



Funding Opportunity Title:

Municipal Waste Recycling Program (MWRP) to Reduce Plastics Pollution of the Oceans - Philippines, Sri Lanka, and Vietnam

Announcement Type:

Annual Program Statement (APS)

Funding Opportunity Number:

APS No. 001 – AMENDMENT #2

Announcement Availability Online:

<http://urban-links.org/resources/mwrp/>

Date of Issuance:

January 27, 2017

Responses to Applicant Questions:

See Attachment 11, posted on <http://urban-links.org/resources/mwrp/>

Closing Dates for Funding Rounds:

March 31, 2017; June 30, 2017; September 30, 2017; December 31, 2017; March 31, 2018; June 30, 2018

Submissions to:

mwrpgrants@dig-global.com

Table of Contents

Introduction	3
SECTION I – GRANT FUND DESCRIPTION	3
SECTION II – AWARD INFORMATION	5
SECTION III – APPLICATION AND SUBMISSION INFORMATION	5
SECTION IV – SUBMISSION DUE DATE	6
SECTION V – ELIGIBILITY INFORMATION	6
SECTION VI – SELECTION CRITERIA AND REVIEW PROCESS.....	7
SECTION VII – GRANT AWARD AND ADMINISTRATION.....	11
SECTION VIII – REQUEST FOR CLARIFICATION TO THE APS.....	14
SECTION IX – DISCLAIMERS	14
SECTION X – REPORTING ETHICS VIOLATIONS	14
ANNEX A – CONCEPT NOTE TEMPLATE.....	15
ANNEX B – APPLICATION TEMPLATE.....	18

The following modifications were made to APS No.001 in Amendment #2:

APS Questions Due By

Title Page – Removal of the deadline for questions. Please see Attachment I I for responses to applicant questions.

Section IV – Submission Due Date

The submission due date has been changed to June 30, 2017. (Second Application Cycle)

Annex B - Application Template

Page 21 – Inclusion of “Applicants must use the Budget Template provided” in Section III. Technical Approach, D. Budget and Resource Strategy.

This document was produced for review by the United States Agency for International Development. It was prepared by the Development Innovations Group for the Municipal Waste Recycling Program Task Order.

ANNUAL PROGRAM STATEMENT

Introduction

The purpose of this **Annual Program Statement (APS)** is to solicit grant applications for funding available through the **Municipal Waste Recycling Program (MWRP)** from organizations in the Philippines, Sri Lanka and Vietnam. The Development Innovations Group (DIG), which administers the program on behalf of the United States Agency for International Development (USAID), is seeking prospective non-governmental partners, such as civil society organizations, private sector companies, and academic institutions, that can implement municipal waste recycling solutions with a focus on reducing plastics pollution of the marine environment in the Philippines, Sri Lanka, and Vietnam.

Applicant organizations may propose either starting up or scaling up existing initiatives that provide promising approaches to reduce the amount of plastics entering marine environments. Grant recipients will be expected to share evaluation results and key lessons learned, as well as disseminate periodic information on their activities and outcomes with the broader community engaged with these issues.

SECTION I – GRANT FUND DESCRIPTION

The overarching goal of the Municipal Waste Recycling Program (MWRP) is to provide grants and technical assistance to organizations operating projects in the Philippines, Sri Lanka, and Vietnam related to improving solid waste management and recycling, thereby contributing to the reduction of discarded plastics entering the oceans. In each of the three countries, inadequate waste management practices, particularly in coastal towns and cities, result in plastics pollution negatively impacting the marine environment. This failure to manage solid waste and plastics results in widespread damage to ocean environments and biodiversity, loss of livelihoods for coastal community residents, and public health problems.

In addition to their detrimental effect on marine environments, these fundamental solid waste management issues result in serious employment challenges and stunt the development of local commerce and tourism. To address these challenges, it is critical to utilize sustainable municipal solid waste management approaches that maximize job creation and economic development opportunities, taking into account local social dynamics and gender issues.

Grants will be awarded in line with MWRP priority areas to reduce plastics pollution in marine environments. Priority areas are noted as follows (in no particular order):

- (1) Research that can lead to tangible results in the reduction of plastics in marine environments;
- (2) Innovative technology to reduce plastics pollution;
- (3) Increase in the effectiveness of national or local governments in reducing plastics pollution of marine environments;
- (4) Increase in the effectiveness of civil society in reducing plastics pollution of marine environments;
- (5) Increase in the effectiveness of the private sector in reducing plastics pollution of marine environments;

- (6) Partnerships between local government and civil society organizations or the private sector that lead to reducing plastics pollution of marine environments;
- (7) Raising of public awareness to reduce plastics pollution of marine environments;
- (8) Community recycling and re-use of plastic waste in coastal communities;
- (9) Public-private partnerships to reduce plastics pollution of marine environments; and
- (10) Increase in opportunities for economic development (e.g., job creation, business formation) to reduce plastics pollution of marine environments.

