



Hanoi, 22 November 2021

**WINROCK INTERNATIONAL
USAID Reducing Pollution Activity**

Annual Program Statement (APS) Number APS-01

Collective Impact for Plastic Pollution & Solid Waste Management

Winrock International (Winrock) is implementing the USAID Reducing Pollution Activity, funded by the United States Agency for International Development (USAID), Prime Award Number: 72044021CA00002 in close collaboration with the Vietnam Environment Administration (VEA) of the Ministry of Natural Resources and Environment (MONRE).

The Reducing Pollution Activity is supporting Vietnam's efforts to address environmental pollution challenges through a series of locally-driven initiatives using a collective impact approach.

Winrock is pleased to announce this Annual Program Statement (APS) that seeks innovative and creative approaches from eligible Vietnamese non-governmental organizations to facilitate collective impact to address plastic pollution and solid waste management issues in Vietnam.

Winrock invites organizations interested in potential funding to submit applications outlining program concepts that reflect the goals and objectives of the project. Please carefully follow all instructions in the APS documentation that follows.

Applications for the APS follow a two-step process. Applicants must first submit a Concept Paper, which is a concise statement designed to clearly communicate a program idea and its objectives before the development of a full proposal application. The purpose of the Concept Paper process is to allow applicants the opportunity to submit program ideas for Winrock to evaluate prior to requiring the development of full proposal applications.

This APS includes two rounds for potential funding. For round one, Concept Papers received by the submission deadline of 22 December 2021 will be considered for review. For round two, Concept Papers received by the submission deadline of 30 April 2022 will be considered for review. Upon review and evaluation of eligible Concept Papers, Winrock will invite selected applicants to expand their ideas into full proposal applications.

Winrock expects to award one to two grants under this APS, but reserves the right to award fewer or none based on the quality of applications received and availability of funding.

Winrock will hold an online pre-application conference on 2 December 2021 for potential applicants to learn more about the APS and ask questions. Questions may also be submitted to the Winrock Grants Management team following the submission process described in the documentation below.

Sincerely,

Brian Bean
Chief of Party, USAID Reducing Pollution Activity



WINROCK INTERNATIONAL
Project Name: USAID Reducing Pollution Activity
Annual Program Statement (APS)

Grant Activity Name:	Collective Impact for Plastic Pollution & Solid Waste Management
Annual Program Statement No:	APS-01
APS Date of Issue:	November 22, 2021
APS Closing Date and Time	November 21, 2022

SECTION 1: PROGRAM DESCRIPTION

1.1 PURPOSE AND BACKGROUND

The purpose of this APS is to solicit concept notes and applications from prospective grantees to support Winrock International (Winrock) in the implementation of the USAID Reducing Pollution Activity funded by The United States Agency for International Development (USAID), Prime Award Number: 72044021CA00002. Winrock is implementing the Activity in close collaboration with the Vietnam Environment Administration (VEA) of the Ministry of Natural Resources and Environment (MONRE).

The Reducing Pollution Activity is supporting Vietnam’s efforts to address environmental pollution challenges through a series of locally-driven initiatives to address environmental pollution challenges using a collective impact approach. Collective impact addresses complex challenges by mobilizing diverse actors to collaborate, identify ways to solve a shared problem, and take action based on their roles and comparative advantages. The Reducing Pollution Activity demonstrates clear connections between environmental benefits and other social benefits, including public health, employment, and sustainable economic growth.

The collective impact initiatives supported by this Activity will help build stronger locally-led networks to achieve the following results:

- Strengthened networks of local organizations, government, private sector, and academic institutions working together to prevent, mitigate, and/or reduce environmental pollution; and
- Increased capacity of stakeholders to generate, share, and use pollution data to support policy/implementation solutions for locally determined environmental pollution challenges.

Each collective impact initiative will be led by a local organization, who will serve as the “backbone organization” to lead a series of connected activities to address a key pollution issue and develop a network of motivated stakeholders from communities, local government, and private sector working together to identify solutions to the pollution challenge. The Reducing Pollution Activity expects to identify three-to-six different pollution challenges to be addressed through such collective impact initiatives.

