



CLEAN CITIES, BLUE OCEAN

Request for Applications

Innovations to reduce waste and create a circular economy in the artisanal fishing sector of Piura

Opportunity Number:	CCBO-RFA-Peru-001
Issuance Date:	November 23, 2021
Technical Overview Workshop:	November 30, 2021, 11am-12pm Peru Standard Time
Proposal Writing Workshop:	December 1, 2021, 11am -12:30pm Peru Standard Time
Deadline for Questions	December 3, 2021
RSVP for Applicant Conference:	HERE
Deadlines for Applications:	December 23, 2021 at 5pm Peru Standard Time ¹
Submission and Questions:	Ruth.Ibarcena@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 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

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.

CCBO has begun working in the Peruvian departments of Piura and Ica, specifically in the cities of Pisco, Paita and Mancora. 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 the seven countries. 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 identify innovative solutions to improve management of artisanal fishing waste in Piura and support the government's plans to advance the fishing sector toward a circular economy. CCBO will fund one (1) applicant to work closely with artisanal fishing organizations in Piura (Paita and Máncora) to design and test models to manage the inorganic waste (mainly ghost gear) and its recycling, generated on vessels and in the ocean.** Additional information can be found in Section 1: Terms of Reference.

Interested applicants are invited to attend two conferences:

Technical Overview Workshop:	November 30, 2021, 11am-12pm Peru Standard Time	<ul style="list-style-type: none"> • Overview of Terms of Reference • Question and Answer
Proposal Writing Workshop:	December 1, 2021, 11am -12:30pm Peru Standard Time	<ul style="list-style-type: none"> • Overview of Full Application format and required attachments •

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: Results Framework
- Attachment D: Activity Monitoring
- Attachment E: Staffing Plan
- Attachment F: Reference list
- Attachment G: Health, Safety and Environmental Screening Form
- Attachment H: Certifications

Section 6: Additional Attachments:

- Attachment I: Media Embargo
- Attachment J: CCBO Indicators
- Attachment K: Environmental Mitigation Plan
- Attachment L: CCBO's Approach to Women's Economic Empowerment
- Attachment M: Guide to Information, education and communication (IEC) and Social and behavior change (SBC)
- Attachment N: DUNS Registration Guide

SECTION 1: TERMS OF REFERENCE

1. Background

Based on a 2020 study by World Wildlife Fund², it is estimated that abandoned, lost or discarded gear (referred to as ‘ghost gear’) accounts for at least 10% of marine litter, resulting in between 500,000 – 1 million tons of fishing gear left in the ocean each year. Marine debris of all kinds has detrimental impacts on marine habitats and mammals, but ghost gear tends to be the most lethal as animals become entangled in abandoned nets, lines and traps and suffocate or die of exhaustion trying to escape. Moreover, fishing gear can destroy vital habitats for marine animals, create serious navigational risks for marine transportation, and have a negative impact on tourism by visibly ruining natural landscapes. Ghost gear is often made of plastic that can take decades to break down, creating lasting negative impacts for generations that not only affects marine life but also the societies and individuals who rely on fisheries for food, tourism, and livelihoods. Gear loss occurs in both artisanal (subsistence or commercial fisheries providing for local consumption or export, often referred to as small-scale fisheries) and industrial fishing. While a significant amount of gear is intentionally discarded through illegal, unreported, and unregulated (IUU) fishing, fishers (male and female fisherman) who rely on the industry for their livelihoods are not quick to intentionally discard fishing gear that has a significant financial investment. As noted in the WWF study, even in properly managed operations, gear can be lost or abandoned due to weather, mechanical problems or human error.