Below are illustrative examples of prospective activities that may be funded through MWRP grants:

- Activities to increase the effectiveness of national and local governments, civil society, the private sector, and other organizations to reach out and engage with households and businesses on the recycling, reuse, and reduction of plastics in general or plastics waste in particular;
- Public awareness campaigns focused on plastics waste pollution, reducing the use of plastic in daily life, or increasing waste segregation at the household level;
- Development of SWM decision-support tools, such as user-tailored mapping or action-research and testing, or scaling up new or demonstrated behavior change approaches;
- Capacity building of SWM service providers to supply constituents and businesses with improved solid waste collection and treatment services;
- Incentives for innovation in the use of plastics that can result in a reduction of plastics waste;
- Formation of new partnerships (such as public private partnerships) between local governments, educational institutions, organizations, communities, and the private sector;
- Investment feasibility studies to develop market-based products/services designed to improve waste disposal and collection systems, promote recycling, etc.;
- Design and/or testing of technological innovations in plastics recycling;
- Scaling up of successful solid waste collection and treatment models, including plastics waste recycling, sorting, or storage;
- Activities to bring about increased efficiency¹ in the potential value chain for plastic waste from waste generators, via collector/waste picker to junk shop, trader/hauler to recycling plant, and/or initiatives to overcome market failures in waste streams;
- Solutions to a specific municipal solid waste management problem, such as large-scale recycling start-ups in Sri Lanka, and systemic clean-up and haulage services in the tourist locations in Vietnam²; and
- Development of improved SWM business practices to promote sustainable economic growth and profitability.

Applicants shall address relevant political and economic factors that may impact project implementation in their community(ies). The applicant must show a comprehensive understanding of the local solid waste management context (refer to “Systems Approaches to Integrated Solid Waste Management in Developing Countries,” R. Marshall & K. Farahbakhsh, Waste Management, Vol. 33, Issue 4, April 2013, <http://www.sciencedirect.com/science/article/pii/S0956053X13000032>). The proposed project shall

¹ Efficiency gains entail less resources being expended on the route from waste generators to recycling plant. For example, costs can be reduced by increasing the number of communal containers and lowering transportation costs.

² In Sri Lanka, the biggest municipality of the country (home to almost 5% of population) has no system of waste segregation, neither at source, nor at the communal container points, nor for trucks. In Vietnam, as a result of mismanaged waste management problems, the flow of tourists to municipalities along the country's 2,000 mile-long coastline is being affected, including the #1 tourist attraction in Ha Long Bay. Hotels, boat owners, and resorts are paying for clean-up campaigns and residents are demanding alternatives for plastics.

demonstrate the buy-in of stakeholders for the duration of the activity. The project shall also address or incorporate the informal sector's involvement, a key stakeholder that often lacks political influence and stands to lose out from privatization efforts.

SECTION II – AWARD INFORMATION

Estimated Program Funding Level. The total amount of the MWRP grant fund is USD 3.5 million. Grant awards to non-U.S. non-governmental organizations will range from USD 50,000 to USD 250,000 with the middle range anticipated as the average grant amount. Grant awards to U.S. non-governmental organizations will not exceed USD 100,000. MWRP may choose to fully fund or incrementally fund the selected awardee(s).

Modification of the APS. MWRP reserves the right to modify the APS through issuing amendment(s) at any time or to close the APS if Program funds have been obligated.

Estimated Number of Awards. MWRP expects to award a minimum of 5 grants in each target country. The number of Program grants may be adjusted based on the quality of applications.

Anticipated Performance Period. Funded project activities may range from 12 to 33 months, with all project activities completed by March 31, 2020.

Award Type. A variety of grant-making mechanisms (standard grants, simplified grants, and fixed amount awards) will be utilized, with payment through fund advances and reimbursements linked to completion of specific performance benchmarks. The type of grant mechanism will be based on the nature of the proposed activities and the grantee's financial management capacity, as determined by MWRP.

SECTION III – APPLICATION AND SUBMISSION INFORMATION

Types of Submissions: Organizations may choose to submit either a: (1) concept note, or (2) an application (considered to be a 'full proposal'). A concept note is not required as a preliminary step to submitting an application. Organizations are encouraged to consider submitting a concept note in the abbreviated format in order to seek clarifications from MWRP staff on whether their project ideas are suitable and align with MWRP objectives.

An interested organization may submit multiple concept notes and/or applications, or a combination of the two types. Application and concept note submissions will be made to: mwrpgrants@dig-global.com

Submission Dates: Grant applications, submitted either as an organization's entry point into the MWRP awarding process or as the result of a successfully-reviewed concept note, will be accepted on a rolling basis. An applicant may submit a concept note at any time. The first submission deadline for applications is on March 31, 2017. Thereafter, quarterly application deadlines are as follows:

- June 30, 2017
- September 30, 2017

- December 31, 2017
- March 31, 2018
- June 30, 2018 (No further grant applications will be accepted after this date)

MWRP will confirm promptly the receipt of all submissions.

Form of Submissions: All documents must be submitted in the English language in Microsoft Word using Times New Roman 12-point font and with 1 inch (2.5cm) margins within the document. For concept notes, applicant organizations will use the template contained in Annex A; and for applications, the template in Annex B.

SECTION IV – SUBMISSION DUE DATE

Application Submission Deadline: The deadline for the submission of applications for the second quarterly Program application cycle is no later than **June 30, 2017 at 5:00 pm Eastern Standard Time (EST)**. An application received after that date/time will be reviewed in the next quarterly cycle. As noted, a concept note may be submitted at any time for review.

