerment
- F. DUNS Registration Guide

SECTION I: TERMS OF REFERENCE

Background

The human, economic, and environmental costs of poor waste management in the Dominican Republic (DR) are mounting. Citizens living adjacent to disposal sites face contaminated water and odors; tourism development is under threat from environmental pollution; and biodiversity is facing serious impacts from the waste in the Samaná Bay and Atlantic Ocean, which includes more than 1,500 humpback whales who inhabit the bay between December and March to breed and raise their young. Because of these impacts, many national and local advocates have been impelled to action, but with the current infrastructure, regulatory environment, and financial system in place, they cannot enact or pay for improved SWM. Financing for improved infrastructure is critical if the DR is to shift from the current 352 informal and environmentally dangerous waste dumping sites to better-managed waste collection, recycling, and disposal systems at the regional level.

Currently, there is no national law or legislation in place to govern solid waste management. The DR's National Law for the Integrated Management and Processing of Waste has been read by the legislature for nearly ten years, but it has not yet been approved (Initiative No. 06625-2016-2020-CD). If passed, the pending law would provide the legal framework necessary to improve the solid waste system and encourage investment in SWM systems, including material recycling facilities (MRFs), transfer stations/aggregation points, and environmentally sound landfills. The law's effectiveness, however, is not only dependent on the national government, but also, once passed, on its implementation in local provinces and municipalities. Further, effective rate design and other funding mechanisms must be put into place to pay for this advanced system.

Province of Samaná

In January 2020, CCBO conducted an Initial Waste Management Assessment (IWMA) of the Province of Samaná to assess existing SWM programs and processes and the causes of marine plastic pollution in the province. Waste collection in the province varies depending on the municipality and recycling or recovery of material is limited. Organized collection of residentially generated waste is mostly absent throughout the province, largely due to a significant portion of the population being unable to afford such a service and/or being inaccessible to waste collection due to narrow streets and alleys. When materials are recycled or recovered, it occurs either at the curb (in the case of commercial establishments) or at the dump.

In order to ultimately improve SWM in Samaná and encourage the uptake of 3R practices, it is critical to understand how waste is currently being managed as well as the social and logistical background for these practices. Little information exists on how households of various ethnic and social classes in Samaná manage their solid waste and how different household members (i.e., women, men, girls, and boys) perceive and classify waste (particularly plastics) in public and in the home. There is also a lack of established information on how to appropriately engage residents to encourage their participation in voluntary waste segregation and waste collection schemes, i.e., bringing their waste to a neighborhood aggregation point, when these exist, or in some way providing compensation for a household waste collection service. To implement successful approaches, CCBO seeks to better understand and document what various population groups would be willing to do to help stop the ever-increasing production of waste, especially plastic, that flows into rivers and Samaná Bay and how to spark their interest in doing so. For example, is caring about the environment in general or the growing body of evidence that we are eating plastic in our food and water an impetus to sustained behavior change, or is there something else about plastic waste that is more important to local communities?

Social Behavior Change for SWM and 3R Practices

To establish and strengthen existing SWM and recycling systems, CCBO will develop and implement a participatory SBC strategy that builds the capacity and ability of municipal governments and those within their communities to adopt supportive and sustainable practices; participate in and commit to ongoing educational/communication programs, and achieve sustained behavior change with increased awareness of the impacts of plastics and other wastes entering rivers and oceans.

Theory of Change

CCBO's theory of change for SBC in Samaná Province that supports SWM, 3R practices, and CCBO's overall program objectives is that:

If participatory research is carried out that identifies how different genders, social classes, and ages regard waste, especially plastic waste, **then** we'll have a better understanding of what cultural, social, and other factors would strongly encourage implementation of 3R behavior and SWM awareness.

If we have a better understanding of factors to encourage implementation of 3R behavior, **then** we can develop a menu of 3R behaviors that some community members choose from and test in their daily lives.

If these behaviors are tested and provide sufficient data on implementation feasibility, **then** we will be able to design an effective SBC program that leads to sustained 3R supportive behaviors.