Peru is the second-largest fishing nation in the world, after China, and is home to some of the most important fisheries globally: the anchovy, the giant squid and mahi-mahi. According to the Ministry of Production (PRODUCE), in 2019 there were 76,286 thousand people in the maritime and continental sphere who were dedicated to artisanal fishing in Peru; 51% of them were concentrated in Piura, Ica and Ancash. Artisanal fishing represents 65% of the total volume extracted for Direct Human Consumption (DHC), and contributes 22% to the extractive fishing’s GDP, generating approximately 93,000 direct jobs, including women dedicated to disembarkation, processing, transportation, among other services. Despite the economic importance of fishing in Peru, the country has faced similar global challenges in fishing-related waste polluting the environment, killing marine life, endangering the navigation of ships, and spoiling the natural landscapes that are often tourist attractions. Gear can become entangled in the rocky ocean bottom or with other fishing gear, lost due to climate or oceanographic factors, or left at sea because of a lack of final disposal facilities in ports or fishing communities.

In 2017, the Peruvian Sea Institute (IMARPE) carried out research on solid waste generated by artisanal deep-sea fishing in Puerto de Salaverry³. The research found 21 types of solid waste, the wastes with the highest presence were: plastics (31.16%), organic remains (13.05%), gear and fishing gear (10.29%) and batteries (7.87%). This waste is not properly managed and is dumped or abandoned in the sea. A pilot fishing gear collection and recycling project carried out by WWF and Bureo⁴ in three communities in central and northern Peru, demonstrated that if fishers are provided with responsible and incentive-based options for end-of-life gear disposal, there is an increase in collection of gear that may otherwise be left to sea. This suggests enormous potential to identify innovative solutions to remove existing or potential fishing gear from the ocean, increase income for artisanal fishers, and create upcycling jobs and products from the gear being diverted from the ocean.

Circular Economy, innovation and artisanal fishing in Peru

² [Stop Ghost Gear: The Most Deadly Form of Marine Plastic Debris | Publications | WWF \(worldwildlife.org\)](#)

³ Informe ISSN 0378-7702, Volumen 46, Numero 4 | Publications | IMARPE (<https://repositorio.imarpe.gob.pe/>)

⁴ [Stop Ghost Gear: The Most Deadly Form of Marine Plastic Debris | Publications | WWF \(worldwildlife.org\)](#)

In 2018, the Government of Peru approved the National Competitiveness and Productivity Policy which outlined a comprehensive strategy to increase the productivity and competitiveness of its economy through nine policy objectives. Subsequently, in 2019, the government published the National Competitiveness and Productivity Plan which includes a policy measure for circular economies and clean production agreements in the fishing and agriculture sectors.

In February 2020, the Roadmap towards a Circular Economy for Industry, which includes industrial fishing processing, was approved, by Supreme Decree No. 003-2020-PRODUCE. Currently, the Ministry of Production, in coordination with the Ministry of the Environment is preparing the roadmap related to large and small-scale extraction, processing and artisanal fishing. In addition, the Ministry of Production has two initiatives that contribute to promoting innovation with a circular economy approach in artisanal fishing: The National Program for Innovation in Fisheries and Aquaculture - PNIPA, and the National Program for Innovation for Competitiveness and Productivity - *Innovate Perú*. PNIPA promotes competitive, sustainable and inclusive innovation in the fishing and aquaculture subsector by co-financing research projects, technical assistance and capacity development initiatives to expand the country's productive base, increase competitiveness and value, improve the use of fisheries and aquaculture biodiversity, among others. The *Innovate Peru* Program's main objective is to promote and foster business competitiveness and productivity through innovation and collaboration. *Innovate Perú* has co-financed innovation projects linked to productive and industrial development in the fishing sector. The RFA will review these initiatives in order to evaluate potential synergies.

In an effort to support the governments roadmap and initiatives, **CCBO seeks to identify innovative solutions to improve management of artisanal fishing waste in Piura and support the government's plans to advance the fishing sector toward a circular economy. CCBO will fund one (1) applicant to work closely with artisanal fishing organizations in Piura (Paita and Mancora) to design and test models to management and recycling inorganic waste generated on vessels and in the ocean.**

CCBO's Supporting Activities

In addition to the grant resulting from this solicitation, CCBO will carry out its own research on a number of topics. It is anticipated that this research will conclude when this grant begins and CCBO will share information with the successful grantee to utilize in their program. This research includes:

- **Social and behavior change** to identify the perception of citizens among key issues related with solid waste management; to identifying the internal and external determinants that affecting municipal and marine solid waste management by the general population; and factors or drivers that would motivate or incentivize a target population to adopt sustainable 3R/SWM behaviors.
- **Market study** for recyclable inorganic and organic solid waste generated at the municipal level and in artisanal fishing (only inorganic) to understand the current situation of the sector in terms of material flow, commercial and infrastructure aspects, and be able to carry out an adequate planning of innovative entrepreneurship, with a circular economy approach, in the cities of Paita, Mancora and Pisco.
- **Policy analysis** to understand gaps in SWM regulation and enforcement, including artisanal fishing regulation and what fishers and Artisanal Fishing Organizations can feasibly do to comply with regulation

2. CCBOs Phased Approach

In keeping with the goals of CCBO to identify, test and scale innovative solutions, CCBO prioritizes grants which are evidence- and research-based. A majority of CCBO grants are implemented in two phases:

Phase 1: Carry out situational analysis and design a program/business model

Phase 2: Test out the program/business model and document lessons learned and best practices

CCBO expects applicants to develop a program which is based on previous research and/or has a result and activities dedicated to necessary research to inform the model to be tested (i.e. grant activities should be informed by research that's already been done or will be done at the beginning of the grant). See an example in the Application format in Section 5.

3. Illustrative Activities

CCBO expects interested applicants to submit well-designed programs that are feasible in scope given the time available to implement activities, as well as the skills and resources of the applying organizations, and the budget limitations. The following illustrative activities are those CCBO envisions funding as a result of this solicitation, but applicants are free to propose their own solutions and activities. **Important:** applicants should NOT submit applications in which ALL of the following activities are included but should be strategically focused on testing one or two pilots

In keeping with CCBO's multi-phased grants, it is anticipated that applicants will develop a program that begins with basic information gathering to inform a pilot design (Phase 1) which should be done relatively quickly (i.e. 3-4 months) and then test the pilot and document the effectiveness of the pilot (Phase 2) which would take the remainder of the grant. Illustrative activities include:

Phase 1: Situational analysis and design

- CCBO will carry out basic formative research on social and behavior change in the artisanal fishing (carried out by a different partner). Applicants may choose to build on this research and carry out more in-depth research to understand:
 - The type and quantity of waste being generated by artisanal fishers and what material(s) will be targeted for recovery (on vessel and ghost gear),
 - Why artisanal fishing waste isn't being captured currently,
 - What equipment and materials artisanal fishers and landing sites need to store, segregate and transport materials to market or for proper disposal
 - What would motivate or incentivize artisanal fishers to properly dispose of or sell inorganic waste (especially plastic) from fishing gear and waste generated on-vessel
 - Design a pilot model to test capture systems to ensure inorganic waste (especially plastic) generated on fishing vessels can be collected, stored, and transported back to the landing sites where it can be separated and properly disposed of or sold to market
- CCBO will carry out basic market-based research on end-markets for inorganic waste (especially plastics) (including those generated by the fishing industry). Applicants may choose to build on this research and carry out more in-depth research to understand:
 - What markets currently exist for plastic waste generated in the artisanal fishing,
 - What volumes and quality of material are required to meet demand?
 - What private sector market actors are interested in generating alliances to use into their industrial processes

- What markets exist for upcycled fishing gear and potential business that could be developed
- Design a pilot program to match market demands (recyclers or small upcycling businesses) with artisanal fishing organizations.

CCBO will carry out basic research to understand gaps in artisanal fishing regulation and what fishers and Artisanal Fishing Organizations can feasibly do to comply with regulation. Applicants may choose to build on this research and carry out more in-depth research in the grant target area.