Applicant organizations are advised to submit their concept notes and applications during the first available quarter as there is no guarantee of fund availability in later quarters of the APS.

SECTION V – ELIGIBILITY INFORMATION

MWRP will consider submissions from a variety of non-U.S. and U.S. non-governmental organizations, which may include private sector firms, community-based organizations, cooperatives, foundations, professional associations, trade associations, and academic institutions. Public sector organizations or agencies that are interested in participating in the Program must partner with an eligible non-governmental entity. An applicant organization must meet the following eligibility criteria:

- Support outcomes and results consistent with, and linked to, MWRP's objectives and priority areas;
- Conduct its program activities within the three target countries -- Philippines, Sri Lanka, and/or Vietnam;
- Legally recognized status in the country where grant activities are proposed to take place with requisite organizational registration documents;
- Operating for at least three years in the country where grant activities are proposed to take place as verified by audited financial statements;

Ineligible Organizations

The following types of organizations/entities are not eligible to apply for MWRP funding:

- Any U.S. private voluntary organization (PVO) not registered with USAID;
- Any organization with active exclusions in the System for Award Management (SAM) – refer to www.sam.gov.
- Any public international organization (PIO);
- Any foreign municipal/city, provincial, or national government;
- Any entity affiliated with DIG or any of its directors, officers, or employees; and

- Any political party organization.

Ineligible Activities

Grant funds cannot be utilized for the following purposes:

- Private ceremonies, parties, celebrations, or "representation" expenses;
- Purchase of restricted goods, such as agricultural commodities, motor vehicles, pharmaceuticals, pesticides, timber extraction or processing equipment, used equipment, and fertilizers. If procurement of these restricted goods is necessary, DIG will request approval from the Contracting Officer and will procure items directly and donate in-kind to the grantee;
- Purchase of prohibited goods under USAID regulation ADS 312.3.4, including but not limited to: police or law enforcement equipment; abortion equipment and services; weather modification equipment; luxury goods; and gambling equipment;
- Purchase of goods or services restricted or prohibited under the prevailing USAID source/nationality and other regulations found under ADS 310.3;
- Purchase of goods and services from ineligible suppliers or subcontractors identified in <http://www.sam.gov>;
- Purchases or activities deemed unnecessary to accomplish grant purposes as determined by DIG, including any grantee headquarters expenses that are not directly linked to the implementation of the proposed project;
- Previous obligations and/or bad debts;
- Fines and/or penalties;
- Creation of endowments; and
- Other costs unallowable under USAID and/or federal regulations, such as alcoholic beverages. Refer to 2 CFR 200 and FAR 31.2 "Cost Principles for Commercial Organizations."

Ineligible Amounts

- Grant applications requesting lower than USD 50,000 and above USD 250,000 will not be reviewed.

SECTION VI – SELECTION CRITERIA AND REVIEW PROCESS

Organizations may choose to submit either a concept note, or an application (considered to be a 'full proposal'). A concept note is not required as a preliminary step to submitting an application.

Applicants have the option to submit concept notes to MWRP at any time during the APS period, prior to developing an application. The concept note shall be no longer than four pages and follow Annex A: Concept note Template. MWRP will confirm receipt and provide feedback on the concept note's status to the applicant organization within four weeks. Applications shall be no longer than ten pages and follow Annex B: Application Template. An application can be submitted any time within the APS period. MWRP will confirm receipt and provide feedback to the application's status to the applicant organization within four to six weeks.

Initial Review: During the Initial Review, applications and concept notes will be reviewed against pre-established Program evaluation criteria (Table I – Evaluation Criteria for the Initial Review). The Initial

Review will be conducted by MWRP staff. During the Initial Review, estimated project costs information will not be considered as a determining factor so as to enable a fair comparison between concept notes and applications (as the former would not yet include complete budget information.)

The evaluation criteria are the same for both applications and concept notes in the Initial Review phase, as follows:

Table I. Evaluation Criteria for the Initial Review

Technical Approach (65 points)
Creative solution to MWRP priority area(s) (30)
Coherent implementation plan and likelihood to be implemented within the proposed time frame (13)
Describe any potential risks from the proposed activity to the (i) health and safety of participants and beneficiaries, or to the (ii) local environment and ecosystems; and detail risk mitigation plans (2)
Proposed M&E Factors as indicators to measure program impacts (10)
Strategy for capturing knowledge and sharing lessons learned (10)
Management & Institutional Capacity (35 points)
Human resources (staff, partners, and/or consultants) to implement all components of the project, including technical, administrative, financial and monitoring and evaluation (25)
Past performance experience of applicant in similar project activities (10)

MWRP will confirm the receipt of submissions and inform the applicant on the status of their submission in writing after completion of the Initial Review. Once an application has passed successfully through the Initial Review, it is referred to a MWRP Application Review Panel for a more in-depth, comprehensive analysis that comprises the Final Review. USAID shall provide a preliminary approval for all applications designated for participation in the Final Review stage.

Within its development policy framework, USAID ensures that the environmental consequences of its financing are considered and that appropriate environmental safeguards are adopted. The following USAID environmental documents explain these considerations, included as attachments to the APS on the urban links website <http://urban-links.org/resources/mwrp/>:

- Initial Environmental Examination (IEE) for the MWRP, which indicates that all proposed activities will be reviewed prior to award in order to address any potential environmental impacts (Attachment 8);
- 22 CFR Part 216, USAID Environmental Procedures (Attachment 9); and
- USAID Sector Environmental Guidelines for Solid Waste Management (Attachment 10).