This Annual Program Statement (APS) is focused on the challenge of reducing plastic pollution in Vietnam through improved solid waste management. The selected applicant(s) will serve as the “backbone organization(s)” to lead a vibrant network of local government, community, university, research institute, and private sector partners to address the plastic pollution and solid waste management issues. While this APS will provide a grant to the backbone organization of this “Collective Impact for Plastic Pollution & Solid Waste Management” Initiative, the Reducing Pollution Activity will



also provide a series of small grants to community organizations, advocacy groups, universities, and/or research institutes to complement the activities covered under the grant(s) awarded under this APS.

1.2 OBJECTIVE AND PROGRAM DESCRIPTION

Significance of the Plastic Pollution & Solid Waste Management Challenge

Vietnam, like many countries in southeast Asia and the Pacific, is struggling with massive volumes of plastic waste that overwhelm inefficient and ineffective solid waste management systems. A 2020 National Guidance for Plastic Pollution Hotspotting and Shaping Action report for Vietnam identified that per capita plastic consumption in Vietnam has increased to 81 kilograms/person/per year, of which more than 70% goes to waste. The report also estimated that more than half of the plastic waste generated in Vietnam goes uncollected. The plastic pollution has a significant negative impact on the environment, with an estimated 730,000 tons of plastic waste leaked into the ocean each year (2019 estimate).

Despite new policies and strategies for addressing plastic pollution, including Directive 33/CT-TTg regarding Strengthening of Management, Reuse, Recycling, Disposal and Reduction of Plastic Waste, and Decision 1746/QD-TTg on National Action Plan for Management of Marine Plastic Litter by 2030, the country's rapid economic growth and consumer activity continue to result in increasing per capita consumption of plastic each year. In addition, ineffective and inefficient solid waste management practices result in plastic leakage from various steps of waste generation, waste segregation, and waste collection into the natural environment.

Of particular concern in Vietnam is the use and disposal of single-use plastics, which are estimated to make up approximately 50% of the plastic consumed each day in the country. This includes single-use water bottles, takeaway food and other plastic packaging, and single-use plastic bags and straws. With limited alternatives and continued consumer demand for the convenience these products provide, progress has been limited in reducing the use of single-use plastics and improving the management and recycling of this significant source of plastic pollution.

A growing number of initiatives are now underway, led by international and local NGOs, local government agencies, and private sector players looking to meet international commitments and/or sustainability pledges. Most of these programs focus on promoting the "3 R's" approach of Reduce, Reuse, and Recycle at various points in the solid waste management process. The Government of Vietnam is also now developing an innovative Extended Producer Responsibility (EPR) policy, which will create incentives for producers to look at developing alternatives to single-use plastics, while generating revenue to improve waste management and recycling efforts.

Objectives of this APS

This APS seeks to build on these emerging initiatives by supporting one backbone organization to lead a Collective Impact for Plastic Pollution & Solid Waste Management Initiative to achieve the following objectives:

1. Provide opportunities for pilot application of Extended Producer Responsibility (EPR) policies and models in close collaboration with private sector partners;
2. Promote practices and measures that reduce single-use plastic use in Vietnam, and result in reduced leakage of single-use plastic waste;
3. Facilitate social behavior change for improved solid waste management practices; and
4. Encourage innovate market approaches to link local, national, and regional markets for recycled waste, including through public-private partnerships.

Geographic Focus

Applications under this APS should focus on a priority geographic area(s) with:

- (a) a clear development challenge related to plastic pollution and solid waste management.

- (b) demonstrated commitment from key local stakeholders to come together to develop solutions to their specific plastic pollution challenge, and
- (c) the potential to achieve significant improvements in addressing the plastic pollution challenge through improved solid waste management, within the time period of the proposed grant award.

Applicants may propose the geographic area(s) that they feel are most appropriate.

Note that the Reducing Pollution Activity plans to ensure broad geographic coverage of its various collective impact initiatives. Therefore, preference may be given to grant proposals that provide opportunities to address environmental pollution in non-traditional project locations or otherwise provide broader geographic coverage of overall activities.