Grant Activities:

To accomplish this, CCBO seeks to issue a grant to a local non-governmental organization, university, or research institution to work in partnership with CCBO's SBC technical experts to conduct the formative research necessary to develop and implement SBC strategies that raise awareness and include all segments of the community—including women and youth—in participatory, two-way communication. CCBO seeks to partner with organizations that have participatory SBC experience and have worked or have the knowledge to work in Samaná Province to:

- Collaborate with CCBO to conduct social research to collect information to inform the program's SBC and women's economic empowerment (WEE) strategies²
- Conduct Trials of Improved Practices (with training provided by CCBO, as needed)
- Collaborate with CCBO to develop a SBC strategy for sustained SWM awareness and 3Rs behavior change
- Identify key stakeholders (representing all Samaná Province communities) and organize a series of day-long workshops to vet the strategy with key stakeholder groups
- With CCBO, revise strategy based on workshop suggestions
- Develop an SBC communication plan as part of an implementation strategy
- Meet with other CCBO grantees working in Samaná to contribute the development of a brief WEE strategy, based on the research and grantees' experience, to incorporate throughout all grantees' activities, as possible

² CCBO seeks to support women's economic empowerment through all of its programmatic activities, as possible. Information gathered through SBC research may be used to enhance the program's WEE strategy and inform cross-cutting programmatic activities. An overview of CCBO's approach to WEE is included in Attachment E.

Until the law passes, CCBO and the selected grantee will focus on implementing the formative research phase and developing the strategies listed above.

SECTION 2: AWARD AND ADMINISTRATION INFORMATION

Estimated Value of Grant and Period of Performance

CCBO anticipates awarding (1) one grant that is expected to range from \$25,000 to \$50,0000.

CCBO anticipates the formative research and development of the SBC and WEE strategies will take approximately 6-9 months. It is anticipated that grant implementation will begin on or around June 2020.

Application Process

Interested and eligible applicants (see Section 3) must submit their application by May 13, 2020 using the application format and attachments provided (Attachments A-D). After the closing date, CCBO will conduct a review of the applications based on the criteria provided in Section 4. The top scoring applicant will be asked to 'proceed in cycle' to begin negotiating the grant budget and technical Project Description with CCBO, who 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 D):

1. Certification Regarding Lobbying
2. Certification Regarding Terrorist Financing
3. Certification Regarding Prohibition on Assistance to Drug Traffickers
4. Certification of Recipient
5. Key Individual Certification Narcotics Offenses and Drug Trafficking

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 F.

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 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 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 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, 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, universities, or research institutions with demonstrated experience in SBC;
- Local Dominican Republic organizations³; and
- Organizations who have worked or have the knowledge to work in the Samaná Province.

Organizations who have never received funding from USAID are encouraged to apply.

Eligible applicants must demonstrate the following:

- Be legally registered to operate in the Dominican Republic;
- Be in good standing with all civil and fiscal authorities in the Dominican Republic;
- Sign applicable assurances and certifications; and
- 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;
- 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

³ A 'local' organization is one that 1) is legally organized under the laws of; 2) has as its principal place of business or operations in; 3) is majority owned by individuals who are citizens or lawful permanent residents of; and 4) managed by a governing body the majority of who are citizens or lawful permanent residents of that country.

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 (non-U.S.) 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:

- Construction⁴ and improvements, renovation, alteration and refurbishments⁵ 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.⁶
- Pre-award costs are not allowable (costs incurred prior to award or in the preparation of the Full Application);
- Nonrefundable Value Added Tax is not allowable; and

⁴ 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.

⁵ 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.)

⁶ 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.

- 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 will be asked to proceed. Applicants will be evaluated on responding to the following areas as required by the application template.

1. Problem Statement (20 points)

- Does the applicant demonstrate a comprehensive understanding of the local context and problem?