Phase 2: Pilot testing and documenting lessons learned and best practices

- Phase 2 activities should be informed by Phase 1 research and may including testing models for:
 - Pilot test procedures and equipment for fishers to bring fishing gear waste and inorganic waste generated on vessel back to landing sites to be segregated, measured, stored and sold or disposed of properly. It will be important for the applicant to describe how they will manage the waste from aggregation to recovery, and how it will be measured.
 - Assist artisanal fishing landing stage and artisanal fishing organizations in implementing and managing the segregation and storage system for fishing gear waste and inorganic waste generated on vessel
 - Integrate the municipal collection system of inorganic recyclable waste with the inorganic waste generated by fishermen.
 - Pilot test a fishing gear upcycling business
 - Develop national or regional regulatory framework proposals for managing artisanal inorganic fishing waste
 - Pilot test innovative uses of fishing gear waste and/or aggregation of material for markets
 - Develop a multi-stakeholder learning platform to share information on the success of innovations
 - Involve the private sector in the development of the innovations
 - Document lessons learned and best practices in reducing artisanal fishing waste and share through written, visual or multimedia products.

4. Illustrative Indicators

CCBO uses performance indicators to monitor and measure progress towards its desired results. Applicants’ proposed grant activities must contribute to CCBO’s program indicators and may include any combination of the following as relevant to their activity. Below is the current list of CCBO key performance indicators in their thematic categories. Those in **bold** represent the anticipated indicators the resulting grant will support depending on the proposed activities, but the exact list and their targets will be determined through the application development process. CCBO will work closely with the selected applicant to identify indicators the program will support and outline mechanisms for reporting on indicators in implementation.

Thematic Category	CCBO 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 and SWM plans that advance 3R/SWM supported (e.g. regulatory frameworks for managing artisanal inorganic fishing waste)
	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 / partnerships / events	Amount of Investment mobilized for 3R/SWM (e.g. supporting the innovative approach(es))
	Number of oceans plastic / SWM events, partnerships (e.g. MOUs), and publications

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 \$150,000. Grant budgets must fully align with the proposed activities, and in certain instances the final budget will be less than \$150,000.

It is anticipated that the grant implementation will begin on or around March 2022 and the overall period of performance will be for approximately 24 months.

Application Process

Interested and eligible applicants (see Section 3) must submit their application by **December 23, 2021**,

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;
- 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:

- Construction⁵ and improvements, renovation, alteration and refurbishments⁶ 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;

⁵ 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.

⁶ 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.)

- 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;⁷
- 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

⁷ 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.

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.

Technical Approach (Sections 1-7 of Application)	50 points
Program Management (Section 8)	15 points
Past Performance & Organizational Capacity (Section 9)	25 points
Budget (Attachment A)	10 points
Total	100 points

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
- Attachments
 - Attachment A: Budget
 - Attachment B: Budget Notes
 - Attachment C: Results Framework
 - Attachment D: Activity Monitoring
 - Attachment E: Staffing Plan
 - Attachment F: Reference list
 - Attachment G: Health, Safety and Environmental Screening Form
 - Attachment H: Certifications

The suggested page lengths per section of the Project Description are indicated in the outline, however, the whole application may not exceed **15** 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-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: _____

Project Description – Format

1. Background (2 pages)

Problem or challenge: Describe the existing problem or challenge in both the local and broader context of artisanal fishery, including the role of women and unique challenges they face. Include information such as: current state of solid waste management (SWM) and plastic pollution in the target area related with artisanal fishery; people, environments or economies affected/potentially affected; and existing SWM normative for artisanal fishery (local and national).

Description of Community: what are the main/most important artisanal fishery associations; who manages the artisanal fishing landing stage; and other key actors that represent potential synergy opportunities.

Role of government: Describe how your program activities will support, build-up or leverage the local and regional government and their existing or future plans for managing solid waste. Describe how your activities may influence local, regional, or national policy.

Organization & Previous programs: Include a short summary of your organization, previous experience and information on relevant research, as well as any relevant activities, technologies, or approaches that have 1) either worked that will be scaled or replicated or 2) have not worked and what lessons can be applied to ensure the success of the proposed grant project. Briefly describe any programs your organization has carried out or is carrying out that will be built on and what lessons were learned from those programs. Describe how long your organization has worked in the proposed community and what criteria you used to select the community, what activities/initiatives/projects your organization developed, which are the principal stakeholders involved in the work that your organization developed.

