



CLEAN CITIES, BLUE OCEAN

Request for Applications

Empowering women in solid waste management systems: Identification and development of circular economy projects led by women

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| Opportunity Number: | CCBO-RFA-Peru-004 |
| Issuance Date: | November 9, 2022 |
| Applicant Conference: | November 15, 2022, at 11:00 am Peru Standard Time |
| RSVP for Applicant Conference: | Registration Link |
| Deadline for Questions | November 25, 2022, at 5pm PET ¹ |
| Deadlines for Applications: | December 9, 2022, at 5pm PET |
| Submission and Questions: | Elsa Abad, Peru Grant Specialist peruprocurement@cleancitiesblueocean.org |

Note: All questions and other consultations regarding this RFA should ONLY be sent to the email listed above to preserve transparency. If you think that your email was not received, you may send an email to elsa.abad@cleancitiesblueocean.org. Please do not contact any other CCBO staff while this RFA remains open.

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 granted by the U.S. Foreign Assistance Act of 1961, as amended, Tetra Tech is authorized to award Grants under Contract to help meet its program 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 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;
3. Increase capacity and effective governance of SWM and recycling systems, particularly at the local level; and

¹ USAID and CCBO are continuously monitoring the evolving situation of the COVID-19 outbreak and understand potential disruptions of organizations and companies’ business operations. 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.

4. Build Public-Private Partnerships (PPPs) 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 to advance gender equality within the sector and opportunities for women's economic empowerment. CCBO seeks to leverage funding, develop public-private partnerships, and build the sustainable capacity of local partners through the grants program.

As part of the CCBO program, Tetra Tech is implementing a \$10 million Grants under Contract (GUC) program that leverages local and international organizations to support CCBO's focus areas in seven countries and the Pacific Islands. CCBO has begun working in the Peruvian departments of Piura and Ica, specifically in the cities of Pisco, Paita and Máncora. In Peru, 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. Through its grants, CCBO will 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 a grantee to identify business ideas and women-led businesses with a circular economy approach within the solid waste management value chain and support the development and implementation of their business plans in Pisco, Paita and Máncora. CCBO intends to fund one (1) qualified grantee to work closely with CCBO and local women entrepreneurs in the design and development of their business plans. The selected grantee will also support women's financial and entrepreneurial capacity to implement their business plans and develop strategic links with the market and partnerships with potential investors.

Additional information can be found in Section 1: Terms of Reference.

Interested applicants are invited to the Applicant Workshop to be held on November 15, 2022, at 11:00 am Peru Standard Time. In this workshop, CCBO's team will provide an overview of the Terms of Reference of this solicitation (Section 1) and cover all application requirements and tips on writing the proposal, including developing a budget and completing all required attachments specified for the RFA. Attendees will have an opportunity to ask questions about the technical scope and application requirements. All presentation materials and recordings of the workshop will be posted on [CCBO's Grants Page](#) following the workshop. In addition, interested applicants can submit questions up to the deadline date of November 25, 2022. Questions and answers will be compiled and posted on [CCBO's Grants Page](#). No questions will be accepted after the deadline.

CCBO and USAID reserve the right to fund any or none of the applications submitted. Any award pursuant to this funding opportunity is contingent upon the availability of funds. Please read the RFA in its entirety before applying. This solicitation consists of a cover letter and the following six (6) 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: Guide to Information, Education and Communication (IEC) and Social and Behavior Change (SBC)
- Attachment M: Unique Entity Identifier (UEI) Guide
- Attachment N: CCBO Peru Gender Implementation Strategy

SECTION 1: TERMS OF REFERENCE

1. Background

Ocean plastic pollution and the climate crisis are among our planet’s most pressing environmental challenges—perpetuated by the way we produce, consume, and dispose of waste. To avert irreversible global consequences, we must transition away from the current linear “take, make, waste” model to circular economies, wherein products are regenerative by design and produced and consumed in closed-loop systems that are intentional about and inclusive of the people who work in the waste sector. As key actors in the current waste value chain, empowering women entrepreneurs is essential for this transition.

The early stages of the waste value chain are where some of the most significant opportunities exist to advance women’s practical and strategic needs, as well as opportunities to increase system effectiveness to eliminate harmful downstream environmental impacts. In rapidly urbanizing low- and middle- income countries, such as those where CCBO works, women are employed widely as waste collectors, workers in plastic and pre-processing companies, and as owners or employees of small recycling centers, junk shops, and upcycling enterprises. Despite their crucial contributions, they often have limited access to credit and training, and they tend to work in the informal sector where they earn lower wages - around the world, 15-20 million informal waste collectors—at least half of whom are women—play critical roles in managing global waste. Like their male coworkers, they have few if any health and safety protections, but unlike their male counterparts, they are at heightened risk of gender-based violence (GBV).

Women have considerable expertise and a significant role in recycling as waste generators and disposers, informal waste collectors, or small recyclables traders. However, seldomly are women voices heard, and they must often cope with challenges not faced by male contemporaries. Making waste workers’ job sites safe, especially in countries with elevated levels of GBV and femicide, is essential. Additionally, women are impeded from working in all roles of the waste value chain because of gender barriers and limited resources.

Supporting, empowering, and expanding opportunities for women in the waste sector is a key strategy for creating circular economies and fostering community resilience to climate change. To transition to a circular economy, urban centers must be able to aggregate and maintain the quality and quantity of recyclable materials to build economies of scale for high-quality, marketable materials. Throughout the world, because of insufficient resources and infrastructure, this is currently not possible, creating a void for the private sector, which is looking to consistently purchase large, clean volumes of recycled plastics and is willing to commit to regular purchases and stable prices to improve and invest in their supply chains. Amidst this supply shortage, there is an abundance of women waste workers who can supply these materials but lack the opportunity to connect to the recycled plastics market. CCBO can help to bridge this gap by providing support to build capacity of women waste workers and business owners to more effectively and efficiently collect and process plastic materials, while facilitating value chain relationships enabling stable markets for recycled products. In this process, CCBO will address the practical and strategic needs of women in the plastic value chain and circular economy systems to advance gender equality, overall women economic empowerment, and enable women and waste associations to emerge as trusted suppliers of recycled plastics and leaders in localized circular economies. This support is framed not just as feeding into the recycled plastic market, but also in deriving products with added value and facilitating circular economy approaches contributing to the strengthening and growth of these valuable ecosystems. Technical assistance and grant support will assist with empowering and advancing women’s role in the waste sector.

Gender gaps context – Peru

In Peru, the central government, through the Ministry of Women and Vulnerable Populations (MIMP), has been working to develop policies, laws, and regulations to address the serious problems of inequality, exclusion, and gender-based violence.