Types of Activities to be Considered

Applicants should propose innovative activities that (a) can achieve measurable results in reducing plastic pollution in Vietnam and (b) build a vibrant and sustainable network of government, private sector, and community actors working together to address the plastic pollution challenge through improved solid waste management.

Proposed activities should address objectives of preventing the leakage of plastic pollution, specifically from rapidly growing urban and peri-urban areas along coasts or rivers. A primary objective of proposed activities must be to prevent the leakage of plastic by addressing the problem at its source, such as through:

- Activities that improve solid waste reduction, collection, disposal, reuse, recycling, and/or the circular economy.
- Activities that promote or establish critical preconditions to solid waste management, recycling, and circular economy programs. Enabling environment reforms and interventions are essential pre-conditions to reducing plastic pollution. These can include:
 - Development of the enabling environment (planning, policies, laws, regulations, standards, and institutions and institutional capacity) that directly support solid waste management, recycling, or circular economy programs.
 - Support for reforms that significantly improve financial sustainability in the solid waste management and recycling sectors, to increase coverage and quality of services.
 - Outreach, public awareness, and social behavior change activities that support proper waste management, recycling and the reduction of plastic waste
- Activities to increase investment in solid waste management, recycling and/or the circular economy. Types of investments could include right-sized, locally appropriate infrastructure and technologies; developing, growing or strengthening markets for recyclable, reusable, and repurposed plastic waste or products with high levels of recycled plastic content; businesses operating anywhere along the solid waste management and recycling value chains.
- Activities on reducing generation of plastic waste. This could include developing, promoting, or expanding the use of safe and affordable alternatives to disposable plastic products or business models that reduce generation of plastic waste.
- Activities to improve the health, safety, social inclusion and/or livelihoods of vulnerable populations associated with solid waste management and recycling, such as informal waste collectors.
- Activities on reducing sea-based sources of ocean plastic pollution, including abandoned, lost and discarded fishing gear.
- Activities that provide practical solutions for measuring, or tracking the impact of solid waste management, recycling, or circular economy programs.

Note that the following types of activities will not be considered under this APS, and should not be proposed by applicants:

- Activities for pure scientific research on plastic pollution do not qualify.



- Activities on beach, river or ocean clean up activities and technologies do not qualify, except when done as a small component of broader outreach, awareness and behavior change efforts or broader solid waste management efforts.

SECTION 2: GRANT INFORMATION

2.1 ANTICIPATED NUMBER OF GRANTS TO BE ISSUED

The USAID Reducing Pollution Activity is requesting concept papers from organizations that meet the eligibility criteria that is listed in Section 3. USAID Reducing Pollution Activity expects to award one to two grants under this APS but reserves the right to award fewer or none based on the quality of applications received and availability of funding.

2.2 ESTIMATED AMOUNT OF GRANTS

It is expected that an individual grant amount will range between US\$100,000 and \$125,000 equivalent per year. However, the final amount awarded will depend on award activities and final negotiations. All awards will be negotiated, denominated and funded in Vietnam Dong.

2.3 ANTICIPATED START DATE AND DURATION OF GRANTS.

The anticipated period of performance for individual grants is a minimum of 36 months to a maximum of 48 months from the date of award, depending on the negotiated award activities.

2.4 TYPE OF GRANTS TO BE ISSUED

Winrock will determine the appropriate grant mechanism, in consultation with the applicant during the negotiation process, based on the pre-award assessment of the applicant, nature of the award activity, and estimated total cost of the award.

SECTION 3: ELIGIBILITY INFORMATION

3.1 ELIGIBLE APPLICANTS

This APS is open to Vietnamese non-governmental organizations. To be minimally eligible for funding, applicants must comply with the following conditions:

- Be legally registered or otherwise authorized to conduct business in Vietnam.
- Agree to be subject to a pre-award assessment to examine that the applicant has sound management in the form of financial, administrative, and technical policies and procedures.
- Provide a Data Universal Numbering System (DUNS) number at the time of award. If the applicant already has a DUNS number, it should be included in their application. Otherwise, applicants will be expected to get a DUNS number before an award is issued. DUNS numbers can be obtained online at <https://www.dnb.com/duns-number/get-a-duns.html>.
- Does not have an active exclusion in the System for Award Management (SAM) - refer to <https://www.sam.gov/SAM/>
- Does not appear on the Specially Designated Nationals (SDN) and Blocked Persons List <https://sanctionssearch.ofac.treas.gov/> maintained by the U.S. Treasury for the Office of Foreign Assets Control (OFAC), sometimes referred to as the "OFAC List"
- It is not on the United Nations Security Designation List.

SECTION 4: INSTRUCTION TO APPLICANTS AND SUBMISSION INFORMATION

4.1. QUESTIONS AND COMMUNICATIONS REGARDING THIS APS

All questions and other communications regarding this APS should be submitted in writing by email to the Grants Management Team, at vietnamprocurement@winrock.org. For Round One, questions must be received by December 6, 2021. For Round Two, questions must be received by April 1, 2022. Written responses to questions will be made available to all applicants.

4.2. PRE-APPLICATION CONFERENCE

A pre-application conference will be held as detailed below. All applicants are encouraged to attend. The pre-application conference will be held in Vietnamese language.

Date:	December 2, 2021
Tentative location:	• Online
Confirmation:	Please send an email indicating name(s) of individuals who will attend from your organization to vietnamprocurement@winrock.org by November 29, 2021.

4.3. CONCEPT PAPER

Applicants shall first submit a Concept Paper that must not be more than four (04) A4 pages, using Arial, font size 10pt, single-spaced. The Concept Paper may be submitted in either Vietnamese or English.

Applicants shall use the Concept Paper template included in Annex A of this APS.

Concept papers submitted under this APS must clearly articulate how the proposed idea fits into one of more of the program objectives in the program description. A detailed budget is not required unless the applicant progresses to the full application stage.

Concept Papers will be accepted on a rolling basis and will be reviewed per the schedule outlined below.

Concept Paper Rounds	Submission Deadline
Round One	December 22, 2021
Round Two	April 30, 2022

Concept Papers for must be submitted electronically via email to vietnamprocurement@winrock.org with subject line: "APS-01-Concept Paper: Plastics pollution and solid waste management, your organization's name no later than 17:00 on the Submission Deadline date for each Round.

To be considered eligible for review, at a minimum the concept paper submission must meet the following criteria:

- Be received before the closing date and time
- Include a copy of the applicant's valid legal registration
- Include a completed Concept Paper

4.4. FULL APPLICATION

Following the closing date of each Concept Paper Round, Winrock will evaluate the submitted Concept Papers and identify which applicant(s) will be invited to submit a full application for further consideration. A full application shall not be submitted unless specifically requested by Winrock. If Winrock requests a full application, the application must include all the information below:

a. Technical Application

Technical Applications should be submitted using the form in Annex B.

Applicants will develop their applications based on their understanding of the program's needs, their prior institutional experience and their determination of the approaches that would be feasible and successful. In all cases, applicants shall clearly explain the rationale for the proposed approaches chosen.

Submissions must clearly state the objectives and the expected results of the activity within the life of the funding period and define an implementation plan with a proposed time frame and budget. On-going monitoring and reporting of the funded activities will be the responsibility of the applicant. An Application Form template is provided as an attachment to this APS.

b. Cost Application

Cost Applications should be submitted following the guidance in Annex C.

Cost applications shall be submitted in separate files from the technical application. Applicants shall submit a (1) summary budget table, (2) detailed budget in Microsoft Excel, and (3) budget narrative in Microsoft Word identifying how the applicant would allocate any grant funds received during the term of the potential agreement. The budget narrative should explain and justify the need for the costs proposed in the budget. The narrative should help the reviewer understand why an item of cost is necessary and how it will be used to support the activity for which it will be incurred. The budget narrative should demonstrate the relationship between the proposed activities and the budget. Just as the technical application should reflect the applicant's understanding of the objectives and the proposed approach to achieve those objectives, the budget and the accompanying narrative should be realistic and show a similar understanding of the financial requirements of the proposed activities.

c. Cost-Share

Cost-share refers to additional resources that the applicant contributes to the total cost of the application, in addition to the requested budget amount of the submitted application. Cost-share is required for grant(s) awarded under this APS.

Applicants are required to provide cost-share of at least 10% of the grant value, demonstrating their commitment to the proposed grant activities in order to be competitive. Cost-share may be in the form of cash or in-kind contributions, including real property, equipment, supplies, and other expendable property. Cost-share can come from local government, other donor, or private sector partner funding that supports activities linked to those proposed by applicants in this APS. Other examples of cost-share include volunteer services and donated office/venue space. To be counted, a cost-share contribution must:

- Be verifiable – The applicant must be willing and able to provide sufficient documentation to support all recorded cost-share.
- Not included as contributions for any other USG-assisted program.
- Necessary and reasonable for efficient and proper accomplishment of the objective(s).

4.5. FULL APPLICATION SUBMISSION GUIDELINES

Applications may be submitted in Vietnamese or English using the form provided in Annex B, and may not be more than fifteen (15) pages, using Arial font size 10pt, single-spaced. The page limit does not include Annexes and CVs of proposed staff as part of the application. Successful applicants who submit applications in Vietnamese will be asked to provide an English version of their application as part of the final award documentation.

Applications (including a technical description, estimated budget and supporting documentation) must be submitted electronically via email to vietnamprocurement@winrock.org with subject line: “APS-01-Full Application: Plastic Pollution and Solid Waste Management [Applicant Organization’s Name].”

Applications must be submitted no later than the time and date indicated in Winrock’s request for full application.

Incomplete or late applications will be marked as such and will be ineligible for review or award; however, Winrock reserves the right to accept and include incomplete or late applications in the review and award process when it is considered within the best interest of Winrock to do so. Applications that are submitted late or incomplete run the risk of **not** being considered for review.

Applications may be withdrawn by written notice via email received at any time before an award is made. Applications may be withdrawn in person by an organization or its authorized representative if the representative’s identity is made known and the representative signs a receipt for the application before award is made.

To be considered eligible for review, at a minimum, a complete submission packet will have the following:

- Received before the closing date and time
- A completed technical application (using Annex B form)
- CVs for proposed key personnel
- Budget including excel budget and budget narrative (using Annex C guidelines)

Receipt time for electronic submissions is when the application is received by Winrock’s Internet Server. Please do not send files in ZIP format.

SECTION 5: APPLICATION EVALUATION AND REVIEW PROCESS

5.1. EVALUATION OF CONCEPT PAPER

Winrock will conduct an initial screening to determine if the applicant meets the minimum eligibility criteria as outlined above. If the applicant passes the initial screening, Concept Paper will be reviewed by a technical evaluation team. If a Concept paper receives a favorable review and the concept is within the project objectives, Winrock will provide specific requirements and instructions for the full application and will invite the organization to submit a Grant application.

If the concept paper is not accepted, Winrock regrets that only successful applicants will be notified due to the volume of applications.

Evaluation Criteria for Concept Note	Points
1. Collective Impact Approach Clarity and appropriateness of proposed collective impact approach, including plan for engaging key stakeholders from government, private sector, and local communities. Collective Impact approach will be evaluated based on two criteria:	60 (total of 1a and 1b below)

a. Likelihood of technical approach leading to measurable improvements in reducing plastic pollution and improving solid waste management.	30
b. Convincing strategy to engage government, private sector, and community actors in an active and sustainable network working together to reduce plastic pollution and improve solid waste management.	30
2. Organizational Capacity Extent of applicant's capacity to address one or more APS objectives. Ability of the applicant to lead a diverse set of stakeholders in a collective impact initiative.	25
3. Creativity of Overall Approach and Collective Impact Partnerships Preference will be given to concept notes that provide innovative approaches to addressing the plastic pollution and solid waste management challenge in Vietnam, for example innovative public-private partnership models.	15
Overall Rating (out of 100 points)	100

5.2. EVALUATION OF FULL APPLICATION

The technical evaluation committee evaluates the Full Application as per criteria indicated in Evaluation Criteria section below. If the Grant application is rejected, the applicant will be formally notified. If the application is approved, the organization will be notified, and the application will proceed to negotiation and possible award stage.

The criteria presented below have been tailored to the requirements of this APS. A total of 100 points are possible for all components of the application. The relative importance of each criterion is indicated by approximate weight by points.

In evaluating the applications, Winrock will examine overall merit and feasibility, as well as specific criteria relevant to each component as elaborated below. Applicants should note that these criteria: (1) serve as the standard against which all applications will be evaluated, and (2) serve to identify the significant matters which applicants should address in their applications.

Technical Evaluation Criteria	Points
1. Collective Impact Approach Clarity and appropriateness of proposed collective impact approach for addressing the objectives of this APS to reduce the impact of plastic pollution in Vietnam. Collective Impact approach will be evaluated based on two criteria:	40 (total of 1a and 1b below)
a. Likelihood of technical approach leading to measurable improvements in reducing plastic pollution through improved solid waste management	20
b. Convincing strategy to engage government, private sector, and community actors in an active and sustainable network working together to reduce plastic pollution and improve solid waste management. Confirmed and/or ongoing partnerships with such actors will be given higher score than partnerships that do not yet have commitment.	20
2. Sustainability Strategy Clearly articulated approach to build long-term sustainability of proposed initiatives to last beyond the period of this grant.	10
3. Organizational Capacity	20

Extent of applicant's capacity to address plastic pollution and solid waste management in Vietnam, including technical and management systems of the applicant. Proven capability of the applicant to motivate and mobilize a diverse set of actors to come together in a cohesive collective impact initiative, for example through public-private partnerships.	
4. Key Personnel Effectiveness and efficiency of overall staffing plan to achieve program objectives. Relevant qualifications, skills, and expertise of key personnel to successfully implement the activity.	15
5. Past Performance Previous or on-going experience implementing similar activities. How well the applicant has performed in the past in delivering results.	15
Overall Rating (out of 100 points)	100

Full applications will be reviewed and evaluated by an evaluation panel using the review criteria indicated above.

Cost applications will not be scored but will be reviewed and evaluated for reasonableness and effectiveness based on the scope of activities being proposed.

It is anticipated that awards will be made within 2 months after the submission deadline for full applications.

SECTION 6: OTHER TERMS AND CONDITIONS

6.1. DISCLAIMERS

- The issuance of this APS does not commit Winrock to make an award to any prospective grantee responding to this APS. Prospective grantees will not be reimbursed for costs incurred in the preparation and submission of an application. Winrock reserves the right to reject any and all applications, or to make an award without further discussion or negotiation.
- All awards will be negotiated, denominated and funded in Viet Nam Dong. All costs funded under the grant must be allowable, allocable and reasonable based on USAID cost principles.

6.2. CONFLICT OF INTEREST

Applicants must provide disclosure of any past, present or future relationships with any parties associated with the issuance, review or management of this APS and anticipated grant. Failure to provide full and open disclosure may result in Winrock having to re-evaluate selection of a potential applicant.

6.3. OTHER APS CONDITIONS

- Applicants must agree and be willing to sign and submit required certifications before a grant is issued.
- For those selected for a grant award, Winrock will conduct a pre-award risk assessment.
- Issuance of grant agreements will be subject to applicable prior written approval by Winrock funder, as needed.
- Individuals are not eligible to receive funding under this APS.
- Application forms should be signed by an authorized agent of the applicant's organization.
- Applicants that submit applications that meet or exceed the evaluation criteria will be notified of next steps in the application process.