2. Experience in Qualitative Social Research, SBC and Gender Integration in SWM and 3Rs. (40 points)

- Does the applicant demonstrate the necessary experience in qualitative social research, SBC and gender in SWM and 3Rs to carry out the formative research and development of an SBC and WEE strategy?
- Does the applicant have the necessary experience with research methods to carry out the grant activity?
- Does the application adequately address social inclusion, including (but not limited to) gender, social class, ethnicity, and age integration? Does the application describe not only the gender and social inclusion issues, but how the activity design will respond to those issues?
- Does the applicant have the necessary experience working in or knowledge of the Samaná

Province to carry out the formative research?

3. Assumptions and Risks (10 points)

- Does the application identify potential risks and a clear response to mitigating these risks?

4. Engagement Strategy (10 points)

- Does the application include a plan for identifying and involving key local stakeholders and participants during design and implementation of the study, and how findings will be shared with key stakeholders and study participants to ensure that the communities understand the study results, and can subsequently influence policies or programs of government institutions or NGO partners working on this issue?

5. Program Management (15 points)

- Does the applicant have qualified staff and the necessary resources to carry out the formative research and strategy development?
- Does the applicant have experience managing similar programs including donor funded programs?
- Does the organization demonstrate sufficient administrative capacity to manage the project effectively and compliantly, including experience or demonstrated ability in meeting USAID guidelines?

6. Cost Effectiveness (5 points)

- Are costs reasonable and directly allocated to the project proposed?
- Does the budget minimize unnecessary costs?

SECTION 5: APPLICATION INSTRUCTIONS AND TEMPLATE

Instructions

Please submit your Full Application consisting of the following (using the templates provided below):

- Cover page
- Table of Contents
- Project Description
 - Attachment A: Budget
 - Attachment B: Staffing Plan
 - Attachment C: Reference list
 - Attachment D: Certifications

The suggested page lengths per section of the Project Description are indicated in the outline, however, the whole application may not exceed 5 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-Dominican Republic-001

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: _____

Table of contents

Project Description

1. Problem Statement (1 page)

Describe the existing context and problems of 3R/SWM behaviors in Samaná (and more broadly in the Dominican Republic). Discuss current policies, programs or partnerships relevant to the proposed work, and reference any existing analyses, needs assessments, or recent evaluations as may be appropriate, and how formative research can build on what is already known. Specifically discuss the different challenges men and women face as well as the challenges for poorer Samaná residents and ethnic groups related to SWM.

2. Experience in Qualitative Social Research, SBC and Gender Integration in SWM and 3Rs (1.5 pages)

Describe your organization's experience with qualitative social research and SBC, specifically in SWM and the 3Rs, including research methods, approaches to working participatorily with communities, and gender integration strategies. Provide a short description of similar research your organization has carried out (include contact information for references in Attachment C). Describe your organization's experience working in Samaná Province and in SBC for any subject.

3. Assumptions and Risks (0.5 page)

Describe the assumptions of the study and what potential risks or obstacles may be encountered and how will you address these.

4. Engagement Strategy (1 page)

Describe your strategy for key local stakeholder participation and how this work will link to current policies, programs or partnerships in the country context. Describe how men and women of different ethnic and social classes will be engaged in the formative research and strategy development. Describe how you intend to share findings with local communities.

5. Program Management (1 page)

Describe staff and resources your organization anticipates dedicating to this grant activity and how your organization manages programs and donor compliance (referencing your staffing plan in Attachment B). Describe your organization's administrative capacity to manage grant programs. Describe any experience your organization has with USAID or other donor-funded grants.

ATTACHMENT A: BUDGET TEMPLATE

(Please use the MS Excel version)

The Budget Section consists of the following parts:

1. Total budget showing a breakdown of costs; and
2. Budget Notes – Use the “notes” column to provide guidance.

Description of Budget Line Items

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. Overtime costs will not be approved.

Equipment: List equipment to be purchased. Equipment is tangible property having a useful life of more than one year and an acquisition cost of \$5,000 or more per unit. (Note: Lower limits may be set per a grantee’s own equipment policy). Expendable items should be included either in the “material and supplies” category or in the “other” category. Applicants should analyze the cost benefits of purchasing versus leasing equipment, especially high-cost items and those subject to rapid technical advances. Rented or leased equipment costs should be listed in the “contractual” category. Explain how the equipment is necessary for the success of the project. Attach a narrative describing the procurement method to be used. Procurement should be done as per USAID Regulations.