2. Project Overview and Theory of Change (1 page)

Provide a short paragraph summarizing your proposed program and how this builds off of or helps fill the gaps identified in the background section.

Theory of Change

A Theory of Change (TOC) is a description of *how* and *why* a desired change is expected to happen in a particular context by identifying long term **Goal(s)** and then working backwards to outline the **Results** (or outcomes) necessary to achieve the goal; and the **Activities** that must be carried out to achieve each **Result**. In this section, describe the Results that will lead to the Goal using If/Then statements. The TOC should describe the causal pathway of the activity, and can be thought of as a roadmap to success, with the results being the key achievements that we want to see along the way. In many CCBO grants, it is common for the Results Framework to be broken into two phases (Phase 1 is focused on research, assessments and establishing partnerships to develop a pilot program; Phase 2 is focused on testing the pilot and documenting lessons learned and factors of success).

Example: Phase 1: **IF** there is increased understanding of current challenges in the 3R/SWM value chain (Result 1), **THEN** a community-led plastic waste management model can be designed (Result 2).

Phase 2: **IF** the capacity of the community and government in sustainable 3R/SWM practices is increased (Result 4), and **IF** the community-led plastic waste model is launched and piloted (Result 3), **THEN** 3R practices and SWM system will be strengthened, reducing plastic waste in the environment (Goal).

3. Results and Activities (4-5 pages)

Use the following format (in the text box below) to breakdown the results of the proposed grant, and the activities that will support the accomplishment of those results. The Activities should outline two phases which may address the following:

Phase 1: Situational analysis and design

- The type of research that will be carried out to understand what type of waste is being generated, why waste isn't being captured currently, what equipment and materials are needed to improve storage, segregation and transportation of materials
- The type of research that will be carried out to understand what would motivate or incentivize artisanal fishers to properly dispose of or sell inorganic (especially plastic) waste
- What markets currently exist (commercial recyclers, upcyclers) for inorganic (especially plastic) waste generated in the artisanal fishing, what volumes and quality of material are required to meet market demands, where the private sector may be interested in the waste value chain.
- What model is envisioned to be tested in Phase 2, including a plan for how recovered, recycled/upcycled materials will be measured

Phase 2: Pilot testing and documenting lessons learned and best practices (that builds off Phase 1)

- Pilot test procedures and equipment for artisanal fishers to bring fishing gear waste and inorganic waste generated on vessel back to landing sites to be segregated, stored and sold or disposed of properly.
- Pilot test mechanisms that assist artisanal fishing landing stage and artisanal fishing organizations in implementing and managing the segregation and storage system for fishing gear waste and inorganic waste generated on vessel
- Pilot test and integrated municipal collection system of inorganic recyclable waste with the inorganic waste generated by fishermen.
- Pilot test a fishing gear upcycling business
- Pilot test innovative uses of fishing gear waste and/or aggregation of material for markets
- Develop national or regional regulatory framework proposal for managing artisanal inorganic fishing waste
- Develop a multi-stakeholder learning platform to share information on the success of innovations
- Involve the private sector in the development of the innovations
- Document lessons learned and best practices in reducing artisanal fishing waste and share through written, visual or multimedia products.

Important: All proposed pilots should include a plan for measuring the quantity of material being collected, recycled/upcycled or disposed of properly to demonstrate effectiveness of the model.

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

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

Activity Narrative: Under each activity, describe how the activity will be carried out, how target audiences will be engaged, how gender and social inclusion considerations will be addressed, etc. and how the activity will lead to the anticipated results. Please also include COVID-19 considerations (i.e. doing training virtually until safety requirements allow in-person)

Key Deliverables: Under each result, include those deliverables, products or key achievements that will result from the activities. These can be included as bullet points

4. Implementation Schedule (1 page)

Fill in the following table. Results and activities must align with section 3 above, and the months in which implementation of each activity will occur should be marked with an 'X'. Please add or delete months depending on the period of performance, and add or delete Results and Activities depending on your proposal.