Additionally, the following items cannot be purchased under the potential resultant grants:

- Any purchases or activities deemed unnecessary to accomplish grant purposes as determined by Winrock, including any grantee headquarters expenses that are not directly linked to the implementation of the proposed activities
- Private ceremonies, parties, celebrations or "representation" expenses
- Previous obligations and/or bad debts
- Expenses related to overtly religious purposes
- Expenses intended to influence the outcome of elections or other political processes
- Fines and/or penalties
- Creation of endowments
- Alcoholic beverages
- Real property (land, including land improvements, and structures thereto)

The following items are also ineligible or restricted under USAID-funded grants:

- Prohibited goods under USAID eligibility rules, including: military equipment, surveillance equipment, commodities and services for support of police or other law enforcement activities, abortion equipment and services, luxury goods, and gambling equipment, and weather modification equipment
- Restricted goods under USAID eligibility rules, such as agricultural commodities, motor vehicles, including motorcycles, pharmaceuticals, pesticides, used equipment, contraceptive products, USG-owned excess property or fertilizer
- Goods and services whose source and nationality are other than Geographic Code 937 which includes (the United States, the host country, and developing countries other than advanced developing countries, but excluding any prohibited source countries). Complete geographic code guidance can be found in the [Geo Code Reference](#).
- Construction or infrastructure activities of any kind.

SECTION 7: ANNEXES

Annex A – Concept Paper Template
Annex B – Full Application Form
Annex C – Full Application Budget

Annex A. Concept Paper Template

Concept Papers should follow the outline below. Note that the Cover Page does not count towards the four (04) page limit.

1. Cover page

- Name of the applicant and their affiliations (if any).
- Name of the point of contact and their contact information.
- Date of submission.

2. Introduction (approximately ½ page)

- Summary of the proposed initiative, key collaborators, and how this grant would assist in meeting the objectives of the APS.

3. Background (approximately ½ page)

- Summary of the key plastic pollution and solid waste management challenges to be addressed in the proposed initiative, and why the proposed initiative is important in providing a useful solution.

4. Collective Impact Approach (approximately 2 pages)

- Overview of the goals and objectives of the proposed initiative.
- Description and timeline of key activities.
- Expected outcomes.
- Summary of key government, private sector, and community actors to be engaged through this initiative.

5. Sustainability strategy (approximately ½ page)

- Steps the applicant will take to ensure sustainability of collective impact initiative beyond the period of the grant under the continued leadership of the backbone organization, including opportunities for long-term financial and technical support.

6. Project needs and cost

- Provide a basic summary of expected annual budget request needed to support the proposed activities. Concept notes need only include the total amount requested for each year – no additional detailed breakdown of annual budget is required. This information will allow the evaluation committee to confirm that the proposed activities can be completed within the estimated available annual budget available as outlined in Section 2.2.
- Basic summary can be submitted in the following format:

CONCEPT NOTE BUDGET SUMMARY (in VND)					
	Year 1	Year 2	Year 3	Year 4 (if any)	Total
Amount Requested					
Cost-share amount					
Total Budget					

Annex B. Full Application Form

Full Application Cover Page (does not count toward 15 page limit)

GRANTEE INFORMATION	
Name of Applicant	
Address	
Name of Applicant's Authorized Representative	
E-mail Address	
DUNS Number	
Tax ID Number	
Phone Number	
GRANT INFORMATION	
Grant Name	
Location Where Activity will be Performed	
Period of Performance	
BUDGET SUMMARY (Please note that a detailed budget must be included in the submission)	
	Local Currency (VND)
Amount Requested	
Cost-share amount	
Total Budget	

Statement of Liability	
<p>I, the undersigned, being the person responsible in the applicant organization for this project, certify that the information given in this application is true and accurate.</p>	
Name	
Position	
Signature and stamp	
Date	

Full Application Outline (Maximum 15 pages)

<p>Executive Summary: <i>(Summary of proposed collective impact approach, organizational capacity, and expected results)</i></p>
<p>Collective Impact Approach:</p>
<p>Background <i>(Please provide brief and necessary background information on the issues and the problems that the proposed grant will address.)</i></p>
<p>Goals and Objectives <i>(Please state the goal and its corresponding objectives to address the problems identified above.)</i></p>
<p>Collective Impact Strategy <i>(Explanation of how the Applicant expects to engage government, private sector and community actors together in an active network to address the stated challenges)</i></p>
<p>Activities <i>(Please provide a detailed description of all the activities to achieve each objective. Explain the logical connection between the proposed activities and the fulfillment of objectives.)</i></p>
<p>Expected Outcomes and Targets/Deliverables Narrative <i>(What are the expected results that the project will bring about? Please describe how data will be gathered and analyzed, and how performance will be monitored, measured, and reported.)</i></p>
<p>Beneficiaries <i>(Please describe the type and number of beneficiaries.)</i></p>

Project Work-Plan and Timeline <i>(Please provide a summary narrative of the work-plan and timeline in addition to attaching a copy of the proposed work-plan table. Include a description of how the project will be managed and operated administratively; for example, which staff will perform certain tasks.)</i>		
Sustainability <i>(Please describe the measures you will take to ensure sustainability after the end of the grant agreement e.g. capacity building, institutionalization, etc. Please also describe how the organization will allocate its time and manage its existing commitments while also performing this project.)</i>		
Organizational Capacity <i>(Please provide a brief narrative describing your organization's mission and primary activities, management tools used, and financial/accounting systems in place. Please also list annual income over the past three years along with main financial contributors/funders)</i>		
Organizational Background Narrative		
Budget and Financial Capacity		
Year	Annual Income	Financial Contributor/Funder
Organizational Chart <i>(Include an organizational chart of your organization, a list of Board of Directors, and beneficial ownership as an attachment to the Full Technical Application. This attachment does not count towards the 15 page limit).</i>		
Key Personnel <i>(Please list key personnel and short description: e.g. Project Manager, Technical Lead. Insert more rows if needed. Please provide CVs for key personnel, maximum 3 pages per CV.)</i>		
Name	Title	Description
Past Performance <i>(Please describe up to three major projects in which your organization was involved in the past four years, which show the organization's expertise and ability to meet the goals of the proposed grant. These can be related to plastic pollution, solid waste management, environmental pollution, or other similar environmental issues using a collective impact approach)</i>		

1. First Project	
Project Title	
Period of Performance	
Location	
Role of Organization	
Project Objectives	
Project Results	
Total Budget, and actual spending	
Funding Source and Contact Information	
2. Second Project (if applicable)	
Project Title	
Period of Performance	
Location	
Role of Organization	
Project Objectives	
Project Results	
Total Budget, and actual spending	
Funding Source and Contact Information	
3. Third Project (if applicable)	
Project Title	
Period of Performance	
Location	
Role of Organization	
Project Objectives	
Project Results	
Total Budget, and actual spending	
Funding Source and Contact Information	

Annex C. Full Application Budget

Category	Year 1	Year 2	Year 3	Year 4 (if any)	Total Amount
Salaries					
Fringe Benefits					
Consultants					
Travel					
Equipment					
Training/Workshops					
Other Direct Costs (ODCs): supplies					
Indirect Costs, if applicable					
Total					

Guidance for Preparing Detailed Budget

As part of the Full Application, applicants must provide a detailed budget in Excel format, using the template provided in the Request for full application. The budget file must be unlocked and show clear formulas where appropriate.

Applicants should prepare all costs detailed below on an annual basis.

Please include allocation methodology for other direct and indirect costs.

Budget Category	Guidance
Salaries	Position of each staff, daily or monthly rate, the number of days/hours budgeted
Fringe Benefits	Provide information on how fringe benefits are calculated
Consultants	Purpose of consultancy, the daily or monthly rate, the number of days/months
Travel	Number of trips, number of days, destination, transport type and accommodation and other costs.
Equipment	Equipment cost and number of units
Training/Workshops	Venue, Catering Cost, Number of Participants, Travel & Accommodation, Facilitator cost
Other Direct Costs (ODCs): supplies	Other Direct Costs such rent, utilities and any other operational expenses that are being allocated in an equitable manner across all funding streams Unit cost, number of units
Indirect Costs	Can use a de minimis rate of 10% but cannot duplicate any costs already in the budget. Use NICRA if approved rate provided by USG or propose a rate that will be negotiated if application is successful