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.

Transportation: Itemize travel expenses of project personnel by purpose (e.g., staff to training, field interviews, advisory group meeting, etc.). Show the basis of computation (e.g., six people to 3-day training at \$X airfare, \$X lodging, \$X subsistence). In training projects, travel and meals for trainees should be listed separately. Show the number of trainees and the unit costs involved. Identify the location of travel, policy for subsistence rates, etc.

Communications: List telephone, Internet, and cell phone expenses.

Activities: List activities by expense. To the extent possible, reference activity expenses to the application and/or implementation plan. If consultants are included in the activity budget, indicate the name of the consultant, services to be provided, hourly or daily fee, and estimated time on the project. List consultant expenses separately (i.e. travel, meals, lodging, etc.).

Indirect Costs: Indirect costs are allowed if the applicant 1) has a federally approved indirect cost rate (NICRA), 2) can charge to direct costs and verify with supporting financial documentation, or 3) have never received a NICRA and will apply the 10% de minimis to the modified total direct costs. A copy of the rate approval (a fully executed, negotiated agreement) must be attached. Tetra Tech must approve all indirect cost rates which must comply with 2 CFR 200.414(f).

ATTACHMENT B: STAFFING PLAN

Describe only Key Personnel. Not to exceed 1 page. Please do not send full CVs.

Name of Individual:

Role:

Key Qualifications:

Status (hired or need to hire):

Name of Individual:

Role:

Key Qualifications:

Status (hired or need to hire):

Name of Individual:

Role:

Key Qualifications:

Status (hired or need to hire):

Name of Individual:

Role:

Key Qualifications:

Status (hired or need to hire):

ATTACHMENT C: 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 D: 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/tl1sdn.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 I 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: Prohibition on Assistance to Drug Trafficking for Covered Countries and Individuals (ADS 206)

USAID reserves the right to terminate this Agreement, to demand a refund or take other appropriate measures if the Grantee is found to have been convicted of a narcotics offense or to have been engaged in drug trafficking as defined in 22 CFR Part 140. The undersigned must review USAID ADS 206 to determine if any certifications are required for Key Individuals or Covered Participants.

If there are COVERED PARTICIPANTS: USAID reserves the right to terminate assistance to or take other appropriate measures with respect to, any participant approved by USAID who is found to have been convicted of a narcotics offense or to have been engaged in drug trafficking as defined in 22 CFR Part 140.

Certification 4: Certification of Recipient

By signing below the recipient provides certifications and assurances for, (1) the Certification Regarding Lobbying, (2) the Certification Regarding Terrorist Financing, and (3) the Prohibition on Assistance to Drug Traffickers for Covered Countries and Individuals.

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: CCBO-RFA-Dominican Republic-001

Date of Application: _____

Name of Organization: _____

Representatives Name: _____

Representatives Title: _____

Representatives Signature: _____

Certification 5: Key Individual Certification Narcotics Offenses and Drug Trafficking

I hereby certify that within the last 10 years:

1. I have not been convicted of a violation of, or a conspiracy to violate, any law or regulation of the United States or any other country concerning narcotic or psychotropic drugs or other controlled substances.
2. I am not and have not been an illicit trafficker in any such drug or controlled substance.
3. I am not and have not been a knowing assistor, abettor, conspirator, or colluder with others in the illicit trafficking in any such drug or substance.

Name: _____

Signature: _____

Title/Position: _____

Organization: _____

Date: _____

Address: _____

Date of Birth: _____

NOTICE:

1. You are required to sign this Certification under the provisions of 22 CFR Part 140, Prohibition on Assistance to Drug Traffickers. These regulations were issued by the Department of State and require that certain key individuals of organizations must sign this Certification.
2. If you make a false Certification you are subject to US criminal prosecution under 18 USC. 1001.

ATTACHMENT E: 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.⁷

⁷ WGDP: Women's Global Development and Prosperity Initiative Annual Report 2019-2020

ATTACHMENT F: 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 pull down 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.