	Year 1												Year 2											
	1	2	3	4	5	6	7	8	9	10	11	12	1	2	3	4	5	6	7	8	9	10	11	12
Result 1:																								
Activity 1.1																								
Activity 1.2																								
Activity 1.3																								
Result 2:																								
Activity 2.1																								
Activity 2.2																								
Activity 2.3																								
Activity 2.4																								
Result 3:																								
Activity 3.1																								
Activity 3.2																								

5. Engagement and Coordination 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. Specifically discuss:

- How communities and local government officials and ministries will participate and be supported through the grant, and specifically how grant activities will support existing or future local government SWM plans.
- Any collaboration with the private sector and other NGOs.
- How different populations (men and women, different ethnic, social or economic classes) and specifically vulnerable populations will be engaged and participate in the grant, where appropriate.

6. Sustainability Strategy (1 page)

As CCBO seeks to pilot ‘proofs of concept’ that can be scaled or replicated for much larger impact and sustained beyond the life of CCBO to tackle the global plastics problem, describe what sustainability means to your organization (i.e. financially viable business model, continuation of activities, sustained behavior change, systemic inclusion of women, etc.) and how sustainability of the grant project will be measured and how it will contribute to systematic change of the previously identified problem or challenges and support the Theory of Change. For projects focused on research or policy – how will findings be shared with key stakeholders to ensure uptake and use of findings or influence on policy; for projects with private sector involvement – how will existing markets be built on or established; for projects whose activities must continue – how will the activities be funded after the grant ends (either by the applying organization or other stakeholders); for projects whose behaviors should be sustained – how will the research and activities reinforce social and behavior change that is sustainable. Describe how you envision your proof of concept (if successful) being scaled, replicated and sustained by your organization, the local government and other organizations and governments in the Peru and globally.

7. Assumptions and Risks (1 page)

Describe the assumptions of the proposed study or activities and what potential risks or obstacles may be encountered and how they will be addressed. Specifically address assumptions and risks of the engagement strategy and sustainability plan.

Gender and Social Inclusion: Identify assumptions or risks to fostering gender equality and/or social inclusion through grant funds and how these will be mitigated and/or managed, if applicable

Coronavirus: Specifically discuss how implications of the evolving coronavirus will be managed.

Health and Safety: As you fill out Attachment G, identify any potential risks to the health and safety of participants, beneficiaries or individuals impacted by the activity and how these will be mitigated, if applicable.

Environmental: As you fill out Attachment G, please reference any potential environmental risks and mitigation strategies.

8. Program Management (1.5 pages)

Describe the following:

- How the project will be managed including staffing and management of scope, resources, time, budget, cost, and monitoring and evaluation (referencing your Implementation and Staffing plans in Attachments C and E).
- Where project offices are/will be located and how management and coordination between field and headquarter offices will be addressed (if applicable).
- What project management, monitoring and evaluation, quality assurance and compliance systems will be utilized.

9. Past Performance and Organizational Capacity (1.5 pages)

Describe the following:

- Similar projects or programs your organization has implemented (including the name of the project, donor(s), dollar value, geographic scope, and a brief technical summary of the project that includes results).
- The organizations administrative capacity to manage grant programs. Describe any experience you've had with USAID or other donor-funded grants
- The organizations experience with monitoring and evaluation of programs.

ATTACHMENT A: BUDGET TEMPLATE

(Please use the MS Excel version)

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 E: Staffing Plan

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.

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).

Equipment: List equipment to be purchased. USAID's definition of '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. Explain how the equipment is necessary for the success of the project. Include a narrative describing the procurement method to be used. Procurement should be done according to the organizations policies and procedures, which will be reviewed against USAID Regulations during the pre-award process.

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.

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.

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).

Activity 3.1: 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: RESULTS FRAMEWORK

Using the power point template, create a Results Framework that aligns with your TOC, Results and Activities.