This vision reflects the principles enshrined in Peru's constitution and international human rights and equality agreements. In 2016, the Organization for Economic Co-operation and Development (OECD) and other international organizations warned that Peru continues to be a deeply unequal and divided country despite its relative political and economic stability. The situation is expanded upon within the framework of its Strategic Plan for National Development (Bicentennial Plan: Peru towards 2021) where gender inequality is identified as an obstacle to the country's sustainable development. In response, in 2019 the Ministry of Women and Vulnerable Populations published Supreme Decree No.008-2019-MIMP: National Policy of Gender Equality. The decree established its immediate mandatory application by all government agencies as determined in Article 1 of the Single Conformed Text of Law No.27444, the Law of General Administrative Procedures, approved by Supreme Decree No. 004-2019-JUS.

The National Policy of Gender Equality declares that the existing gender gaps (employment, income, use of time, and participation, among others), require implementing a public policy that, from a multisectoral and gender approach, addresses the main causes of discrimination and inequality affecting women. Despite making up 50.8% of the population, women's exercise of their fundamental rights and development opportunities is hampered; decisive State intervention is required to prevent the systematic social reproduction and intergenerational transmission of this gendered inequality. From this perspective, the national government has identified that structural discrimination against Peruvian women is a public problem that requires adopting adequate and timely measures, a first step of which is the approval of a National Policy on Gender Equality.²

The National Policy of Gender Equality defines the following main causes of structural gender inequality:

- Institutional norms and culture that reinforce women's inferiority or subordinated status condition.
- Unequal assignment of roles (productive to men and reproductive to women).
- Discriminatory socio-cultural patterns that privilege the masculine over the feminine.

On the other side, the structural discrimination of women leads to violations of women's right to:

- A life free of violence;
- Sexual and reproductive health;
- Access to and participation in decision-making spaces; and
- economic and social rights.

The National Policy of Gender Equality (NPGE) addresses this situation with specific objectives to 2030:

1. OP1: Reduce violence against women
2. OP2: Guarantee the exercise of the right to sexual and reproductive health of women
3. OP3: Guarantee the access and participation of women in decision-making spaces
4. OP4: Guarantee the exercise of women's economic and social rights
5. OP5: Reduce the institutional barriers that block equality between men and women in public and privacy arenas
6. OP6: Reduce the incidence of discriminatory socio-cultural patterns in the population

Objective four of the NPGE: Guarantee the exercise of women's economic and social rights has the following guidelines for its implementation:

² SUPREME DECREE No. 008-2019-MIMP; National Gender Equality Policy; The Peruvian, 2019/

- i. Implement the National Care System with a gender approach for people in situations of dependency.
- ii. Increase women's access and control over their natural, productive, and patrimonial resources.
- iii. Strengthen the formal employment of women.
- iv. Implement measures to ensure the exercise of women's social rights.

Through this policy, Peru seeks to address gender-related challenges that affect women's ability to access financial, commercial, and capacity-building resources to lead their own businesses and advance in entrepreneurship and innovation systems. CCBO Peru policy is aligned with the national policy objectives: Strengthen the capacities and skills of women to design business models linked to the SWM and circular economy chain, validate business models, develop sustainable business plans, and link businesses with markets.

To achieve these objectives, in Peru, CCBO is implementing its Gender Economic Empowerment Strategy (Attachment N) which is carried out through several mechanisms, though primarily through the implementation of three Requests for Applications (RFAs). This RFA-004, will be the second to be launched by CCBO in Peru related to the Gender Economic Empowerment Strategy. This RFA seeks a grantee to work with individuals and/or groups of women in the SWM sector and circular economy value chain to support them to develop business models and plans; implement specific activities in their business plans; and facilitate value chain linkages with the private sector and secondary material markets.

Highlights of the other Peru - RFAs that are being issued as part of CCBO's Women's Economic Empowerment strategy in Peru include:

- **Prior - RFA-003- Strengthening practical skills with a gender equity perspective: to strengthen practical skills of women involved in the SWM and circular economy chain; and gender equality and GBV training.**
 - Review of national and local gender equity regulations and compliance.
 - Provide gender equality trainings for women and key actors.
 - Structure "Women's Development Integrated Service Area" (WDISA) in each city.
 - Identify and strengthen practical skills of women working in the SWM and circular economy value chain, including:
 - Leadership, self-esteem, communication skills, and others.
 - Personal finance skills.
 - Entrepreneurial skills.
 - GBV trainings for women and their partners.

RFA-003 was released in May 2022 and has closed. This, RFA-004 built on the first RFA-003 results, specifically related to the entrepreneurial skill building strengthening component, assumed to provide the foundation to elaborate ideas for women-led businesses in SWM and catalyzing the transition to a more circular economy.

- **Post - RFA-005- Seed Capital and consolidation of women-led circular economy projects:** Identified and elaborated circular economy business plans led by women will be financially supported to ensure sustainability and scalability. To achieve this objective, RFA-005 is expected to deliver seed capital through the following initiatives:
 - Provide seed capital to put into practice circular economy business plans under a business incubation system.
 - Support business scaling process by facilitating access to available financial resources from public and/or private programs.

- Facilitate the integration of women's circular economy businesses to entrepreneurial and innovative ecosystems.
- Identify advisory, financial and/or commercial services from public and private organizations to support business implementation and sustainability.

RFA-005 is anticipated to be released in December 2022.

Supporting Activities

In addition to the complementary RFAs listed above, other activities contributing to the objectives of this approach and that generate inputs for this RFA-004 include:

“Baseline and technical assistance for recycling chain and circular economy actors”

CCBO is conducting a study to create a baseline focusing on the recycling value chain and circular economy actors to subsequently provide technical assistance to these groups. This study will provide relevant demographic, social, economic, cultural, and educational information on the focal populations from the Pisco, Paíta and Máncora cities. CCBO’s priority population includes workers involved in the waste management value chain, including formalized and non-formalized recyclers (as individuals or through associations), public sector cleaning workers, eco-friendly business persons or entrepreneurs, owners of businesses involved in waste management or potentially related to it with innovative initiatives (groceries, restaurants, and tourist services), and indirect actors such the spouses of formalized and non-formalized recyclers. The information collected will be disaggregated by gender. The selected grantee under this RFA-004 will be expected to use the results of this study to determine the participant groups/ individuals and strategies for future project activities.

Identification and development of women-led circular economy projects

CCBO conducted an evaluation of the policy regarding economic empowerment of women in green industry³ in Peru (United Nations Industrial Development Organization: UNIDO, 2021) which revealed the main barriers for women in the Waste Management Sector related to economic empowerment, business opportunities and expansion, as follows:

- Lack of awareness of policies and programs designed to benefit women or encourage their participation in the green industry.
 - Only 38% of green entrepreneurs reported awareness of policies or programs addressed to encourage women to start a business.
 - Only 12% of green entrepreneurs were aware of policies or programs to encourage women to start a green industry business.
- Reduced mobility and increased insecurity.
 - Women’s household chores and responsibilities tend to reduce their mobility compared to men.
 - Women find it difficult to continue their education after office hours, meet with potential investors, or network for business expansion, especially in the late afternoon.
- Women's lack of access to mentoring, investment finance networks and employment opportunities.

³ Green Industry means economies striving for a more sustainable pathway of growth, by undertaking green public investments and implementing public policy initiatives that encourage environmentally responsible private investments. United Nations Industrial Development Organization – UNIDO.