Applicant submissions shall (i) indicate that the proposed activity will comply with host country environmental laws and regulations, (ii) identify any potential environmental risks, (iii) outline the risk mitigation approach(es), and (iv) specify the budget requirements for mitigation. Further, the submission shall describe any health and safety risks to participants, beneficiaries, communities, or individuals impacted by the proposed activity and the appropriate mitigation approach(es).

Final Review: The technical approach is the most important area under consideration, followed by management and institutional capacity. (Refer to Table 2 – Evaluation Criteria for the Final Review). Only complete applications will be considered for awards.

The MWRP will include the analysis of financial factors in this Final Review phase. Potential grantee budgets will not be assigned a score, but will be reviewed under the criteria in 2 CFR 200 Subpart E: Cost Principles. Costs will generally be assessed for the following:

- ✓ *Reasonable Costs.* Costs are generally recognized as ordinary and necessary in the conduct of normal business.
- ✓ *Allocable Costs.* Costs are needed and incurred specifically for the award.
- ✓ *Allowable Costs.* Costs are reasonable and allocable, conform to limitations in the award, and are compliant with USAID regulations.

The MWRP is responsible for determining which costs are allowable under the grant.

Cost-sharing is not a requirement for grant applicants under MWRP. However, applicants are highly encouraged to propose and consider cost sharing should it be determined appropriate for the program. Applications or concepts which include cost share may be considered more competitive. If cost-sharing is proposed by an applicant and included as part of a successful grant award, such cost-sharing must be tracked by the applicant, included in all financial reporting, and be verifiable by MWRP upon request.

Table 2. Evaluation Criteria for the Final Review

Technical Approach (65 points)
Clear description of how proposed grant fits within MWRP priority area(s) (5)
Clear and detailed description of creative solution to MWRP priority area(s) (25)
Coherent implementation plan and likelihood to be implemented within the proposed time frame (13)
Describe any potential risks from the proposed activity to the (i) health and safety of participants and beneficiaries, or to the (ii) local environment and ecosystems, and detail risk mitigation plans (2)
Measurable M&E Factors as indicators to measure sustainability and program impacts (10)
Detailed strategy for capturing knowledge and sharing lessons learned (10)
Management & Institutional Capacity (35 points)
Detailed description of human resources (staff, partners, and/or consultants) to implement all components of the project, including technical, administrative, financial and monitoring and evaluation (25)
Relevant and detailed past performance experience of applicant in similar project activities (10)

The concept notes and applications will be scored numerically and prioritized into three categories:

- ✓ *Apparently Successful (AS):* The submission meets Program criteria and objectives and is on track for approval, although additional follow-up with the applicant will be required. In this category, the

applicant's concept note may be expanded into a full application or its application is being considered for award.

- ✓ *Tentative:* The submission demonstrates strong potential, and with reasonable improvements, will meet the Program criteria for award. The MWRP will provide written feedback to the applicant and may offer limited technical assistance. The MWRP may request additional information from an organization for verification purposes or to suggest modifications, which may include revising the budget or clarifying how results will be achieved. A revised submission may be submitted immediately for consideration before the start of the next quarterly review cycle. In this category, the applicant's concept note is still under review or its application is being considered for award.
- ✓ *Rejected:* The application does not meet Program criteria. In this category, no further information is being requested from the applicant and the concept note or application is no longer being considered for award.

Subject to the type of grant mechanism being considered during this stage, a MWRP team will conduct a due diligence field visit to those organizations with applications rated as *Apparently Successful*. The purpose of the field visit is to determine whether the prospective recipient has the requisite financial management experience, accounting and procurement systems, operational controls, and technical skills to achieve Program objectives and account for grant funds. The organization's Financial Capability Questionnaire will be checked against actual conditions. The applicant organization's proposed budget line items and procurements will be analyzed to ensure they are acceptable. Any identified financial issues emerging from the field visit may result in the inclusion of special conditions in the grant agreement or rejection of the application.

Prior to a grant award, for a non-U.S. non-governmental organization, MWRP will ensure that the applicant organization can meet the requirements of ADS 303. For a U.S. non-governmental organization, MWRP will ensure that the applicant organization can meet the requirements of the award as well as applicable cost principles. MWRP shall conduct a detailed analysis that addresses whether:

- Applicant's accounting, recordkeeping, and overall financial management systems meet appropriate standards;
- Applicant's system of internal controls will be in accordance with applicable procurement and compliance principles, and appropriate administrative and accounting principles, including segregation of duties, handling of cash, contracting procedures, and personnel, and travel policies;
- Applicant's property management system, if applicable, meets appropriate standards; and
- Applicant's procurement system, if procurement is significant to the award, meets appropriate standards.

Following the due diligence field visit and incorporation of the collected information, MWRP staff will evaluate the updated applications and send its recommendations for approval to USAID. In consultation with the USAID country missions, USAID will make final approval decision on all applications.

<p>Note: All information received from applicant organizations shall be considered proprietary and held in strict confidence by MWRP staff and other individuals responsible for the review of concept notes and applications with the intention of protecting applicants' privacy and intellectual property.</p>

SECTION VII – GRANT AWARD AND ADMINISTRATION

The first award of MWRP grants is anticipated in July 2017. Following final approval of applications from USAID, MWRP staff will proceed with executing grant agreement with grantees and subsequently monitoring project progress.

Prior to project startup and during implementation, MWRP will provide grantees with information and technical support in how to administer program grant funds, reporting, and communications. Regular project monitoring and evaluation visits by MWRP staff to the grantees will commence shortly after the award of the first cycle of Program grants.

General Information on Standard Provisions of Grant Agreements. Awards to Non-U.S. non-governmental organizations will be administered according to ADS 303mab. Awards to U.S. non-governmental organizations will be administered in accordance with 2 CFR 200, OMB Circulars A-21 (for universities) or A-122 (for non-profit organizations), and ADS 303maa. Applicants may obtain copies of the referenced materials at the following websites:

- ADS Chapter 303: Grants and Cooperative Agreements for Non-Governmental Organizations; <https://www.usaid.gov/sites/default/files/documents/1868/303.pdf>
- 2 CFR Part 200: Uniform Administrative Requirements, Cost Principles, And Audit Requirements For Federal Awards; <https://www.gpo.gov/fdsys/granule/CFR-2014-title2-vol1/CFR-2014-title2-vol1-part200/content-detail.html>
- ADS Chapter 303maa: Standard Provisions U.S. Non-Government Organizations; <https://www.usaid.gov/sites/default/files/documents/1868/303maa>
- OMB circulars: <http://www.whitehouse.gov/omb/circulars/>
- ADS Chapter 303mab: Standard Provisions for Non-U.S. Non-Governmental Recipients; <http://usaid.gov/policy/ads/300/303mab.pdf>
- ADS Chapter 303mat: Standard Provisions for Fixed Amount Awards for Non-Governmental Recipients; <https://www.usaid.gov/sites/default/files/documents/1868/303mat.pdf>

Grantee Expenses.

The grantee shall not procure any of the following goods or services without the prior written approval of the USAID Contracting Officer: agricultural commodities; motor vehicles; pharmaceuticals and contraceptive items; pesticides; fertilizer; used equipment or U.S. government-owned excess property; military equipment; surveillance equipment; police and law enforcement support equipment; abortion equipment; luxury goods; gambling equipment; and weather modification equipment.

Monitoring and Evaluation. The monitoring and evaluation of grantee projects will occur through two principal means: 1) Grantee reports that include information on project activities, results/deliverables, targets, MEFs, financial reporting and management matters; and 2) Field visits – scheduled and unannounced – performed by MWRP staff at the grantee's office(s) and project site(s) to review grantee progress. MWRP staff will arrange for continuing, regular monitoring and evaluation on the technical and financial management elements of the grant award through the review of reports, correspondence, site visits, or other means.

Grantee performance will be evaluated against a set of Monitoring and Evaluation Factors (MEFs) to be determined by MWRP staff in consultation with the grantee organization. Using these MEFs and

established baseline data, a grantee monitoring and evaluation plan will be developed in the grant agreement. Program grantees will be evaluated technically based on their ability to implement project activities satisfactorily and to achieve their targets and performance benchmarks. During evaluation visits, the grantee will be expected to provide information on progress made towards MEF targets. Following an orientation visit, MWRP staff will schedule an initial evaluation visit, one or two mid-term evaluation visits, and a final evaluation visit.

The grantee will propose at least two and no more than five MEFs in its application. MWRP staff will work with the grantee to finalize the selection of MEFs during the award negotiation process for inclusion in the grant agreement. Selected MEFs will fall within the following categories:

- Environmental soundness. MWRP will focus on whether grant activities promote waste-to-energy and circular economy principles; bolsters climate resilience; or mitigates the flow of plastics to the ocean.
- Potential for financial sustainability and scale up in urban areas in the geographic focus countries. MWRP will evaluate, in particular, access to finance; creditworthiness; municipal government revenue generation, cost recovery, and financial management skills; and balanced supply and demand.
- Non-financial barriers to scale-up and sustainability. MWRP will examine technical and human resource capacity constraints; hardware/supply chain constraints; regulatory barriers; and gender and social barriers, among others.
- Cost effectiveness in the reduction of waste flows to the marine environment. MWRP will focus on reductions in the volume of plastic waste to oceans against total operational and investment costs.
- Gender-related impacts and lessons learned of grant activities. MWRP will measure the correlation between male/female SWM business ownership, and a variety of themes including: technology, profitability and productivity; differential impact of the use of technology/systems and the effectiveness of municipal waste recycling efforts. These findings will help us identify and recommend to USAID entry points for closing gender gaps in municipal solid waste management.
- Potential for maximizing job creation and spurring economic growth (in a gender- and socially-inclusive fashion). MWRP will assess the economic multiplier effect of grant activities and their impact on generating long-term jobs.

The following are examples of illustrative MEFs:

- Number of new short- and long-term jobs created;
- Increase in revenues from recycling activities;
- Number of households complying with segregation at source;
- Number of women generating income from plastics reuse and recycling activities; and
- Amount in metric tons of plastics recycled that would have otherwise been destined for the ocean.

The grantee will be required to submit a periodic MWRP technical and financial report, quarterly in most cases, with reporting on progress, M&E Factors, budget burn rate with detailed costs, procurement of equipment, cost-share if applicable, and project revenues. The grant agreement will specify the extent of project reporting.

Grantees will also be expected to account for expenses, equipment, or activities that were described in their reports. Grantees will be subject to periodic, unscheduled monitoring visits to confirm that grant

money is being used in accordance with the grant agreement. If there are problems, delays, or inaccuracies discovered through a monitoring visit, MWRP staff will be able to discuss the corrective actions needed from the grantee.

With grantee cooperation, program monitoring and evaluation activities will result in lessons learned that will be shared other organizations operating in the SWM sector.

Branding

All USAID-sponsored assistance awards are required to adhere to branding policies and revised marking requirements for grants in accordance with ADS 320 (www.usaid.gov/policy/ads/300/320.pdf). This includes visibly displaying the USAID Standard Graphic Identity that clearly communicates that assistance is “From the American People” on all programs, projects, activities, publications, public communications, and commodities provided or supported by USAID grants. ADS 320 requires that, after the evaluation of applications, MWRP staff will request the approved applicant to submit a Branding Strategy that describes how the program, project, or activity is named, positioned, promoted and communicated to beneficiaries and cooperating country citizens, including identification of donors and an explanation of how they will be acknowledged.

Data Universal Numbering System (DUNS)

There is a mandatory requirement for the approved organization to provide MWRP staff with a DUNS number. The Data Universal Numbering System is a system developed and regulated by Dun & Bradstreet that assigns a unique numeric identifier, referred to as a DUNS number to a business entity. The award of a grant resulting from this APS is contingent upon the awardee providing MWRP staff with its DUNS number. Organizations which fail to provide a DUNS number will not receive a grant agreement and MWRP staff will select an alternate awardee.

All U.S. and foreign organizations which receive a MWRP grant with a value of USD 25,000 and above are required to obtain a DUNS number prior to signing of the agreement. Organizations are exempt from this requirement if their gross income received from all sources in the previous tax year was under USD 300,000. MWRP requires that the grantee sign a self-certification statement if it claims an exemption for this reason. Instructions for obtaining a DUNS number or Self-Certification Exemption from the DUNS requirement can be obtained from MWRP staff and at: <http://www.dnb.com/duns-number.html>.

Verification with SAM and OFAC/SDN

At the time of a grant award, the applicant organization must be registered and in good standing within the U.S. Government System for Award Management (SAM). An applicant should begin immediately the SAM registration process upon receiving notification that it is being considered for a grant award. Information on completing SAM registration can be obtained from MWRP staff and at the SAM website Help Tab:

- SAM - System for Award Management User Guide, v.6.0;
https://www.sam.gov/sam/transcript/System_for_Award_Management_v6.0.pdf
- SAM Quick Start Guide;
https://www.sam.gov/sam/transcript/QUICK_START_GUIDE_FOR_SCREEN_READERS_IN_SAM.pdf

The applicant organization's key staff and board members will be checked against the Specially Designated Nationals (SDN) list of restricted parties and entities within the U.S. Department of the Treasury Office of Foreign Asset Control (OFAC).

SECTION VIII – REQUEST FOR CLARIFICATION TO THE APS

A prospective applicant desiring an explanation or interpretation of this APS must send questions in writing no later than two weeks after the APS release date at 5:00 pm Eastern Standard Time (EST) to the following email address:

mwrpgrants@dig-global.com

Prospective applicants may view the responses to all questions on this APS on the USAID Urban Links website at:

<http://urban-links.org/resources/mwrp/>

SECTION IX – DISCLAIMERS

Issuance of this APS does not constitute an award or commitment on the part of MWRP, nor does it commit MWRP to pay for any costs incurred by an organization in the preparation and/or submission of a Program application. The applicant organization assumes full responsibility for covering any costs associated with the preparation and submission of a concept note and/or application and/or responding to requests from MWRP staff for additional information.

MWRP reserves the right to fund any or none of the submitted applications. Further, MWRP reserves the right to make no awards as a result of this APS.

SECTION X – REPORTING ETHICS VIOLATIONS

Applicant organizations which observe unethical conduct, or prohibited acts such as requests for payment or kickbacks, by a MWRP employee or MWRP consultant should report them to:

complaints@dig-global.com

All reports of unethical behavior will be treated in confidence.

END OF APS

ANNEX A – CONCEPT NOTE TEMPLATE

(Maximum 4 pages)

I. **Applicant Information (This table does not count towards the 4-page limit.)**

1. Name of Organization	
2. Project Name	
3. Nationality of the Applicant Organization	
4. Address	
5. Telephone and Email	
6. Director of Organization	
7. Contact Name/Position for the Applicant Organization	
8. Period of Performance (# months)	
9. MWRP Priority Area(s) Addressed	
10. Geographic Location of Project (Country and Region)	
11. Cost Sharing if applicable	
12. Total Funds requested from the MWRP Grants Fund	
13. Total Cost of Project (in USD)	

II. **Technical Approach**

A. Background on the applicant organization: Briefly describe your organization's mission and activities.

B. Project Description

1. Primary Goal. Explain the goal of the proposed project and how it fits within MWRP priority areas.

2. Describe the problem your project will address making sure to relate in context to MWRP priority areas:

- Specific challenge(s) that need(s) to be addressed
- Number of people affected/potentially affected
- Geographic scale and specific areas

3. Environmental, Health, and Safety Considerations:

- Environmental Compliance. The applicant shall address any potential risks to the local environment or ecosystems, how they will mitigate the risks, and confirm that they will be in compliance with host country environmental laws and regulations.
- Health and Safety. The applicant shall address any potential risks to the health and safety of participants, beneficiaries, or individuals impacted by the activity and how the applicant will mitigate these risks.

If there is a potential negative impact upon the environment and/or to public health and safety, the applicant shall explain what amount/percentage of the project budget will be required to mitigate these risks.

4. Previous Results (if applicable): Provide a description of activities, technologies and/or approaches to be supported, including:

- If the proposed project will scale up an existing activity or approach, provide detailed results from previous work (include a summary of previous awards, including type of funding, value, client, etc.)
- Lessons learned from previous implementation
- How the project support will build from existing successes and provide opportunities to learn from failures

5. Include results of market research and/or assessment of beneficiary needs: Explain what market research has been done thus far regarding the need for this proposed activity.

6. Specific Objectives, Activities and Methodology: List concrete, specific objectives that lead to the larger, general goal (specific objectives should be measurable and definable in time); and outline activities to be executed and methodology to be used to accomplish each objective:

7. Performance & Learning:

- What will determine the success of the project?
- What assumptions will be tested and what learning will come from the project design and implementation?
- Provide 2-5 key MEFs that will be used to determine success. List the data and data sources that will be used for reporting. (MWRP will require supplementary MEFs.)
- Proposed actions you will take to facilitate knowledge sharing/lessons learned of your results.

8. Sustainability: What is the anticipated sustainability of the activities? What are the ongoing costs associated with implementation of the product/service and how will your organization fund the ongoing operational costs of its implementation? Describe the plans your organization has to assure the sustainability of the activity supported by the grant funds. How will your organization measure the sustainability of the product or activity? How will the funds contribute to the sustainability of your organization?

9. **Sustainability Risks & Mitigation:** Identify risks the project faces in achieving the intended goal and objectives and detail the project's mitigation strategy for each risk.

C. Management and Organizational Capacity

1. **Staffing:** Highlight the key project personnel that will manage the implementation of the project.
2. **Past Performance:** Provide a detailed Past Performance sheet describing major program activities during the past three years.

D. ATTACHMENTS - Required Documents (Attachments do not count towards the 4-page limit)

Provide the following attachments with your concept note submission:

- Attachment 1: Articles of Incorporation, by-laws, or other documentation which substantiates the legal character of the organization in the country where grant activities are proposed.
- Attachment 2: CVs of the Executive Director, Finance Director and Program Manager (if applicable) – maximum of 2 pages each.
- Attachment 3: One-page letter of support signed by the Executive Director of the Organization and the President of the Board of Directors indicating that they have reviewed the concept note and agree with the targets.
- Attachment 4: Audited financial statements demonstrating at least three years of active operations in the country where grant activities are proposed.
- Attachment 5: Past Performance sheet.*
- Attachment 6: Financial Capability Questionnaire.*

* Attachments 5 and 6 can be downloaded at: <http://urban-links.org/resources/mwrp/>

ANNEX B – APPLICATION TEMPLATE

(Maximum 10 pages)

I. Applicant Information (This table does not count towards the 10 page limit.)

1. Name of Organization	
2. Project Name	
3. Nationality of the Applicant Organization	
4. Address	
5. Telephone and Email	
6. Director of Organization	
7. Contact Name/Position for the Applicant Organization	
8. Period of Performance (# months)	
9. MWRP Priority Area(s) Addressed	
10. Geographic Location of Project (Country and Region)	
11. Cost Sharing if applicable	
12. Total Funds requested from the MWRP Grants Fund	
13. Total Cost of Project (in USD)	

II. Executive Summary (up to two pages; not counting towards page limit)

Summarize in two pages or less the contents of your full proposal.

III. Technical Approach

A. Background on the applicant organization: Briefly describe your organization’s mission and activities.

B. Project Description

I. General Goal: Explain the goal of the proposed project and how it fits within MWRP priority areas.

2. Describe the problem your project will address, making sure to relate in context to MWRP priority areas:

- Specific challenge(s) that need(s) to be addressed
- Number of people affected/potentially affected
- Geographic scale and specific areas

3. Environmental and Health and Safety Considerations

- Environmental Compliance. The applicant shall address any potential risks to the local environment or ecosystems, how they will mitigate the risks, and confirm that they will be in compliance with host country environmental laws and regulations.
- Health and Safety. The applicant shall address any potential risks to the health and safety of participants, beneficiaries or individuals impacted by the activity and how the applicant will mitigate these risks.

If there is a potential negative impact upon the environment and/or to public health and safety, the applicant shall explain what amount/percentage of the project budget will be required to mitigate these risks.

4. Previous Results (if applicable): Provide a description of activities, technologies and/or approaches to be supported, including:

- If the proposed project will scale up an existing activity or approach, provide detailed results from previous work (include a summary of previous awards, including type of funding, value, client, etc.).
- Lessons learned from previous implementation.
- How the project support will build from existing successes and provide opportunities to learn from failures.

5. Include results of market research and/or assessment of beneficiary needs: Explain what market research has been done thus far regarding the need for this proposed activity.

6. Specific Objectives, Activities and Methodology: List concrete, specific objectives that lead to the larger, general goal (specific objectives should be measurable and definable in time); and outline activities to be executed and methodology to be used to accomplish each objective:

Objective 1: State Objective

Activity 1: Detailed description of Activity 1.

Activity 2: Detailed description of Activity 2.

Activity 3: Detailed description of Activity 3.

7. Project Activity/Implementation Calendar: Identify the time allotted for the activities and tasks cited above (under Specific Activities and Methodology). Use the following sample format for detailing objectives and their respective activities:

Objectives/Activities	Quarters										
	1	2	3	4	5	6	7	8	9	10	11
Objective 1											
Activity 1	X										
Activity 2		x	x	x	x						
Activity 3				x	x	x	x				
Activity 4								x	x	x	x

Objective 2											
Activity 1	X	x	x								
Activity 2		x	x	x	x	x	x				
Activity 3					x	x	x	x			
Activity 4							x	x	x	x	x

8. Performance & Learning:

- What will determine the success of the project?
- What assumptions will be tested and what learning will come from the project design and implementation?
- Provide 2-5 key MEFs that will be used to determine success. List the data and data sources that will be used for reporting. (MWRP will require supplementary MEFs.)
- Proposed actions you will take to facilitate knowledge sharing/lessons learned of your results.

What defines Success?			
No.	Indicator	Target	Data Source
1			
2			
3			

Example:

What defines Success?			
No.	Indicator	Data	Data Source
1	Number of communities with improved waste recycling centers	50	Municipal environmental officer
2	Number of new policies on waste management related to plastics pollution reduction	1	National government ministry or local government
3	Number of households separating waste at source in community (specify community).	1,500	Field surveys conducted by the local government and applicant

- 9. Sustainability:** What is the anticipated sustainability of the activities? What are the ongoing costs associated with implementation of the product/service and how will your organization

fund the ongoing operational costs of its implementation? Describe the plans your organization has to assure the sustainability of the activity supported by the grant funds. How will your organization measure the sustainability of the product or activity? How will the funds contribute to the sustainability of your organization?

10. Sustainability Risks & Mitigation: Identify risks the project faces in achieving the intended goal and objectives and also detail the project’s mitigation strategy for each risk.

Objective	Potential Risks	Plan to Mitigate Risk

C. Management and Organizational Capacity

1. **Staffing:** List all project team members, including their name, position, role in the project and a short description of their assigned responsibilities (insert as many lines as necessary). Highlight the key project personnel that will manage the implementation of the project.

No.	First & Last Name	Position	Role in the Project	Description
1		Executive Director		
2		Finance Director		
3				
4				
5				
6				

2. **Past Performance:** Provide a detailed Past Performance sheet (see Attachment 5) describing your major program activities during the past three years.

D. Budget and Resource Strategy

Refer to the Budget Template (see Attachment 7 – Applicants must use the Budget Template provided):

1. **Detailed Grant Budget & Cost Notes:** A detailed budget must include a breakdown of costs by category (Salaries/Wages, Fringe Benefits, Travel & Transport, Training, Supplies, Equipment, etc.). In the *Cost Notes* column, a justification must be included for each cost item. A justification must state how the unit cost was determined as well as the number/quantity of units. The combination of the detailed cost and the cost notes must be sufficient to allow a determination of whether the costs estimated are reasonable.

2. Cost Sharing Budget, if applicable: A detailed budget for the applicant's cost sharing portion must include a breakdown of costs by category (Salaries/Wages, Fringe Benefits, Travel & Transport, Training, Supplies, Equipment, etc.). In the *Cost Notes* column provide additional information for each itemized cost. Include and submit the organization's USAID Negotiated Indirect Cost Rate Agreement (NICRA), if applicable. Applicants must use the Budget Template provided as Attachment 7.
3. Project Income: Provide detailed information on anticipated project income/revenues from the use of MWRP grant funds and how these resources will be utilized to support project activities. Applicants must use the Budget Template provided as Attachment 7.

Note that in the case of a grant award, the grantee will be required to open a separate bank account and not commingle MWRP funds with other organizational resources.

E. ATTACHMENTS - Required Documents (Do not count towards the 10-page limit)

Provide the following attachments with the application submission:

- Attachment 1: Articles of Incorporation, by-laws, or other documentation which substantiates the legal character of the organization in the country where grant activities are proposed.
- Attachment 2: CVs of the Executive Director, Finance Director and Program Manager (if applicable) – maximum of 2 pages each.
- Attachment 3: One-page letter of support signed by the Executive Director of the Organization and the President of the Board of Directors indicating that they have reviewed the application and agree with the targets and resource commitments presented.
- Attachment 4: Audited financial statements demonstrating at least three years of active operations in the country where grant activities are proposed.
- Attachment 5: Past Performance sheet.*
- Attachment 6: Financial Capability Questionnaire.*
- Attachment 7: Budget Template.*

* Attachments 5, 6, and 7 can be downloaded at: <http://urban-links.org/resources/mwrp/>