The results framework can be used as a tool to help visualize the theory of change, in a way that just having a narrative may not. The two should be complementary, the narrative, obviously can include some more detail. It is a causal pathway showing the key things that need to be achieved sequentially in order to reach the ultimate objective. If you read it in the opposite direction, by starting at the highest level of what you're trying to achieve, you can read it as what is necessary to get to the next step.

If A and B, then C can be achieved.

C can be achieved when A and B have been achieved.

ATTACHMENT D: ACTIVITY MONITORING

Fill out Attachment D (in excel) following the guidelines on the 'Indicator Selection and Targets' tab.

ATTACHMENT F: 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 G: HEALTH, SAFETY AND ENVIRONMENTAL SCREENING

Review the material handling questions below. Place an ‘X’ in the corresponding response to the questions. If any of the above questions were answered YES, please review the Environmental Mitigation Plan (Attachment K) and ensure the suggested Actions to Address Risk are incorporated into your proposal and budget.

Material Handling Questions	YES	NO
1. Does the proposal include activities where individuals will be handling waste (including plastics, recyclables and/or organic material)?		
2. Does the proposal include activities that will create or utilize a space for individuals to process waste (collect, clean, sort, etc.)? <i>Please note, construction is not allowable under USAID grants.</i>		
3. Does the proposal include activities that will promote or provide education on household cleaning and separation of plastics, recyclables and/or organic material?		
4. Does the proposal include activities where waste would be stored for any period of time before being collected?		
5. Does the proposal include the use of chemical compounds in the processing of materials (paid for through USAID funds)?		
6. Will implementation of the proposal directly require any machinery, equipment, or vehicles?		

ATTACHMENT H: 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 I: Media Embargo

Attachment J: CCBO Indicators

Attachment K: Environmental Mitigation Plan

Attachment L: CCBO's Approach to Women's Economic Empowerment

Attachment M: Guide to Information, education and communication (IEC) and Social and behavior change (SBC)

Attachment N: DUNS Registration Guide

ATTACHMENT I: 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 are 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 J: 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 K: ENVIRONMENTAL MITIGATION PLAN

The table below includes different categories of risks and suggested actions to address the corresponding risks. The identified risks for the proposed project should be incorporated into your Full Application and budget.

#	Identified Environmental Risks	Actions to Address Risk
1.	Public Health and Occupational Health and Safety	<ul style="list-style-type: none"> • Minimizing human health risks by rejecting hazardous wastes, and only accepting pre-segregated food waste and plastics, paper, glass and metals. This is part of normal operation of regulated municipal services. Staff will receive training on identification of non-permitted wastes and serve as the final barrier to their entry in the Facility. • Maintaining and operating plant and machinery in accordance with manufacturers' instructions • Providing appropriate personal protective equipment (PPE) and protocols for its use. PPE shall include safety boots, hard hats, eye protection, ear defenders, and respirators • Limiting site access for waste pickers • Implementing access controls (e.g., fences, warning signs, access control personnel) in coordination with LGU authorities • Planning with LGU authorities for emergency response and contingencies for, as appropriate, flooding, typhoon/hurricane, earthquake, fire, landslide, disease outbreak, political insecurity • Establishing and strategically posting protocols for COVID-19 prevention and response in coordination with local government authorities • Developing and utilizing a Site Safety Plan, holding not less than monthly safety meetings and visual observation and necessary correction action of activities deemed unsafe
2.	Social and community	<ul style="list-style-type: none"> • Eliminating visual impacts of the Facility through screening (e.g., tree planting, solid fencing, walls) or architectural features as needed. When needed, tree planting is USAID's preferred action to eliminate visual impacts. • Ensuring worker welfare through specific policies and practices that ensure safe and healthy labor conditions including worker accommodations, free health and safety training, provision of welfare facilities (i.e., ready access drinking water, sanitation facilities for both men and women, first aid equipment), and local directives on worker rights • Transparent efforts in place for accurate waste manifests and records of collection and disposal
3.	Air quality	<ul style="list-style-type: none"> • Eliminating open burning in accordance with local regulations..
4.	Fire control	<ul style="list-style-type: none"> • Incorporating fire prevention and response plans in Operations Manuals and posting these plans in strategic locations inside the Facility