- The prevalence of “Toby clubs”, to which women do not have access, limit their opportunities in these industries. Quite the contrary, this model opens to men access to social capital, networks, and investment.
- Industries are primarily male-dominated; therefore, personal networking opens men access to job opportunities.
- Gender discrimination in business.
 - Women face gender-based discrimination when engaging in business activities such as negotiating with suppliers, buyers, or banks to obtain credit.
- Women lack access to markets to sell their products.
 - 58% of green entrepreneurs reported lack of market access as a key barrier.
- Women face other value chain challenges and the "hidden costs" of doing business.
 - Access to basic supplies for the company’s operation, receiving technical training or obtaining an operating license can add costs borne by women entrepreneurs who also mentioned sexual harassment in doing business, dealing with law enforcement officials, and paying bribes as additional “hidden costs”.
- Gender disparities in time use.
 - Unequal distribution of paid and unpaid work time between women and men, Women carry a much greater responsibility for unpaid and household work and spend less time than men on remunerated work.
- Misaligned public program targeting.
 - Most government programs target the population regardless of their gender and seek gender neutrality. The lack of gender sensitive policies ends up benefiting men, at the expense of women's participation.

These barriers are aggravated by scant national investment in innovation, resources, and infrastructure in the SWM sector. Consequently, transformation of recycled materials into new products faces higher operational costs which are reflected in high market entry prices. This fact constitutes a decisive gap to develop circular economy businesses since bringing such companies to market is the first step toward growth. Market research and development are key when thinking about sustainable processes. Commercial strategies, value propositions, rates of return, and financing components require the approach of innovative business models and plans to assure the sustainability of the circular economy businesses.

2. Purpose and Objectives

As a result of this RFA 04, CCBO seeks to issue **one** grant to a private university or foundation, non-governmental organization, business association, or private enterprise training organization to work in partnership with CCBO to provide support to women linked to the SWM and the circular economy. It is anticipated that the successful grant applicant will provide support to improve women's access to mentoring in the development of their business plan, employment opportunities, financial access, network development, and market integration.

The main objectives of this RFA is **seeks a grantee to identify business ideas and women-led businesses with a circular economy** approach within the solid waste management value chain and support the development and implementation of their business plans in Pisco, Paita and Máncora. CCBO intends to fund one (1) qualified grantee to work closely with CCBO and local women entrepreneurs in the design

and development of their business plans. The selected grantee will also support women's financial and entrepreneurial capacity to implement their business plans and develop strategic links with the market and partnerships with potential investors.

The successful grant recipient should prioritize support to participating - women linked to the SWM and the circular economy that underwent training under other CCBO funded grants. Prior grant activities include "Strengthening practical skills with gender equity perspective" and "Baseline and technical assistance with a gender perspective for the recycling chain and circular economy actors". Participants groups include:

- Informal women recyclers working individually;
- Waste recyclers' associations, cooperatives, or micro-enterprises;
- Public cleaning women workers;
- Women-owned eco-friendly businesses;
- Women owners of small businesses (groceries, restaurants, agencies of tourism, among others) that generate waste.; and
- Formalized and non-formalized recyclers.

The selected grantee will provide support to a total of eighteen (18) women-led business ideas and ongoing businesses founded on circular economy principles (at least six per city).

Throughout the process, the selected grantee will be expected to provide support and technical assistance, with special emphasis on the implementation of the prioritized women-led business plans. Likewise, specific strategies and activities for commercial and financial sustainability of business ideas and ongoing business must be defined and implemented.

3. Illustrative Activities

The program comprising the three projects related to Women's Economic Empowerment in the SWM and circular economy chain is expected to reach at least 500 women in total. The successful grantee must involve, at least, 25% of women having participated in the previous CCBO grant activity: 'Advancing women empowerment in the solid waste management system and circular economy chain through the strengthening of practical skills and the prevention of gender-based violence'. Collaboration with that CCBO grant recipient is therefore essential.

The prioritized groups include:

- Informal recyclers working individually
- Waste recyclers associations, cooperatives, or micro-enterprises
- Public cleaning workers
- Eco-friendly businesses led by women entrepreneurs
- Women currently owning small businesses (groceries, restaurants, tourism agencies, and others)
- Wives of formalized and non-formalized recyclers and fishermen's wives

Participants may also include other focal groups identified through the "Baseline and technical assistance for recycling chain and circular economy actors", that is carried out by CBBO Peru program through other implementing mechanisms.

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 budget constraints. The following illustrative activities are those CCBO envisions to fund under this solicitation, but applicants are free to propose their own solutions and activities.

Illustrative activities include:

- I. Identify women-led businesses or women’s business ideas related to SWM and the circular economy chain. This identification may be supported by previous CCBO interventions, using the applicant’s proposed methodology
- II. Prepare market, and financial / commercial viability studies for identified SWM and circular economy women-led businesses.
- III. Design six business plans of validated ideas or ongoing businesses in each city (eighteen plans in total). This activity must adhere to the following process:
 - i. Provide training on business plan development, integrating practical capacities approach for women performing various roles in business plan such a managers, commercial or technical responsible, and others.
- IV. Co-design training activities that take account of the needs and expectations of women involved in ventures to provide them with technical skills strengthening (e.g., value adding for processes of products / services framed in SWM and the circular economy chain).
- V. Design implementing strategies and methodologies for selected business plans and supporting/monitoring.
- VI. Provide technical assistance to women entrepreneurs in the implementation of selected business plans, including access to markets for the commercialization of business products/services.
- VII. Promote recognition of the products/services obtained from the women-led businesses through building local or regional brands and elaborate and implement a marketing and communication strategy to promote the products/services among citizens and public and private organizations.
- VIII. Promote commercial strategic alliances between women entrepreneurs and local, regional or national companies through various strategies, such as national/ international fairs, business round tables, and other specialized forums for women entrepreneurs and circular economy businesses.
- IX.

4. Illustrative Indicators

CCBO uses performance indicators to monitor and measure progress towards its desired results through. 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 appears the current list of CCBO key performance indicators by thematic category. Indicators shown in **bold** font comprise the anticipated indicators the resulting grant will support, depending on the proposed activities; the exact list and their targets will be determined during the application process. CCBO will work closely with the selected applicant to identify the indicators the program must attain and outline the corresponding implementation indicator reporting mechanisms.

| Thematic Category | CCBO Indicator |
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| 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 additional waste or recyclables as a result of CCBO assistance |
| Innovation | Number of innovations supported |
| Training / Individual capacity building | 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 building | 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 supported 3R/SWM (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 national or sub-national levels (GNDR-1) |
| Multi-stakeholder Investment / partnerships / events | Amount of investment mobilized for 3R/SWM (e.g., supporting innovative approach(es)) |
| | Number of oceans plastic / SWM events, partnerships (e.g., |

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| MOUs), and publications |
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SECTION 2: AWARD AND ADMINISTRATION INFORMATION

Estimated Value of Grant and Period of Performance

CCBO anticipates awarding one (1) grant for an amount that is not expected to exceed \$200,000, though the final budget will be subject to negotiation and may be lower or higher based on the proposed activities.

