



Funding Opportunity Title: **Municipal Waste Recycling Program (MWRP) to Reduce Plastics Pollution of the Oceans – Indonesia, Philippines, Sri Lanka, and Vietnam**

Announcement Type: Annual Program Statement (APS)

Funding Opportunity Number: APS as amended

Announcement Availability Online: <http://urban-links.org/mwrp/>

Date of Issuance: January 16, 2018

Responses to Applicant Questions: See Attachment 11, posted on <http://urban-links.org/mwrp/>

Closing Deadlines for Submissions: March 31, 2018 – 5:00 p.m. Eastern Standard Time (EST); June 30, 2018– 5:00 p.m. Eastern Standard Time (EST)

Submissions to: mwrpgrants@dig-global.com

Table of Contents

INTRODUCTION	2
SECTION I – GRANT FUND DESCRIPTION	2
SECTION II – AWARD INFORMATION	4
SECTION III – APPLICATION AND SUBMISSION INFORMATION	5
SECTION IV – SUBMISSION DUE DATE	5
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	16
ANNEX B – APPLICATION TEMPLATE	19

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 Indonesia, 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, youth-led or women-led organizations, private sector companies, associations, cooperatives, and academic institutions, that can implement municipal waste recycling solutions with a focus on reducing plastics pollution of the marine environment in Indonesia, 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. The MWRP has a strong interest in receiving proposals that promote innovative approaches or technologies, and effectively engage underrepresented groups (women, youth, informal waste pickers) as partners. 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 U.S. Congress has directed USAID to use small grants to support efforts to recycle waste that threatens human health and the environment. The overarching goal of the USAID Municipal Waste Recycling Program is to provide grants and technical assistance to organizations operating projects in Indonesia, 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 four 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 (in particular those affecting informal waste collectors), gender, and youth issues.

Priority areas for MWRP grants are noted as follows (in no particular order):

I. Strengthening local actors and their collaboration to render urban systems more effective in solid waste management and reducing marine plastics pollution

Marine plastics pollution often results from dysfunction in the systems that have developed over time for handling solid waste. In most urban areas, solid waste management is provided through a system of interrelated local actors from the public, private, and non-profit sectors. Examples include: municipal or metropolitan government entities; private firms that collect, sell, and transport waste; informal waste collectors and vendors; and civil society organizations that organize stakeholders, provide services, raise public awareness, or advocate policy change.

By providing targeted support to local actors best poised to affect **systemic change**, MWRP can leverage its limited resources to have a lasting impact.

Illustrative interventions include:

- Capacity building of SWM service providers to supply constituents and businesses with improved solid waste collection and treatment services;
- Awareness raising and behavior change campaigns through local actors to engage with households and/or businesses (such as hotels, restaurants and other tourism-related businesses) on the recycling, reuse, and reduction of plastics waste;
- Strengthening the ability of local governments to promote more effective SWM practices, including but not limited to: i) developing and implementing policy ii) collecting and managing data (such as geospatial analysis), or iii) piloting new approaches to recycling and waste reduction.
- Improving SWM enforcement mechanisms;
- Improving communication and coordination between government institutions, civil society, researchers, and/or private sector entities, in order to support a better functioning SWM system;
- Promoting social inclusion in solid waste management through engaging groups which are underrepresented in local power structures, such as women, youth, and informal waste pickers.

2. Applied research to identify locally-appropriate technology and improve decision-making processes related to urban solid waste management and recycling

MWRP seeks to support research which local actors may use to improve solid waste management systems and combat marine plastics pollution. This may include studies, assessments, and analyses which shed light on the dynamics of marine plastics pollution in certain communities. The research undertaken will be responsive to a clear demand by local stakeholders, who will be able to use the findings to affect systemic change. For instance, research findings may be used by municipal governments to improve SWM policies and processes, or by private sector actors to develop more viable business models for recycling. MWRP may fund research on any topic related to both marine plastics pollution and urban waste management systems.

Illustrative topics include:

- Development, testing, and/or scaling of locally-appropriate, innovative technology and/or processes which help strengthen urban SWM systems and reduce marine plastics pollution;

- Political economy of solid waste management that helps address gaps or obstacles in solid waste management systems due to different incentives among stakeholders;
- Potential outcomes in target countries due to changes in international markets for recycled inputs, including China’s decision to prohibit the import of eight types of postconsumer plastic scrap;
- Outcome-based approaches to improve recycling services or encourage businesses and consumers to reduce plastic waste.

3. Enabling the private sector to develop and implement market-driven solutions to marine plastics pollution and strengthen the recycling value chain

Private sector actors play a pivotal role in most urban SWM systems. MWRP grants can support interventions which make SWM value chains operate more efficiently and/or expand the commercial viability of recycling.

Illustrative interventions include:

- Facilitating new public-private partnerships to reduce plastics pollution of marine environments;
- Increasing opportunities for economic development and job creation;
- Strengthening the capacity of associations representing local private sector actors;
- Feasibility studies to develop market-based products/services designed to improve waste disposal and collection systems, promote recycling, test technical innovations in plastics recycling, etc.;
- Scaling up successful solid waste collection and treatment models;
- Improving recycling supply chain dynamics for collection (at municipal level), sorting (at a regional/inter-municipal level) and processing (at a national or global level).

Grants will be made to support initiatives of non-governmental applicants in urban and peri-urban settings. In this APS, a “peri-urban” setting is defined as the landscape interface between town and country, an urban-rural transition zone with mixed uses, which allows for sustained solid waste management by municipal/city governments that have the legal mandate to provide this basic service.

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. DIG 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 the issuance of amendment(s) (posted on <http://urban-links.org/mwrp/>) at any time, or to close the APS.

Anticipated Performance Period. Funded project activities may range from 12 to 24 months.

Award Type. A variety of grant-making mechanisms (standard grants, simplified grants, and fixed amount awards) may 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 DIG.

Method of Payment: With a Standard Grant, program grant funds are disbursed as advances to cover the minimum amount needed for carrying out the grantee's project activities for the next six months. With a Simplified Grant, program grant funds are disbursed to grantees on a cost reimbursement basis to cover actual incurred expenses. With a Fixed Amount Award, disbursement is made upon receipt of an invoice and review/approval of documentary evidence demonstrating the achievement of a specified performance milestone. Most MWRP grants will be in the form of Fixed Amount Awards, which will have fewer grantee reporting requirements.

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

Form of Submissions: All documents must be submitted in the English language in Microsoft Word using Times New Roman 12-point font and with one-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

Grant applications, submitted either as an organization's entry point into the MWRP review process or as the result of a successfully-reviewed concept note, will be accepted on a rolling quarterly basis during the first half of 2018, and – if grant funding is available – during the last two quarters of 2018.

An applicant may submit a concept note at any time during the funding cycle. When all Program grant funds are obligated, the MWRP will no longer accept additional applications.

Applications are due:

- March 31, 2018 – 5:00 p.m. Eastern Standard Time (EST)
- June 30, 2018 – 5:00 p.m. EST
- September 30, 2018 – 5:00 p.m. EST
- December 31, 2018 – 5:00 p.m. EST

An application received after that date/time will be reviewed in the next quarterly cycle. DIG will confirm via email the receipt of each submission. Applicant organizations are advised to submit their concept notes and applications as early as possible as there is no assurance of grant fund availability in later quarters.

SECTION V – ELIGIBILITY INFORMATION

DIG 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 may partner with non-governmental applicant organizations, though no grant funds will be provided to public sector organizations. An applicant organization must meet the following eligibility criteria:

- Conduct its program activities within the four target countries: Indonesia, 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; and
- Operating for at least one year 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 organization with active exclusions in the System for Award Management (SAM) – refer to www.sam.gov ;
- Any intergovernmental organization;
- 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 <https://www.usaid.gov/sites/default/files/documents/1876/312.pdf> , 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 <https://www.usaid.gov/sites/default/files/documents/1876/310.pdf> ;
- 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;
- Grant facilities or reserve funds;
- 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 “Contracts with Commercial Organizations”
https://www.acquisition.gov/far/html/Subpart%2031_2.html

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 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) (25)
Coherent implementation plan and likelihood to see uptake and reach scale within the proposed time frame (10)
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 (5)
Proposed M&E Factors as indicators to measure program impacts (5)
Strategy for capturing knowledge and sharing lessons learned (12)
Engagement of vulnerable or underrepresented groups such as urban poor, women, or youth in the design and implementation; Cost-sharing and Responsiveness to the specific targets of the USAID missions in the four MWRP countries, (see description under Table I) (8)

Management & Institutional Capacity (35 points)
Human resources (staff, partners, and/or consultants) to manage all aspects of the project, including technical, administrative, financial and monitoring and evaluation, and maximize its effectiveness in terms of scale of changes in behavior and municipal waste recycling results (20)
Past performance experience of applicant in similar project activities (15)

Specific targets of the USAID missions in the four MWRP countries, are as follows:

- For the Philippines: Eligible organizations are encouraged to propose MWRP activities in the USAID-funded SURGE cities (Batangas City, Puerto Princesa City, Iloilo City, Tagbilaran City, Cagayan de Oro City, Zamboanga City, Legazpi City, and General Santos City);
- For Sri Lanka: MWRP will consider activities in all districts. Applicants are encouraged to propose activities outside Colombo District;
- For Vietnam: Eligible organizations able to provide a letter of support from a government ministry that certifies their relevant professional experience, would be eligible to apply directly for a MWRP grant or as a subgrantee to another eligible applicant organization; and
- For Indonesia: Eligible organizations proposing activities in any province will be considered. Applicants are encouraged to propose activities in the fourteen provinces indicated in the map on page 12 of the USAID/Indonesia Strategy for Indonesia:
<https://www.usaid.gov/sites/default/files/documents/1861/Indonesia%20CDCS%20FINAL%20Version.pdf>

Note: Cost-sharing is not a requirement for grant applications under MWRP. However, applicants are highly encouraged to propose and consider cost sharing should it be determined appropriate for the program. Applications or concept notes which include cost share may be considered more competitive. If cost-sharing is proposed by an applicant organization 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.

The 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/mwrp/> or as a separate link:

- The Initial Environmental Examination (IEE) for the MWRP has been prepared before the program was launched. The IEE 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)
<https://www.gpo.gov/fdsys/pkg/CFR-2012-title22-vol1/pdf/CFR-2012-title22-vol1-part216.pdf> ;
- USAID 2014 Urban Policy (Attachment 10); and

- USAID Sector Environmental Guidelines for Solid Waste Management
<http://www.usaidgems.org/Sectors/solidWaste.htm>

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. Pages beyond the 10-page limit (for applications) and four-page limit (for concept notes) will not be considered.

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 Application Review Panel will determine which costs are allowable under the grant.

Table 2. Evaluation Criteria for the Final Review

Technical Approach (65 points)
Creative solution to MWRP priority area(s) (25)
Coherent implementation plan and likelihood to see uptake and reach scale within the proposed time frame (10)
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 (5)
Proposed M&E Factors as indicators to measure program impacts (5)
Strategy for capturing knowledge and sharing lessons learned (12)
Engagement of vulnerable or underrepresented groups such as urban poor, women, or youth in the design and implementation; Cost-sharing and Responsiveness to the specific targets of the USAID missions in the four MWRP countries, (see description under Table 1) (8)
Management & Institutional Capacity (35 points)
Human resources (staff, partners, and/or consultants) to manage all aspects of the project, including technical, administrative, financial and monitoring and evaluation, and maximize its effectiveness in terms of scale of changes in behavior and municipal waste recycling results (20)
Past performance experience of applicant in similar project activities (15)

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.

Applicants will be notified in writing by DIG indicating whether their proposal is Apparently Successful, Tentative or Rejected.

A DIG 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: (1) meet with relevant local government counterparts to ensure this is local buy-in and; (2) 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 to account for grant funds. DIG will document its findings regarding the organization's capacity to implement the proposed project activities. The assessment will include the following:

- Identify and vet key personnel, board members, principals, and funding sources;
- Verify that the organization's key personnel, board members and principals do not have active exclusions in the System for Award Management (SAM; www.sam.gov) or appear on the Specially Designated Nationals (SDN) and Blocked Persons List maintained by the U.S. Treasury for the Office of Foreign Assets Control;
- Verify the organization's past performance through a review of its project documentation and consultation with third parties;
- Review the project work plan and determine the appropriateness of the proposed milestone activities;
- Analyze the appropriateness of cost projections linked to milestone activities; and
- Determine risks associated with project implementation and outline mitigation measures.

Following the due diligence field visit and incorporation of the collected information, MWRP staff will evaluate the updated applications and send its recommendations to USAID. In consultation with the USAID country missions, USAID E3/Urban will make the final approval decision on all applications.

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.

SECTION VII – GRANT AWARD AND ADMINISTRATION

Following final approval of applications from USAID, MWRP staff will proceed with executing grant agreements 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> ; and
- 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 from DIG: 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. 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:

- Economic sustainability of recycling value chain;
- Environmental soundness. MWRP will focus on whether grant activities promote waste-to-energy, circular economy principles, environmental sustainability and/or sustainable cities; or reduces the flow of plastics to the ocean;
- Potential for financial sustainability and scaling up in urban and peri-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 scaling up and sustainability. MWRP will examine technical and human resource capacity constraints; hardware/supply chain constraints; regulatory barriers; and gender and social barriers; and political economy constraints, 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 and Youth-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 and age gaps in municipal solid waste management.

The following are examples of illustrative MEFs (please note that these do not apply to research-focused applications):

- 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 youth (ages 16-29) generating income from plastics reuse and recycling activities;
- Materials recovered and diverted (# tons, net of residue);
- Contribution to national recycling rate (tons-equivalent to percentage increase);
- Number of female participants and number of male participants with increased access to productive economic resources (assets, credit, income or employment);
- Number of legal instruments drafted, proposed or adopted designed to promote gender equality or non-discrimination against women or girls at the national or subnational level;
- Time spent by men, women, girls and boys disposing of trash;

- Number of men and women employed in solid waste management;
- Number of women generating income from plastics reuse and recycling activities;
- Satisfaction of male and female customers with solid waste management services convenience, effectiveness, and affordability.

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 Date of Issuance (refer to page I) 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/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. Furthermore, 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

Resource Materials

Attachment 8 – **Initial Environmental Examination (IEE)**; available for download at <http://urban-links.org/mwrp/>

Attachment 9 – **USAID Environmental Procedures**; available for download at <http://urban-links.org/mwrp/> and <https://www.gpo.gov/fdsys/pkg/CFR-2012-title22-vol1/pdf/CFR-2012-title22-vol1-part216.pdf>

Attachment 10 – **USAID 2013 Urban Policy**; available for download at <http://urban-links.org/mwrp/>

Attachment 11 – **Responses to Applicant Questions**; available for download at <http://urban-links.org/mwrp/>

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 of Office	
5. Director of Organization	
6. Contact Person's Name/Position for the Applicant Organization	
7. Telephone and Email of Contact Person	
8. Period of Performance (# months)	
9. MWRP Priority Area(s) Addressed (number or key words)	
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)	

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 and type of people affected/potentially affected;
 - Geographic scale and specific target areas;

- Support and collaboration from the local government for the proposed project;
- Current status/effectiveness of municipal solid waste management and plastics pollution and recycling in the target areas; and
- Detailed description of any new and/or innovative technologies or processes developed for the proposed project.

3. 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. Address activities for engagement of youth, women and other underrepresented stakeholders.

4. 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); and
- Proposed actions you will take to facilitate knowledge sharing/lessons learned of your results.

5. Sustainability:

- How will the project contribute to systemic change and how this will be sustained?
- How will your organization measure the sustainability of the product or activity?
- Demonstrate the buy-in of stakeholders, including local government(s), for the duration of the activity and preferably beyond.

6. 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.

7. 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; and
- How the project support will build from existing successes and provide opportunities to learn from failures.

- How the project engaged underserved or marginalized stakeholders (women, youth, urban poor, etc.)
8. **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.
 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 detailed Past Performance sheets describing major program activities during the past three years.
3. **Consultation:** Highlight how the project will consult throughout the process with key stakeholders including underrepresented groups (youth, women, others).

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: If available, 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/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 of Office	
5. Director of Organization	
6. Contact Person's Name/Position for the Applicant Organization	
7. Telephone and Email of Contact Person	
8. Period of Performance (# months)	
9. MWRP Priority Area(s) Addressed (number or key words)	
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 the 10-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: Describe the local solid waste management context, then explain the goal of the proposed project and how it fits within MWRP priority areas, and how the project will seek to achieve a sustainable, systemic outcome.

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 target areas;
- Support from the local government for the proposed project;
- Engagement of underrepresented groups (women, youth, informal sector workers);
- Current status/effectiveness of municipal solid waste management and plastics pollution and recycling in the target areas. Applicants are encouraged to mention the vicinity of polluted coastal waters or rivers currently transporting plastics from residential areas to the marine environment, and how the flux from plastics waste will be reduced by their proposed initiative; and
- Detailed description of any new and/or innovative technologies developed for the proposed project.

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, 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.
 Additional activities if applicable may be added.

For each activity:

- Explain how activity will be measured and lead to widespread change; and
- Ensure relevance to target audiences over time and make adjustments.

7. Project Activity/Implementation Calendar: Identify the time allotted for the activities and tasks cited above (under Specific Activities and Methodology), including the baseline data. 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 results is the project expected to achieve?
- 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 measure success. List the data and data sources that will be used for reporting, and plans for baseline data. (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	Target	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
4	Donors/local governments use research findings to make better policy decisions	1	National government ministry or local government

9. Sustainability: Demonstrate how the project is contributing to systemic change and how this will be sustained. For example, demonstrate the buy-in of stakeholders, including local government(s), for the duration of the activity and preferably beyond. The definition of sustainability will differ based on the type of activity being supported through the grant. For research and policy-oriented projects, sustainability is dependent on uptake of results by key stakeholders and use of findings. For proposals involving the private sector, the project must demonstrate an understanding of the local market. For activities that should be continued, a plan for funding these activities in the future (either by the applicant or other stakeholders) should be explained. How will the changes instigated by the project be sustained over time? How will your organization measure the sustainability of the product or activity?

10. Sustainability Risks & Mitigation: Identify risks (for example, political and economic risks) the project faces in achieving the intended goal and objectives and mitigation strategies.

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		Project Director		
4				
5				

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

D. Budget and Resource Strategy

Refer to the Budget Template provided as Attachment 7: Applicants should demonstrate how available resources will be used in a cost-effective manner.

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 as to whether the costs estimated are reasonable.

The equipment budget category shall not exceed 10% of the total project budget amount. The purchase of equipment will be acceptable only if it is essential to achieving the principal project objective(s) and is subject to approval by the MWRP Application Review Panel (ARP).

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 Project 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/mwrp/>