#	Identified Environmental Risks	Actions to Address Risk
		<ul style="list-style-type: none"> • Avoiding or carefully managing stockpiling of large volumes of flammable materials (e.g., recyclables, wood, paper, plastic bales, tires) • Communicating prevention and response plans with emergency responders • Providing firefighting equipment (e.g., water hoses, fire retardants/extinguishers, stockpiles of sand/dirt) and training Facility staff in their use • Preventing and controlling fire risk by establishing fire escape provisions, fire detection systems, safely storing wastes, eliminating naked flames, preventing arson/vandalism, providing fire suppression/extinguishing equipment, ensuring adjacent property is protected, providing fire prevention and control training to staff
5.	Pollution	<ul style="list-style-type: none"> • Working with managers of the City MRF to ensure the presence and operation of pollution prevention systems where exhausts (e.g., chimneys from incinerators, gas engines, generators) may cause releases to air which exceed statutory limits or cause ambient air quality standards to be exceeded
6.	Dust generation	<ul style="list-style-type: none"> • Covering exposed areas of ground and stockpiles with tarp, mulch, gravel • Compacting, vegetating, and/or paving exposed soils under the management of the Facility • Dampening stockpiles, land, or roadways under the management of the Facility with water. Dampening should be carried out such that areas are not over-watered. • Establishing natural or artificial wind breaks as needed around areas under the management of the Facility • Limiting dust generating activities within the Facility during high wind conditions
7.	Noise and vibration	<ul style="list-style-type: none"> • Locating noisy equipment and activities away from receivers • Avoiding clustering noisy plant/processes in one area • Screening with permanent or temporary barriers • Carrying out noisy activities within enclosed areas and limiting noise and vibration to containment within the area controlled by the Facility • Maintaining plant and equipment in good working condition • Turning off machinery when not in use and during normal sleeping hours • Limiting horn use, idling/revving of engines
8.	Surface water, groundwater, and soil pollution	<ul style="list-style-type: none"> • Preventing run-on from areas outside the control of the Facility from flowing onto site and contacting waste by working with MRF management to ensure unimpeded access to functional storm drains at all times • Ensuring the Facility site is adequately protected from flooding by cleaning waste immediate upon arrival and storing in waterproof locations or containers. In the event of overwhelming flooding, Facility staff will act according to directives from LGU authorities that govern the MRF • Diverting surface water from active waste management areas

#	Identified Environmental Risks	Actions to Address Risk
		<ul style="list-style-type: none"> • Preventing creation of pools or saturated soil condition inside the Facility area through effective cleaning and regular maintenance • Providing and regularly maintaining stormwater drainage systems under the control of the Facility • Eliminating on-site storage of un-composted food wastes • Preventing litter from entering nearby waters • Prohibiting on-site storage of fuel and liquids • Avoiding wastewater discharges that exceed standards or cause receiving waters to exceed ambient water quality standards or objectives • Providing Facility staff and guests with sanitary latrines/toilets and shower/handwashing facilities including separate sanitation facilities for men and women
9.	Vermin, scavenging animals, and birds	<ul style="list-style-type: none"> • Controlling access to waste with the area of the Facility through deterrents, deflectors, fencing, covering wastes, avoiding feeding, good housekeeping (e.g., frequent waste collection, minimal storage of organic wastes, eliminating standing water, site cleanliness, safe use of pesticides and/or traps)
10	Climate change impacts (e.g., increased rainfall, excessive heat and/or drought, sea level rise)	<ul style="list-style-type: none"> • See activities to address risk of 8. Surface water, groundwater, and soil pollution. • Ensure that climate risks and possible adaptation plans are included in training and capacity building activities. • Ensure that climate risks and possible adaptation plans are included in public awareness and behavior change activities.

ATTACHMENT L: 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.⁹

⁹ WGDP: Women's Global Development and Prosperity Initiative Annual Report 2019-2020

ATTACHMENT M: 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 N: 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.