It is anticipated that the grant implementation will begin around December 2022 with an overall period of performance of approximately 10 months.

Application Process

Interested eligible applicants (see Section 3) must submit their application by **October 14, 2022**, using the application form and attachments provided (Attachments A-H). After the closing date, CCBO will review the applications based on the criteria described in Section 4. CCBO may request clarifications from applicants or ask applicants to provide a short presentation as part of its review process before reaching a final determination. The top scoring applicant will be asked to ‘proceed in cycle’ to begin negotiating the grant budget and prepare the technical Project Description jointly with the CCBO Peru team. CCBO Peru will carry out the due diligence requirements noted below. Unsuccessful applicants will be notified by CCBO in writing.

Certifications

Applicants must submit a signed copy of the following certifications (provided in Attachment H):

- Certification Regarding Lobbying
- Prohibition on Assistance to Drug Traffickers for Covered Countries and Individuals
- Certification Regarding Terrorist Financing
- Certification of Recipient
- Key Individual Certification of Narcotics Offenses and Drug Trafficking

Additionally, though not required to be submitted as part of the grant application, successful grantees will also be required to submit the “Participant Certification of Narcotics Offenses and Drug Trafficking” for all applicable program participants.

Unique Entity ID

The successful applicant will be required to provide CCBO with a Unique Entity Identifier (UEI) number. While a UEI number is not required for submission of an application for this solicitation, it will be necessary prior to signing a grant agreement. The guidance on requesting a UEI number can be found in Attachment M.

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 costing principles. In addition, CCBO will conduct a pre-award risk assessment to determine the capacity of the recipient organization to meet 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 determination of key deliverables.

Award Administration

CCBO will select one of the following grant types depending on the individual application's size, scope, duration, and complexity of proposed activities, and 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 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 monthly.

Grants will be administered pursuant to 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 awarded 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 such impact. The organization selected to receive an award will be required to address any potential impacts and determine the mitigation, monitoring, and relevant safety measures that will be put in place, as applicable and in coordination with CCBO.

Additionally, in conformity with ADS 303mal and ADS 201, CCBO will screen all activities to incorporate into the grant any climate risk management measures as may be necessary. Climate risk management ensures that 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 guidelines under USAID-funded assistance provisions 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 for any 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 (English and Spanish) 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

CCBO will assess potential grantees using a pre-award survey as outlined in Section 4.2 to ensure the applicant possesses and 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 UEI number or be willing to register for a UEI number.

Ineligible Entities

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

- Local, regional or national government entities
- Private Voluntary Organizations (PVO) not registered as such with USAID;
- Political parties and their subsidiaries or affiliates
- Organizations that have a negative determination on 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:

- Construction⁴ and improvements, renovations, alterations and refurbishments⁵ as defined in [ADS 303maw](#);
- Activities that duplicate the activities of other United States Government (USG) supported program(s) conducted by other organizations in CCBO target regions;
- Activities that are inconsistent with international standards of human rights or with democratic goals of racial and ethnic tolerance and harmony;
- Ceremonies, parties, celebrations, or entertainment expenses other than those that are specified in the grant (for example, opening ceremonies) to promote the visibility of USAID before the communities USAID seeks 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

The following must be considered when drafting a concept paper and budget.

- Equipment and materials allowed under this award. A list of restricted and ineligible commodities can be found at [ADS 312](#);
- In conformity with the Mandatory Standard Provisions regarding USAID Eligibility Rules for Procurement of Commodities and Services, when the total value of procurement for commodities and services during the life of the award is valued at \$250,000 or less, the authorized geographic code is 935, which allows for the purchase of goods and services from any area or country including the cooperating country, but excluding any country that is a prohibited source;⁶
- Pre-award costs are not allowable (costs incurred prior to award or in the preparation of the Full Application); and
- Profit is not allowable.

Conflict of Interest Pre-Award Term (August 2018)

a. Personal Conflict of Interest

1. An actual or apparent conflict of interest exists when an applicant organization or an employee thereof 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

⁴ Construction, alteration, or repair (including dredging and excavation) of buildings, structures, or other real property and includes, without limitation, improvements, renovation, alteration, and refurbishment. The term includes, but is not limited to, roads, power plants, buildings, bridges, water treatment facilities, and vertical structures.

⁵ Any improvement 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 enhancements to or upgrading of primary mechanical, electrical, or other building systems. It does not include non-structural, cosmetic work, replacement of plumbing or conduits that does not affect structural elements, and non-load bearing walls or fixtures (e.g., shelves, signs, lighting, etc.)

⁶ ADS 310mac currently does not include 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.

situations in which financial or other personal considerations may compromise, or seem to compromise, 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 identify 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 and which may provide the applicant an unfair competitive advantage in competing for this financial assistance award. Examples of an unfair competitive advantage include, but are not limited to, situations where 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 preparing a federal assistance funding opportunity. USAID and CCBO will promptly take appropriate action upon receiving any such notification from the applicant.

SECTION 4: APPLICATION EVALUATION CRITERIA

The CCBO Review and Evaluation Committee (REC) will formally evaluate applications in writing based on the 100-point evaluation criteria below. Only the top scoring applicant(s) will be invited 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 |
| <u>Cost effectiveness</u> (Attachment A) | <u>10 points</u> |
| Total | 100 points |

SECTION 5: APPLICATION INSTRUCTIONS AND TEMPLATE

Instructions

A Full Application will include the following sections (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. The whole application may not exceed **15** single-spaced typed pages (not including the cover page, table of contents, or attachments). Font shall be Times New Roman 11-point font, single-spaced with one-inch margins. Applications may be submitted in English or Spanish. Failure to submit application in the following format

may result in disqualification of the application.

******* ETHICAL AND BUSINESS CONDUCT REQUIREMENTS *******

CCBO and Tetra Tech ARD do not condone any action that could be considered to promote or give the appearance of conflict of interest (COI) or corruption. Employees and agents of CCBO and Tetra Tech ARD are strictly prohibited from asking for or accepting any money, fee, commission, credit, gift, gratuity, object of value or compensation from current or potential grantees in exchange for or as a reward for business or grant funding.

Please note that in submitting a response to this RFA, the applicant is acknowledging that USAID is not a party to this solicitation and the applicant agrees that any concerns hereunder must be presented – in writing with full explanation – to Tetra Tech ARD for consideration, as USAID will not consider protests regarding grant opportunities carried out by implementing partners. Tetra Tech ARD will investigate any such allegations and take appropriate action to remedy, correct, mitigate, report, or otherwise resolve any unethical conduct or prohibited acts in accordance with USAID requirements.

Applicants responding to this APS must certify as part of their submission, that they have materially participated in its preparation, that all information provided is current, complete, and accurate and based on the need to efficiently and effectively meet the needs of the target population, and they must disclose any real or potential conflict of interest with a CCBO official involved in this RFA.

Please contact peruprocurement@cleancitiesblueocean.org with any questions or concerns regarding the above information or to report any potential violations. Potential violations may also be reported directly to Tetra Tech ARD's US office at ARD.Ethics@tetratech.com.

CLEAN CITIES, BLUE OCEAN

CCBO-RFA-Peru-004

| | |
|-----------------------------------|---------------------------------------|
| Name of Organization: | Date: |
| Name of Primary Contact: | E-mail: |
| Address: | Phone: |
| UEI Number: (if available) | |
| Activity Title: | |
| Proposed Budget: | Duration of Proposed Activity: |

I, the undersigned, hereby submit this Grant application to CCBO for review and consideration. I have materially participated in its preparation. To the best of my knowledge, all information provided is current, complete, and accurate and based on the need to meet the needs of the target population efficiently and effectively. Additionally, I certify that neither 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.

I acknowledge that USAID is not a party to this solicitation and agree that any concerns about the solicitation process will be presented – in writing with full explanation – to the Project or to Tetra Tech ARD at ARD.Ethics@tetrattech.com for consideration.

Signature:

Date:

Printed Name**:

Title:

**Must be authorized representative of the applicant, authorized to obligate the applicant contractually.

Project Description – Format

1. Background (2 pages)

Problem or challenge:

Describe the existing problem or challenge related to barriers women face to access technical and management support to establish and led businesses at local and regional level in the solid waste management and circular economy system. This may include an analysis of identified public and/or private laws, projects/programs at various levels working in topics such as women’s access to capacity building programs and technical advisory for business development.

Description of Community and Government Role:

Analyze previous programs developed at national, regional, or local level to support women entrepreneurs, specially related to solid waste management value chain. Present ideas related of how those programs contributed to and engaged of women. Additionally, are there potential to create synergies with governmental offices developing such capacity building programs for women. Describe the community responses to the previous problems or challenges identified for the women business leadership.

Organization & Previous Programs:

Include a short summary of your organization, previous experience, and information on relevant research, as well as any relevant activities with the following approaches: 1) Inclusive business models design and implementation; 2) Women’s economic inclusion and/or gender perspectives related to the circular economy; 3) Women’s economic empowerment, and/or financial inclusion of women; 4) Inclusive Business plan development; 5) Gender inclusive capacity building program implementation (Trainings on entrepreneurship and business management, Training on management tools and skills, etc.); 6) Business Innovation; and 7) Gender inclusive markets. Briefly describe any programs your organization has carried out or is currently implementing related to the approaches above and what were the lessons learned from those programs. Describe how long your organization has worked in the proposed community and/or issues, who were/are the main stakeholders involved in the work your organization developed, and the results achieved. If the proposal is presented by a consortium that includes two or more organizations, the relevant experience of all the organizations involve in the consortium must be included in this section.

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

Provide a short paragraph summarizing your proposed program and how this builds off 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.

Example:

***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 (5 pages)

Use the following form (see text box below) to provide a breakdown of the results of the proposed grant, and the activities that will support their accomplishment. The activities may address the design of methodology, content, and other elements of the process for the following:

- 1) The type of identification work that will be carried out to review national and local laws, policies and programs policies and regulations related to women economic empowerment in solid waste management and the circular economy. Related to the programs and project analysis, it might include lessons learned from implementing programs related to different value chains.
- 2) The process to be applied to identify and engaged women entrepreneurs from the prioritized groups that already participated in the RFA 3.
- 3) The process to select potential business ideas to be validated, as well as the methodology to be developed to validate the business ideas.
- 4) The process to design the methodology, curricula, contents, and other aspects to deliver trainings, workshops for the elaboration of business models and plans for selected business ideas. This process may include a full program to strengthen management and technical capacities for women entrepreneurs while implementing their business plans.
- 5) The process to call and engage key participating groups, municipal staff, and members of key stakeholders and organizations involved in SWM enterprises' inclusion efforts.
- 6) The process to launch the business to the market and engage potential buyers and establish commercial alliances at local, national, and international level.
- 7) The process to identify and engage potential supporting organizations in terms of advisory, capacity building, financial opportunities, and others important components for business acceleration alternatives.

Important: All proposed projects 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 priority groups 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 conditions 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 out the following table. Results and activities must align with Section 3 above. Check ('X') the months when each activity will take place. 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 | | | | | | | | | | | | | | | | | | | | | | | | | |
| Result 3: | | | | | | | | | | | | | | | | | | | | | | | | | |
| Activity 3.1 | | | | | | | | | | | | | | | | | | | | | | | | | |
| Activity 3.2 | | | | | | | | | | | | | | | | | | | | | | | | | |

5. Engagement and Coordination Strategy (1 page)

Describe the strategy to engage key local stakeholders and how this work will relate to ongoing policies, programs, or partnerships in the national, regional and local context. Specifically discuss:

- How SWM enterprises, communities and local government officials, and private sector will participate and be supported through the grant, and specifically how grant activities will support existing or future business plans implementation.
- Any collaboration with the private sector and other NGOs; and
- How different populations (men and women, 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.), 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 with private sector involvement, how will existing markets be built on or established; how will the activities be funded after the grant ends (either by the applying organization or other stakeholders). 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 Peru and globally.

7. Assumptions and Risks (1 page)

Describe the assumptions of the proposed 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, as applicable.

Coronavirus: Specifically discuss how implications of the evolving Coronavirus pandemic 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, as 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, as applicable; and
- 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 (include the name of the project, donor(s), dollar value, geographic scope, and a brief technical summary of the project that includes results;
- The organization's administrative capacity to manage grant programs. Describe any experience you've had with USAID or other donor-funded grants; and
- The organization's experience with monitoring and evaluation of programs.

ATTACHMENT A: BUDGET TEMPLATE

(Please use MS Excel)

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 compensation paid for similar work within the applicant organization in conformity 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 travel).

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-benefit of purchasing versus leasing equipment, especially high-cost items, and those subject to rapid technical advances. Explain how the equipment is necessary for the project's success. Include a narrative describing the procurement method to be used. Procurement should be done according to the organization's 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 and administrative costs directly related to the CCBO project, 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 1/3 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, (Name): One Project Leader is budgeted part-time (25% in Year 1 and 15% in 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 Month 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 January to June to be paid in July and from July to December to be paid in December”.

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 each year of employment. It will be paid twice a year in May and November.

Essalud contribution: Employer will pay 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 the Waste Management Plan. The consultant will be paid at a daily rate of PEN 400 for a duration of 7 days with a total payment of PEN 2,800.

Monitoring/Communications and Media Specialist, (vacant): 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 Peruvian Sol (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/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: 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 allocated six daily fees (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 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 Single-Use Plastic products. 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 PEN 20,000 for translation services 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 project administration and operational costs such as internet, electricity, and water.

ATTACHMENT C: RESULTS FRAMEWORK

Using the PowerPoint template, create a Results Framework that aligns with your Theory of Change, 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 mutually complementary. The narrative can include some more detail. This causal pathway shows the key objectives that need to be achieved sequentially in order to reach the ultimate objective. Reading it in the opposite direction, by starting at the highest level of the purported goal, it should show the actions needed to proceed to the next step.

For instance

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 (Excel spreadsheet) following the guidelines on the 'Indicator Selection and Targets' tab.

ATTACHMENT F: REFERENCE LIST

Please list any individuals or organizations CCBO may contact regarding your 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 materials’ 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 that 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 sorting 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 understanding, 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: Prohibition on Assistance to Drug Traffickers for Covered Countries and Individuals

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

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

Certification 3: 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 4: 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:

Representative's Name:

Representative's Title:

Representative's Signature:

Certification 5: Key Individual Certification Narcotics Offenses and Drug Trafficking

I hereby certify that within the last 10 years:

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

Signature: _____

Date: _____

Name: _____

Title/Position: _____

Organization: _____

Address: _____

Date of Birth: _____

NOTICE:

1. You are required to sign this Certification under the provisions of 22 CFR Part 140, Prohibition on Assistance to Drug Traffickers. These regulations were issued by the Department of State and require that certain key individuals of organizations must sign this Certification.
2. If you make a false Certification you are subject to US criminal prosecution under 18 USC. 1001. By signing below the recipient provides certifications and assurances for: (1) the Certification Regarding Lobbying, (2) and the Certification Regarding Terrorist Financing.

SECTION 6: ADDITIONAL ATTACHMENTS

(not required for submission)

Attachment I: Media Embargo

Attachment J: CCBO Indicators

Attachment K: Environmental Mitigation Plan

Attachment L: Guide to Information, Education and Communication (IEC) and Social and Behavior Change (SBC)

Attachment M: Unique Entity Identifier (UEI) Guide

Attachment N: CCBO Peru Gender Implementation Strategy

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 and signed, countersigned, and the grantee has received permission from CCBO.

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

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

- Sharing any information or details about the grant application process to the public is not allowed;
- Publishing the status of the grant application on any kind of media platforms including but not limited to newspaper, blog, social media accounts is prohibited, without express approval of CCBO; and
- 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 building | 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 / | Number of households / establishments (e.g. businesses, hotels, |

| | |
|--|---|
| Institutional capacity building | schools) Participating in 3R /SWM programs |
| | Number of entities with increased capacity to assess or address 3R/SWM |
| Programmatic outreach | Number of individuals reached directly or indirectly through CCBO |
| Policies | Number of public policies that support 3R/SWM advancement |
| | 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 them accordingly. The identified risks for the proposed project should be incorporated into the Full Application and budget.

| # | Identified Environmental Risks | Actions to Address Risk |
|----|--|--|
| 1. | Public Health and Occupational Health and Safety and gender-based violence | <ul style="list-style-type: none"> ● Minimizing human health risks by rejecting hazardous wastes, and only accepting pre-sorted 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 ● Ensuring that pregnant workers are not exposed to teratogenic substances ● Providing appropriate and right-sized 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 ● Developing a GBV plan to minimize risk to women workers, including separate sanitary facilities and a "buddy system" if necessary for women workers to go into isolated areas, e.g., changing rooms ● 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 to drinking water, separate, safe sanitation facilities for both men and women, safe rest areas for women, paid family leave, 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 |

| # | Identified Environmental Risks | Actions to Address Risk |
|----|--|--|
| 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 ● 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 ground and stockpiling areas 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 or containing noise and vibration to 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 |

| # | Identified Environmental Risks | Actions to Address Risk |
|-----|--|--|
| | | <p>locations or containers. In the event of overwhelming flooding, Facility staff will act according to directives from LGU authorities that govern the MRF</p> <ul style="list-style-type: none"> ● Diverting surface water flow from active waste management areas ● 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, safe 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 social and behavior change activities |

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

CCBO funds social and behavior change programs rather than IEC or purely awareness raising activities.

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 assume 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 as follows: “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 is often based on awareness raising such as beach clean-ups, media campaigns, 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 engaging in such 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 differs from 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 involve 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 M: UNIQUE ENTITY ID (UEI) GUIDE



Quick Start Guide for Getting a Unique Entity ID

Quick Start Guide for Getting a Unique Entity ID

[SAM.gov](https://sam.gov) is the official free, government-operated website for the management of government awards. There is NO charge to register or maintain your entity information in [SAM.gov](https://sam.gov).

You can get a Unique Entity ID for your organization without having to complete a full entity registration. If you only conduct certain types of transactions, such as reporting as a sub-awardee, you may not need to complete an entity registration. Your entity may only need a Unique Entity ID.

Registration Status

Registration can take up to 10 business days to become active. [Check your registration statuses](#)

Federal Service Desk

For technical issues, you can search for your question or submit a web form anytime at the [Federal Service Desk](#). Hours of Live Help Operation: Monday-Friday 8 a.m. to 8 p.m. EST.

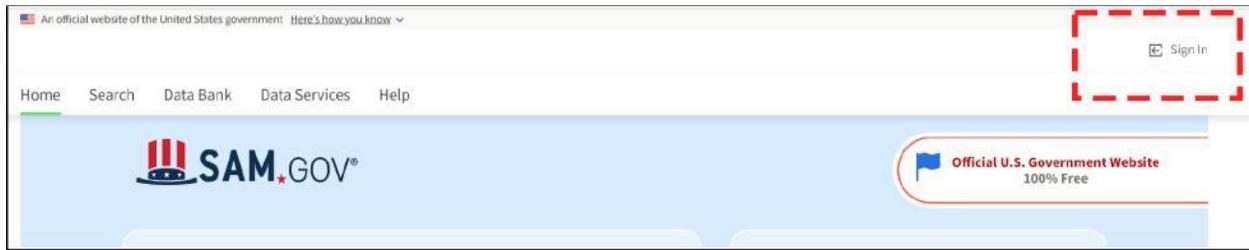
If your entity is registered in [SAM.gov](https://sam.gov), you already have a Unique Entity ID

If you have an active or inactive registration in [SAM.gov](https://sam.gov) today, you've already been assigned a Unique Entity ID. It's viewable on your entity registration record in [SAM.gov](https://sam.gov). [Learn how to view your Unique Entity ID \(SAM\) here.](#)

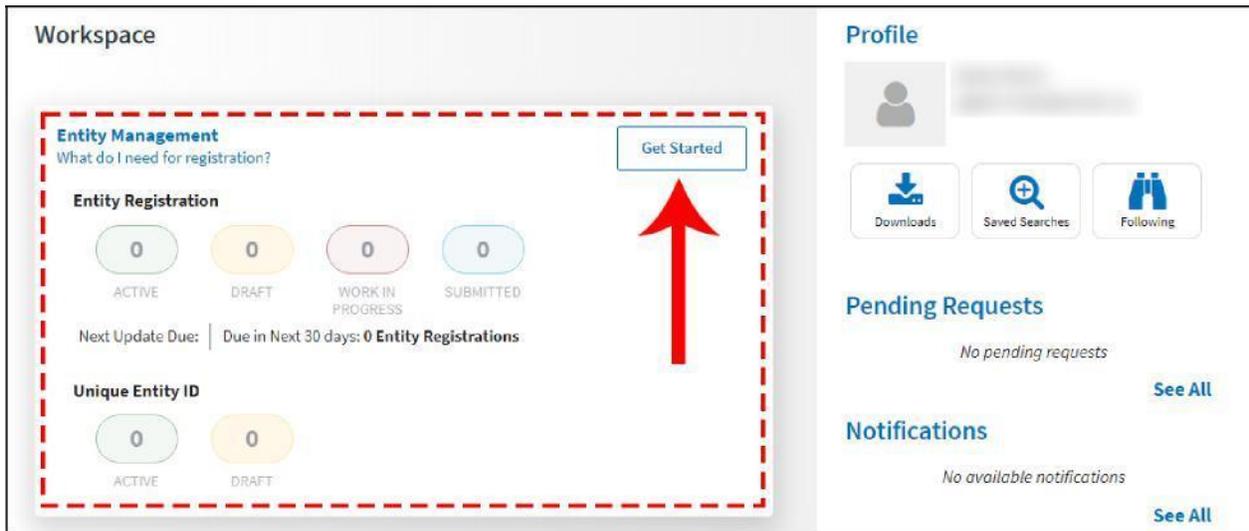
If your entity is not registered in [SAM.gov](https://sam.gov) and you only want a Unique Entity ID

If you want to only get a Unique Entity ID and do not want to complete a full entity registration in [SAM.gov](https://sam.gov), follow the steps below.

1. Go to [SAM.gov](https://sam.gov) and select "Sign In" from the upper right corner of the page. If you do not have a [SAM.gov](https://sam.gov) account, you will need to create one. [SAM.gov](https://sam.gov) uses [Login.gov](https://login.gov) for authentication. More help with using [Login.gov](https://login.gov) can be accessed [here](#). Once you create your user credentials, you will return to [SAM.gov](https://sam.gov) to complete your profile.



2. After you sign in, the system will navigate you to your Workspace. On the “Entity Management” widget, select the “Get Started” button.



3. Select the “Get Unique Entity ID” button on the next page.

Get Started

Register Entity

An entity registration allows you to bid on government contracts and apply for federal assistance. As part of entity registration, we will assign you a Unique Entity ID (SAM).

Comprehensive and current entity information is an essential part of the federal award process. It is important to prepare your information and allow sufficient time to understand and accurately complete your registration. You only need to complete and manage it here to remain eligible for federal awards.

You must renew your registration every 365 days for it to remain active.

[Register Entity](#)

Get Unique Entity ID (SAM)

If you only conduct certain types of transactions, such as reporting as a sub-awardee, you may not need to complete an entity registration. Your entity may only need a Unique Entity Identifier.

You can get a Unique Entity ID (SAM) for your organization without having to complete a full entity registration.

[Get Unique Entity ID](#)

4. On the next page, enter information about your entity. All fields are required, unless marked as optional.

1 Enter Entity Information **2** Validate Information **3** Request UEI **4** Receive UEI

Enter Entity Information

All the following information will be used to validate your entity, unless marked as optional.

Legal Business Name
If you are acting on behalf of a limited partnership, LLC, or corporation, your legal business name is the name you registered with your state filing office.

Physical Address
Your physical address is the street address of the primary office or other building where your entity is located. A post office box may not be used as your physical address.

Country

Street Address 1

Street Address 2 (Optional)

ZIP Code (USA)

City

State

5. On the next page, your entity name and address will be validated by [SAM.gov](https://sam.gov). The next page will show an entity matched in [SAM.gov](https://sam.gov). If your entity information is correct, select “Next.”
 - a. If the match shown is not your entity or you are unable to find a match, you can [create a help ticket](#) with the Federal Service Desk from the page. Select the “Create Incident” button to contact the Federal Service Desk ([FSD.gov](https://fsd.gov)) for assistance.

The screenshot shows a four-step progress bar at the top: 1. Enter Entity Information, 2. Validate Information (highlighted in blue), 3. Request UEI, and 4. Receive UEI. Below the progress bar is the heading 'Validate Entity Information' and a sub-heading: 'The information you provided matches the following entity. If this is your entity, select **Next** to continue.'

Under 'YOU ENTERED', the information is: **Foundation**, **University Heights, Ohio 44118**, **UNITED STATES**.

Under 'WE FOUND THE FOLLOWING MATCH', the information is: **FOUNDATION**, **CLEVELAND HEIGHTS, OH 44118**, **USA**.

Below this is a section titled 'Unable to find a match?' with the text: 'If the match above is not your entity and you are unable to find a match, select **Create Incident** to contact the Federal Service Desk (FSD.gov) for assistance.'

At the bottom of this section are two buttons: 'Start Over' and 'Create Incident'.

At the very bottom of the page are three navigation buttons: 'Previous' (left arrow), 'Cancel' (X), and 'Next' (right arrow).

- You may be required to enter your entity's date and state of incorporation to complete validation.

1 Enter Entity Information 2 **Validate Information** 3 Request UEI 4 Receive UEI

Validate Additional Information

You have selected the following entity.

SELECTED ENTITY

FOUNDATION
CLEVELAND HEIGHTS, OH 44118
USA

Please provide the following information to finish validating your entity.

Date of Incorporation

State of Incorporation

Previous Cancel Next

7. On the next page, you will choose whether to allow your entity record to be publicly displayed in [SAM.gov](https://sam.gov). Note that if you deselect this box and restrict the public display of your entity, only you and federal government users will be able to view your entity. Then, you must certify under penalty of law that you are authorized to conduct transactions for the entity. Then, select “Receive Unique Entity ID.”

1 Enter Entity Information 2 Validate Information 3 Request UEI 4 Receive UEI

Request Unique Entity ID

You have validated the following entity.

VALIDATED ENTITY

[Blurred text]

USA

Include in public search

Publicly viewable entity records display your record status, legal business name, and physical address on SAM.gov. If you feel the public display of your entity information poses a security threat or danger to you or your organization, you can restrict the public viewing of your record in SAM.gov by deselecting the checkbox.

If you choose to restrict your information, it will not be visible to other non-federal entities or state and local governments who may wish to do business with you. However, your non-sensitive entity information remains available to federal government users. [Learn more about SAM.gov public search results.](#)

Before requesting your Unique Entity ID, please certify under penalty of law that you are authorized to conduct transactions for this entity to reduce the likelihood of unauthorized transactions. Then select **Receive Unique Entity ID**.

I certify that I am authorized to conduct transactions on behalf of the entity.

Receive Unique Entity ID

8. On the last page, your Unique Entity ID will be displayed and you can begin to use it for your entity. Select “Done” to go back to your Workspace.

The screenshot shows a four-step registration process. Step 4, 'Receive UEI', is the active step. The main heading is 'Receive Unique Entity ID'. Below it, a message reads: 'Congratulations! You have been assigned the following Unique Entity ID (SAM)'. A blurred box contains the text 'VERIFIED SAM RECORD'. Below this, there are fields for 'Physical Address' and 'USA'. A section titled 'Include in Public Search' has 'Yes' selected. A light blue box contains the text: 'If you now believe you may need to complete a full entity registration, select **Continue Registration**. Otherwise select **Done** to return to your workspace.' At the bottom, there are two buttons: 'Continue Registration' and 'Done'. At the very bottom, there are two large circular buttons: 'Previous' (with a left arrow) and 'Close' (with an X).

ATTACHMENT N: CCBO PERU GENDER IMPLEMENTATION STRATEGY

The CCBO Peru gender strategy has been designed based on two inputs. The first is framed within the objectives of the Peruvian National Policy of Gender Equality (NPGE), where the government recognizes the structural discrimination against women as a public problem in the country and the need to adopt adequate and timely measures to address it. In this regard, the NPGE addresses this situation through six objectives up to year 2030. CCBO Peru seeks to contribute to three out of the six objectives, as follows:

1. OP1: Reduce violence against women.
2. OP3: Guarantee the access and participation of women in decision-making spaces.
3. OP4: Guarantee the exercise of economic and social women's rights.

The second key input is the CCBO Peru concept paper “Women’s Economic Empowerment: A Path to Circular Economy Solutions”, which has the following objectives:

1. Empower and expand opportunities for women in the waste and recycling sector:
 - Build and strengthen informal waste sector worker associations.
 - Scale effective, women-led solid waste management (SWM) businesses.
2. Establish private sector support to build and stabilize markets for material recycling and reuse, mobilizing women-led businesses and associations:
 - Establish private sector commitments to ensure stable markets for material collection and aggregation services from women-owned/informal waste collector (IWC) associations and women-led material recovery facilities.
 - Locate and enable women-owned or operated business partners/suppliers to meet feedstock quality requirements.
 - Develop schemes to incentivize collection of hard to recycle plastics and packaging (or offer alternative options to enable phasing out).

As a result, the CCBO Peru Gender strategy will be implemented through the following mechanisms:

| Type | Title | Objective |
|-----------|--|---|
| RFP 22-01 | Baseline and technical assistance with a gender perspective for the recycling chain and circular economy actors. | Provide relevant educational, social, economic, and cultural information of the target groups. Strengthen the organizational and business capacities of women recyclers and improve their access to the market through strategic alliances. |
| RFA 3 | Empowerment of women in the SWM system: Strengthening practical skills with gender equity perspective | Strengthen practical skills of women in SWM and the circular economy chain. Improve the understanding of gender equality and strategies for its implementation, as well as GBV causes and potential actions to address it. |
| RFA 4 | Identification and development of women-led circular economy projects | Support women entrepreneurs in developing their business plans and conform strategic commercial alliances for circular economy ventures. |
| RFA 5 | Seed capital and consolidation of women-led circular economy projects | Support businesses plans’ implementation to scale up and guarantee economic enterprises. |

RFP 22-01 Baseline and technical assistance for the recycling chain and other stakeholders of circular economy chains

This RFP will allow the access to relevant educational, social, economic, and cultural information of priority groups. The RFA 3 will use this information as inputs for the development of strategic activities and proper methodologies for intervention. The RFP activities will comprise:

- A baseline study of formalized and non-formalized recyclers, public cleaning workers and other stakeholders involved in the solid waste management chain.
- A diagnostic of the vulnerabilities, limitations and opportunities of recyclers, public cleaning workers and other stakeholders involved in the waste management chain (including gender gap analysis, mapping of government and non-government services to reduce gender gaps and GBV).

It will also work with women recyclers and their male peers at the organizational and commercial level, integrating the gender perspective specifically in actions to:

- Strengthen recyclers' associations and formalization of recyclers to collect selective waste, and business, especially of women recyclers.
- Strengthen the organizational and business capacities of recyclers' associations, focusing on women's leadership.
- Design or improvement of selective collection routes.
- Design or improvement of collection centers and women's role in collection centers.
- Draft legal instruments to institutionalize (at local governments) selective collection systems with the participation of formalized recyclers.
- Improve market access through strategic alliances.

RFA 3 – Empowerment of women in the solid waste management system: Strengthening practical skills with a gender equality perspective

This RFA will work from the ground up to establish economic empowerment of women in SWM and the circular economy chain, through the implementation of the following strategic activities:

- Review of national and local regulations on gender equity and compliance.
- Organization of gender equality trainings for women, their peers, and key actors.
- Implementing “Women’s Development Integrated Service Area” (WDISA).
- Identifying and strengthening practical skills of women in the SWM and circular economy chain:
 - Leadership, Self-esteem, Communication skills, and others
 - Personal finance skills
 - Entrepreneurial skills
- Organizing GBV trainings for women and their peers.

Other structural gaps identified by the NPGE, like illiteracy, access to legal support, reproductive health, legal care for GBV issues, and others will be addressed through advocacy activities and joint work with the respective government institutions.

RFA 4 – Empowerment of women in the solid waste management system: Identification and development of women circular economy projects

This RFA seeks to support women entrepreneurs in developing their business plans and conform strategic commercial alliances through the following activities:

- Identification of potential business ideas with a circular economy approach.

- Delivery of Technical Assistance for the development and validation of business plans (this activity will be complemented by RFP 18 - Market study, before providing any support for business plan development).
- Support women-led circular economy businesses to join the entrepreneurial and innovative communities.
- Support for market engagement and strategic alliances at a commercial level and for technology transfer.

RFA 5 – Empowerment of women in the SWM system: Seed capital and consolidation of women circular economy projects

This RFA will deliver financial resources to put into practice business plans to scale up and assure the sustainability of women-led circular economy enterprises through the following activities:

- Provision of seed capital to support the implementation of circular economy business plans in a business incubation system. The incubation system will allow access to other financial resources for businesses’ scaling up, as well as their integration into circular economy entrepreneurial and innovative ecosystems.
- Identification of services from public and private organizations to support businesses’ implementation and sustainability.

As CCBO Peru follows an integrated and interrelated approach, it is expected that other implementing mechanisms (grantees, subcontracts, or direct implementation activities) will contribute to this gender strategy.

The timeline for the CCBO Peru gender strategy is shown in the following graphic:

| Project Name | 2022 | | | | | 2023 | | | | | 2024 | | | | | | | | | | | | | | | | | | | | | |
|---|------|----|----|---|---|------|----|---|---|----|------|----|----|----|----|----|---|---|----|----|---|---|----|----|----|----|----|----|----|---|---|--|
| | Ma | Ap | My | J | J | Au | Sp | O | d | Nv | Dc | Jn | Fb | Ma | Ap | My | J | J | Au | Sp | O | d | Nv | Dc | Jn | Fb | Ma | Ap | My | J | J | |
| Baseline and TA with a gender perspective for the recycling chain and circular economy actors | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | |
| Strengthening practical skills with gender equity perspective | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | |
| Identification and development of women circular economy projects | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | |
| Seed Capital and consolidation of women circular economy projects | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | |