WINROCK INTERNATIONAL
USAID Reducing Pollution Activity

REQUEST FOR APPLICATION
RFA-6997-22-02
Collective Impact to Reduce Air Pollution

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 Request for Application (RFA) that seeks innovative and creative approaches from eligible Vietnamese non-governmental organizations to develop a collective impact initiative to address the challenge of reducing air pollution from two key sources in Vietnam.

Two (2) separate grants will be issued under this RFA, one for each topic:

> Grant #1: Air Pollution from Open Burning

> Grant #2: Air Pollution from Road Transportation

Winrock invites organizations interested in potential funding to submit applications outlining their approach and proposed activities to build a collective impact initiative that reflects the goals and objectives of the project. *Applicants may submit a proposal for one grant of their choice, or both.*

Winrock will hold an online pre-application conference on 23 August 2022 for potential applicants to learn more about the project and this RFA, and to ask questions. Questions may also be submitted by email to the Winrock Grants Management team following the submission process described in the documentation below.

Full applications received by the submission deadline of 30 September 2022 and meeting eligibility conditions will be considered for evaluation. Applicants should carefully follow all instructions in the RFA documentation that follows.

Winrock expects two (2) separate grants will be issued under this RFA, but reserves the right to award fewer or none based on the quality of applications received and availability of funding.

Sincerely,

Brian Bean
Chief of Party, USAID Reducing Pollution Activity

USAID Reducing Pollution Activity
Request for Application (RFA)

Grant Activity Name:	Collective Impact to Reduce Air Pollution
	Grant #1: Air Pollution from Open Burning *Grant #2: Air Pollution from Road Transportation*
Request for Application (RFA) No:	RFA-6997-22-02
Date RFA Issued:	8/12/2022
Due Date and Time for Questions:	8/26/2022 5:00 PM
Due Date and Time for Response to Questions:	8/30/2022 5:00 PM
RFA Closing Date and Time:	9/30/2022 5:00 PM
Estimated Award Date:	10/31/2022

SECTION 1: PROGRAM DESCRIPTION

1.1 PURPOSE AND BACKGROUND

The purpose of this RFA is to solicit applications from prospective grantees to support Winrock International (Winrock) in the implementation of USAID Reducing Pollution Activity (hereafter referred to "Reducing Pollution Project" or "Project", 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).
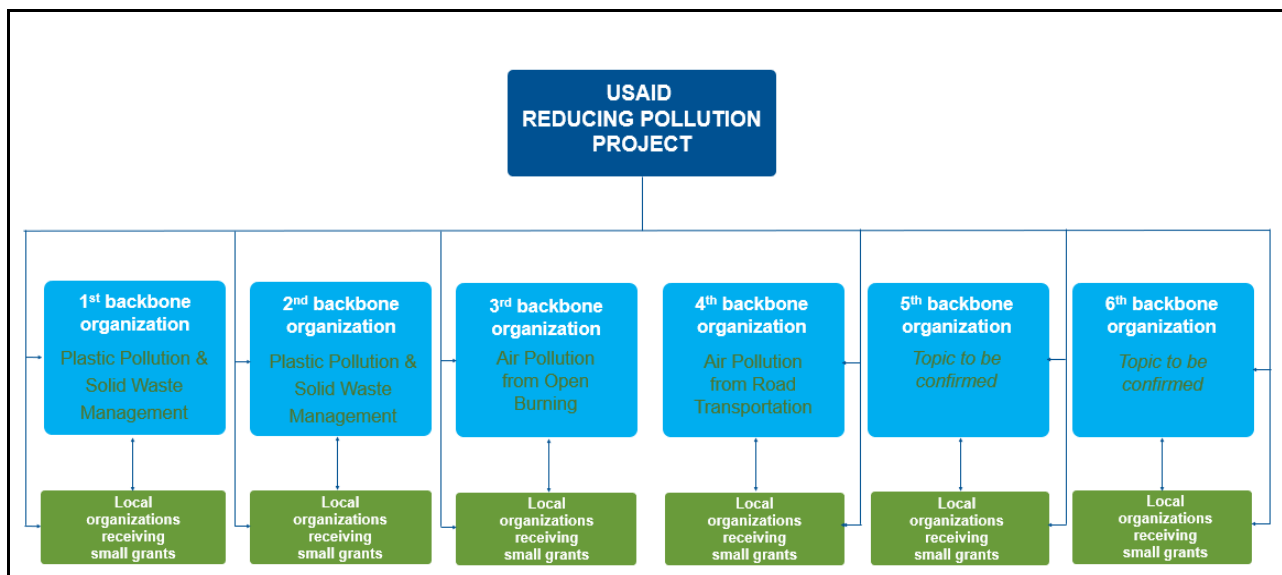
The Reducing Pollution Project is supporting Vietnam's efforts to address environmental pollution challenges through a series of locally driven initiatives using a collective impact approach[1]. Collective impact addresses complex challenges by mobilizing diverse actors to collaborate, identify ways to solve a shared problem, and take actions based on their roles and comparative advantages. The Reducing Pollution Project demonstrates clear connections between environmental benefits and other social benefits, including public health, employment, and sustainable economic growth.

To achieve the ultimate goal of reducing environmental pollution in targeted areas, Winrock will facilitate a portfolio of multi-stakeholder collective impact initiatives (CIIs). 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 governments, academic institutions, and private sectors working together to identify solutions to the pollution challenges. The Reducing Pollution Project expects to identify six different pollution challenges to be addressed through such collective impact initiatives.

As part of each collective impact initiative, the Reducing Pollution Project 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 RFA.

---

[1] For more information about collective impact approach, please see Collective Impact Forum

Each collective impact initiative will follow the collective impact framework to build momentum toward policy development, policy implementation, and behavior changes. This process expects to attain the following intermediate results:

- **Intermediate result 1**: Backbone organizations capacity are strengthened;
- **Intermediate result 2**: CIIs progress toward impact and sustainable goals with strengthened networks of local organizations, government, private sector, and academic institutions working together to prevent, mitigate, and/or reduce environmental pollution; and
- **Intermediate result 3**: Transparency of data and information to inform policy making and promote behavior change is increased.

To measure the above results, currently, the Reducing Pollution Project has the following indicators:

1. Number of laws, policies, regulations, or standards formally proposed, adopted or implemented
2. Percent of organizations with improved performance
3. Number of civil society organizations (CSOs) engaged in advocacy interventions
4. Value ($) of non-donor resources mobilized for local development priorities
5. Number of local mechanisms for citizens to engage their sub-national government
6. Number of persons trained to advance outcomes consistent with gender equality and female empowerment through their roles in public or private sector institutions and organizations
7. Number of direct beneficiaries of Collective Impact Initiatives
8. Number of indirect beneficiaries of Collective Impact Initiatives

Additional indicators related to project goals, such as pollution reduction and/or behaviour change, will be identified based on the selected collective impact initiatives.

This Request for Applications (RFA) is focused on the challenge of reducing air pollution in Vietnam from two key sources of air pollution. *Two separate grants will be issued under this RFA,* one for each topic:

> **Grant #1: Air Pollution from Open Burning**
> **Grant #2: Air Pollution from Road Transportation**

Each selected grantee will serve as the "backbone organization" to lead a collective impact initiative to address the targeted source of air pollution.

1.2 OBJECTIVE OF COLLECTIVE IMPACT INITIATIVES

Environmental pollution in general, and air pollution in particular, is becoming increasingly serious with negative impacts on people's quality of life. Air pollution is harmful to human health and can lead to a range of harmful diseases. The published estimates of the death toll from air pollution cover a wide range, as outlined in the graphic below.
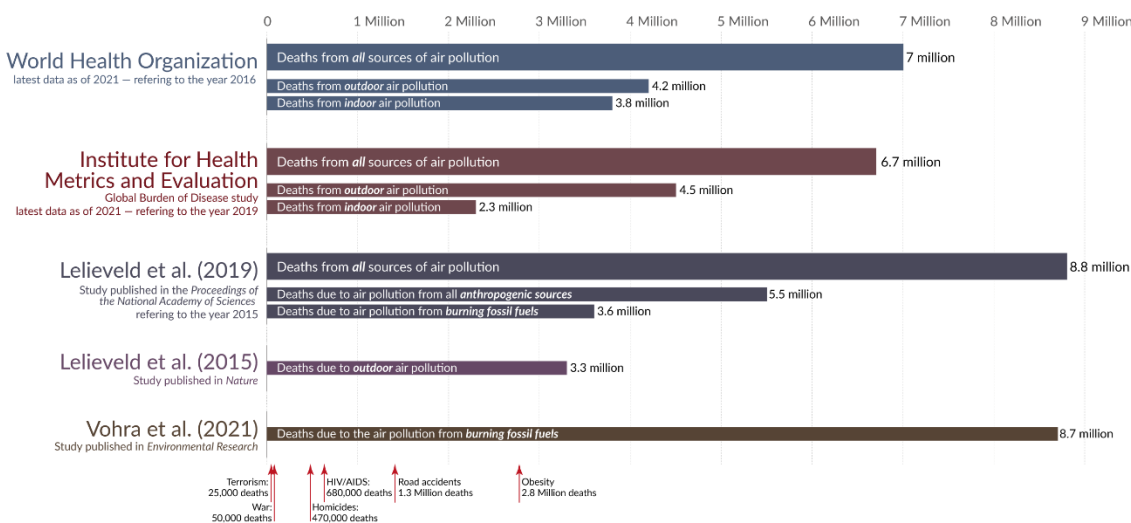

How many people die from air pollution each year?
Estimates of the global death toll from air pollution published in major recent studies

'All sources' includes both anthropogenic and natural sources:
• The largest source of natural air pollution is airborne dust in the world's deserts. Other natural sources are fires, sea spray, pollen, and volcanoes.
• Anthropogenic sources include electricity production; the burning of solid fuels for cooking and heating in poor households; agriculture; industry; and road transport.

Data on annual death tolls from other causes is the latest data from the World Health Organization, UCDP, and Global Terrorism Database as of November 2021.
OurWorldinData.org – Research and data to make progress against the world's largest problems.   Licensed under CC-BY by the author Max Roser

The number of deaths attributed to outdoor air pollution ranges from 3 million to almost 9 million per year. In addition to its effects to human health, air pollution also harms plants and animals, production materials and contributes to global issues such as global warming, decreases in the ozone layer, acid rain, and others.

According to Environment Performance Index 2022[2], Vietnam is currently ranked in the top 10 most air polluted countries in Asia, with the country's air pollution index often reaching dangerous levels. Air pollution in Vietnam is concentrated in big cities and urban areas with increasing dust pollution, especially pollution caused by $PM_{2.5}$ fine dust.

According to the State of PM2.5 in Vietnam in 2019-2020 report, based on multisource data[3], in 2020, 10 out of 25 provinces and cities in the North Region (accounting for 40%) had the average annual concentration of $PM_{2.5}$ fine dust exceeding the national standard[4], including:

- Bac Ninh (30 - 35.5 µg/m3),
- Hung Yen (28.7 - 35.8 µg/m3),
- Hai Duong (25.5 - 34.9 µg/m3)
- Hanoi (21 - 34.6 µg/m3)

---

[2] Wolf, M. J, Emerson, J. W., Esty, D. C., de Sherbinin, A., Wendling, Z. A., et al. (2022). *2022 Environmental Performance Index*. New Haven, CT: Yale Center for Environmental Law & Policy. epi.yale.edu.
[3] VNU and Live&Learn (2021) *State of PM2.5 in Vietnam in 2019-2020 based on multisource data.*
[4] QCVN 05:2013/BTNMT: *Quy chuẩn kỹ thuật quốc gia về chất lượng không khí xung quanh.*

- Thai Binh, Nam Dinh, Hai Phong, Ha Nam, Ninh Binh, and Vinh Phuc.

Ho Chi Minh City ranked 11th among provinces and cities with the highest annual average concentration of PM$_{2.5}$ dust.

According to the same report, the main causes of air pollution came from the following sources:

- Burning agricultural by-products (40%),
- Conventional Cooking (17%),
- Transportation (13%),
- Forest fire (12.7%),
- Industrial activities (11%),
- Thermal power plants (3.3%).
- Other sources (3%)

In order to address these key issues, this RFA focuses on supporting two separate initiatives to reduce air pollution from: i) open burning; and ii) road transportation, with specific objectives and locations as follows.

Grant #1: Air Pollution from Open Burning:

Open burning of agricultural by-products and household waste is a significant source of toxic air pollutants. In many parts of Vietnam, agricultural by-products are still burned in the open and there is no harmonized solution to reduce burning practices. At the same time, many households and communities burn domestic waste because of weakly coordinated garbage collection activities. There is a lack of specific regulations on open burning, limiting opportunities to effectively manage this source of air pollution.

Grant #1 under this RFA seeks to address these challenges and achieve the following objectives:

- Build a network of government, business, and community actors that works together through coordinated activities towards a common agenda of reducing air pollution from open burning
- Enable development and application of innovative technology, tools, and approaches to reduce air pollution from open burning and mitigate its impacts, including through public-private partnerships.
- Identify opportunities for research on specific health risks from air pollution from open burning (further grant funding for such research activities will be funded separately through Reducing Pollution) and/or the impact of open burning on indoor air quality.

Grant #1 will focus on the following geographic locations:

- Hanoi
- Provinces around Hanoi

Grant #2: Air Pollution from Road Transportation:

Transport activities are considered a source of air pollution, especially in urban areas with high traffic density. In 2019, there were 3,673,065 cars in Vietnam (up 12.2% compared to 2018), and tens of millions of bikes and motorbikes in circulation. Passenger transport reached 5,143.1 million trips (up 11.2% compared to 2018). There is a large number of old motorbikes in circulation, and there is no regulation on motorcycle emissions which affects many motorcyclists, mainly low-income people who are traveling by old motorbikes. Regulators have introduced motorbike banning plans for many years and are preparing a roadmap, but in practice this is exceedingly difficult for several reasons. The most direct reason is that

motorbikes are very convenient given the current condition of Vietnam's roads. They provide quick travel options and are convenient to park. Furthermore, people do not believe that banning motorbikes will help fully address the air pollution issue. Meanwhile, the public bus system does not provide wide coverage, especially away from main thoroughfares.

Grant #2 under this RFA seeks to address these challenges and achieve the following objectives:

- Build a network of government, business, and community actors that works together through coordinated activities towards a common agenda of reducing air pollution from road transportation
- Enable development and application of innovative technology, tools, and approaches to reduce air pollution from road transportation and mitigate its impacts, including through public-private partnerships.
- Identify opportunities for research on specific health risks from air pollution from road transportation (further grant funding for such research activities will be funded separately through Reducing Pollution) and/or the impact of road transportation on indoor air quality

Grant #2 will focus on the following geographic locations:

- Hanoi and Ho Chi Minh City

SECTION 2: GRANT INFORMATION

2.1 ANTICIPATED NUMBER OF GRANTS TO BE ISSUED

The USAID Reducing Pollution Project expects to award 2 grants under this RFA but reserves the right to award fewer or none based on the quality of applications received and availability of funding. ***One grant will be for a collective impact initiative focused on reducing air pollution from open burning***, and ***one grant will be for a collective impact initiative focused on air pollution from road transportation.***

2.2 ANTICIPATED START DATE AND DURATION OF GRANTS

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

2.3 ESTIMATED AMOUNT OF GRANTS

The estimated amount to be awarded for an individual grant is between US$100,000 and $125,000 equivalent per year. However, the final amount awarded will depend on activities and final negotiations. The maximum amount for 36 months is $375,000. All awards will be negotiated, denominated and funded in Vietnam Dong.

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.
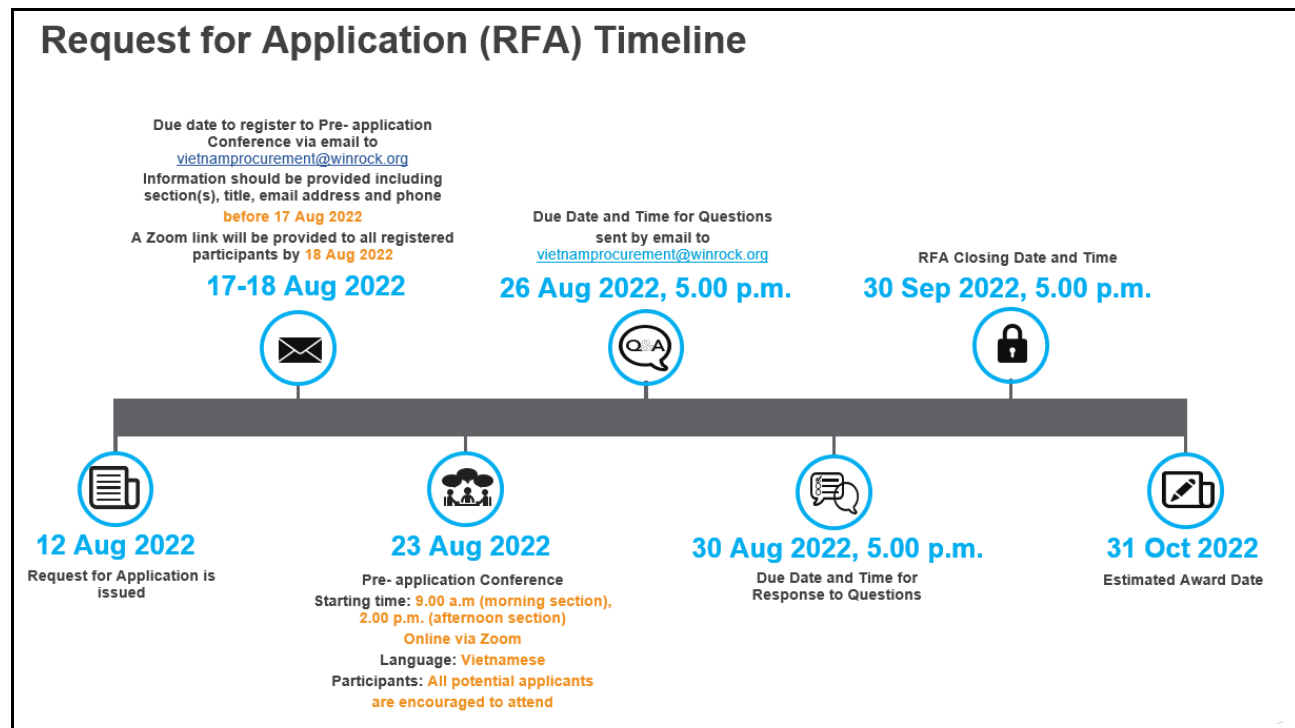
SECTION 3: ELIGIBILITY INFORMATION

ELIGIBLE APPLICANTS

This solicitation is open to Vietnamese non-governmental organizations. This can include traditional not-for-profit NGOs, social enterprises, or similar local 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 SAM Unique Entity ID (UEI) number at the time of award. If the applicant already has a UEI number, it should be included in their application. Otherwise, applicants will be expected to get a UEI number before an award is issued. UEI numbers can be obtained online at https://www.sam.gov
- 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 https://scsanctions.un.org/search/

SECTION 4: INSTRUCTION TO APPLICANTS AND SUBMISSION INFORMATION

4.1. QUESTIONS, COMMUNICATIONS AND PRE-APPLICATION CONFERENCE REGARDING THIS RFA

Request for Application (RFA) Timeline

Due date to register to Pre-application Conference via email to vietnamprocurement@winrock.org
Information should be provided including section(s), title, email address and phone before 17 Aug 2022
A Zoom link will be provided to all registered participants by 18 Aug 2022
17-18 Aug 2022

Due Date and Time for Questions sent by email to vietnamprocurement@winrock.org
26 Aug 2022, 5.00 p.m.

RFA Closing Date and Time
30 Sep 2022, 5.00 p.m.

12 Aug 2022
Request for Application is issued

23 Aug 2022
Pre-application Conference
Starting time: 9.00 a.m (morning section), 2.00 p.m. (afternoon section)
Online via Zoom
Language: Vietnamese
Participants: All potential applicants are encouraged to attend

30 Aug 2022, 5.00 p.m.
Due Date and Time for Response to Questions

31 Oct 2022
Estimated Award Date

Pre-application conference:	All potential applicants are encouraged to attend.
	There are 2 sections in this Pre-application conference:
	Section 1 (in the morning):
	- Introduction of USAID Reducing Pollution - Guidance on how to submit an application for this RFA - Questions and answers related to this RFA
	Section 2 (in the afternoon)
	- Detailed introduction of Collective Impact Approach and how to integrate this approach in a proposed initiative - Detailed information of the Reducing Pollution Project and its indicators - Questions and Answers related to the above topics
	The pre-application conference will be held in Vietnamese language.
	Participants can select to attend one or two of the above sections
	Please access this link https://forms.gle/3Ae1f8oaPsTZreGV9 to register your participation or send an email indicating name(s) of individuals, including section(s) planning to attend, organization, email address and phone number who will attend from your organization to vietnamprocurement@winrock.org by 17 August 2022.
Meeting method:	Online via Zoom
How to attend:	18 August, 2022: A zoom link will be provided to all registered participants.
Time/Date for pre-application conference:	23 August 2022 Morning section: 9 a.m. Afternoon section: 2 p.m.
Questions & Answers related to this RFA	All questions and other communications regarding this RFA should be submitted in writing by email to the Grants Management Team at vietnamprocurement@winrock.org Deadline to receive questions: 26 August, 2022 Written responses to questions will be made available to all applicants as soon as possible after the deadline. Answers are expected to be distributed by 30 August, 2022

4.2. SUBMISSION INSTRUCTIONS

This RFA covers the overall topic of Collective Impact to Reduce Air Pollution. The Reducing Pollution Project has prioritized two priority sources of air pollution to include in this RFA: open burning and road transportation. Through this RFA, the Reducing Pollution Project will issue two separate grants – one for each source.

Applicants may choose to submit one proposal for one topic. If an applicant would like to submit a proposal for both topics, they must submit separate proposals for each topic.

TECHNICAL APPLICATION

Applicants will develop their applications based on their understanding of the initiative'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, Annex A, is provided as an attachment to this RFA.

COST APPLICATION

Cost applications shall be submitted separately from the technical application. Applicants shall submit:

i) A summary budget table (Annex B)

ii) A detailed budget in Microsoft Excel with budget notes in column G (Annex C) to:

provide elements of the proposed activity with sufficient detail to determine if the cost estimate is reasonable and based on supportable facts rather than guesswork. Specifically, budget notes must identify, justify and/or explain:

- each type of unit used,
- the number of units proposed,
- the cost per unit,
- how costs were derived (determined to be reasonable). Costs need to be based on actual quotes, prices paid, or experience. If costs are based on historical knowledge or recent experience, the justification should state by whom the information was provided, when the quoted experience occurred for reviewer easy to understand,
- explanation why each budgetline/cost is necessary; how it matches with the activities proposed in your organization's technical application,
- cost norms to be applied in the budget should be consistent,
- budget for activities should include all expenses for each activity in big catagory line.

Note: The budget notes are very important to help the reviewers 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 notes should demonstrate the relationship between the proposed activities and the budget.

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 RFA.

Applicants are required to provide cost-share of 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 or expenses of other non-USG projects that have similar goals and objectives that are implemented by the Applicant. Other examples of cost-sharing 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).

SUBMISSION GUIDELINES

Applications may be submitted in Vietnamese or English using the form provided in Annex A, B, C and may not be more than 30 pages, using Arial 10pt, single spaced. The page limit does not include Annexes and CVs of proposed staff included as part of the application.

Applications (including a technical description, estimated budget, and supporting documentation) must be submitted electronically via email to vietnamprocurement@winrock.org with subject line: RFA 01 – Air-pollution_ Road Transportation [your organization name] or RFA 01 – Air-pollution_ Open Burning [your organization name]

Applications must be submitted no later than the time and date indicated on the cover page.

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 the award is made.

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

- Received before the closing date and time
- A copy of applicant's valid legal registration
- A completed technical application
- CVs for proposed key personnel with signatures
- A summary Budget table in Microsoft Excel or Microsoft word
- A detailed budget in Microsoft Excel

Receipt time for electronic submissions is when the application is received by Winrock's Internet Server. Hand delivery and hardcopy paper submissions of the application will not be accepted after the stated time on the cover page. Please do not send files in ZIP, RAR format.

By responding to the RFA, applicants agree to a pre-award assessment to examine that the applicant has sound management in the form of financial, administrative, and technical policies and procedures.

SECTION 5: APPLICATION EVALUATION AND REVIEW PROCESS

TECHNICAL REVIEW

The criteria presented below have been tailored to the requirements of this RFA. 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. Awards will be made to the overall highest scores to the responsible applicant(s). 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 as follows:

Evaluation Area	Evaluation Criteria	Points
1. Technical and collective impact approach	**The extent to which the proposed technical approach achieves the objectives and results required in the RFA.**	**45**
1a. Technical approach	- Clear and plausible theory of change/log frame - Outcomes and outputs can be measurable - Proposed initiative should be designed to address as many of the indicators of the Reducing Pollution Project as possible	25
1b. Collective impact approach	- Convincing strategy to engage government, private sector, and community actors in an active and sustainable network working together to reduce air pollution from open burning or road transportation. This includes the establishment of a common agenda, mutually reinforcing activities, shared measurement, platforms/mechanisms for continuous communication and learning among parties. - Confirmed and/or ongoing partnerships with such actors will be given a higher score than partnerships that do not yet have commitment.	20
2. Sustainability of proposed initiative	- Activities can become part of the agenda of local GOV/private sector/CSOs/Communities - Showing a plan to build capacity for relevant stakeholders who would continue the initiative after the end of the project - Targeting to establish a functioning and enabling waste management system or circular economy system (for open burning initiative) - Targeting to establish a functioning and enabling system to prevent air pollution from road transportation (for road transportation initiative) - Targeting issues and/or implementing legal document(s) or establishing an institution that supports the initiative. - Many activities can be replicated in other areas	**15**

Evaluation Area	Evaluation Criteria	Points
	- Including cross-cutting issues such as gender equality and social inclusion	
3. Organizational Capacity	**This evaluates the experience of the applicant to successfully implement the proposed initiative in addition to any existing projects.**	**40**
3a. Key Personnel	- The proposed overall staffing plan is effective and efficient and will achieve program objectives. - Key personnel have the relevant qualifications, skills, and expertise required to successfully implement the activity.	15
3b. Past Performance	- Successful performance of environmental activities in the past.	10
3c. Network capacity	- Experience working with a diverse set of actors	10
3d. Financial capacity	- Annual financial portfolios in the last 3 years	5
Overall Rating (out of 100 points)		**100**

REVIEW PROCESS

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

Cost applications will be evaluated for reasonableness and effectiveness based on the scope of activities being proposed.

Winrock will notify the successful and unsuccessful applicants in writing.

SECTION 6: OTHER TERMS AND CONDITIONS

DISCLAIMERS

The issuance of this solicitation does not commit Winrock to make an award to any prospective grantee responding to this solicitation. 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 VND. All costs funded under the grant must be allowable, allocable, and reasonable.

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 RFA and anticipated grant. Failure to provide full and open disclosure may result in Winrock having to re-evaluate the selection of a potential applicant.

OTHER RFA 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 may be subject to prior written approval by Winrock funder.
- Individuals are not eligible to receive funding under this solicitation.
- 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 any grant awards:

- 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
- Construction or infrastructure activities of any kind.
- 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.
  - (https://www.usaid.gov/sites/default/files/documents/1876/310maa.pdf)
  - (https://www.usaid.gov/sites/default/files/documents/1876/310mab.pdf)
  - (https://www.usaid.gov/sites/default/files/documents/1864/310mac.pdf)

REFERENCE MATERIALS:

- Collective impact forum: Collective Impact Forum
- Project page of Winrock International: Winrock International » Solutions-Focused Partnerships, Data Sharing and Collective Impact to Reduce Pollution in Vietnam

SECTION 7: ANNEXES

Annex A – Grant Application Form
Annex B – Summary RFA Application Budget Template
Annex C – Detailed budget in Microsoft Excel
Annex D – Frequently Asked Questions

APPLICATION RESPONSE TO RFA ON AIR-POLLUTION

To: USAID REDUCING POLLUTION PROJECT
Winrock International in Vietnam

Dear Sir/Madam,

Having examined your Request for Application entitled "Collective Impact to Reduce Air Pollution", we would like to submit our initiative on…………………. Our proposal for project duration and budget are as below:

- Project duration: months
- Total Project budget: VND………… including VND…. for cost share.

Please find enclosed our application dossiers:

- A copy of applicant's valid legal registration
- A completed technical application
- CVs for proposed key personnel
- A summary Budget table in Microsoft Excel or Microsoft Word
- A detailed budget in Microsoft Excel

(Please list other attachments to support your application if any)

I, the undersigned, being the person responsible for the applicant organization for this project, certify that the information given in this application is true and accurate.

Name	
Position	
Signature & Stamp	
Date	

GRANTEE INFORMATION

Name of Applicant	
Address	
Name of Applicant's Authorized Representative	
E-mail Address	
EUI Number	
VAT Number, if applicable	
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		

KEY PERSONNEL (Please list key personnel and short description: e.g., Project Manager, Technical Lead.)

Name	Title	Description

Applicant Capability and Past Performance (Please provide a brief narrative describing your organization's mission and primary activities, and also list annual income over the past three years along with main financial contributors/funders)

Organizational Background Narrative

Organizational Capacity		
Year	Annual Income	Financial Contributor/Funder

Past Performance (Please describe three major projects on environment in which your organization was involved/conducted in the past, which show the organizations expertise and ability to meet the goals of the proposed grant.)

1.   First Project (if applicable)

Project Title	
Period of Performance	
Location	
Role of Organization (leader or partner)	
Project Objectives	
Project Results	
Total Budget	
Funding Source and Contact Information - *Contact point:* - *Tel:* - *Email:*	

2.   Second Project (if applicable)

Project Title	
Period of Performance	
Location	
Role of Organization (leader or partner)	
Project Objectives	
Project Results	
Total Budget	
Funding Source and Contact Information - *Contact point:* - *Tel:* - *Email:*	

3.   Third Project (if applicable)

Project Title	
Period of Performance	
Location	
Role of Organization (leader or partner)	
Project Objectives	
Project Results	
Total Budget	
Funding Source and Contact Information - *Contact point:* - *Tel:* - *Email:*	

Technical Application Outline (maximum 30 pages). The applicants are encouraged to include charts, graphs and tables to present the information.

Program Description:
Background *(Please provide brief and necessary background information on the issues and the problems that the proposed grant will address.)*
Goals, Objectives, and Indicators *(Please state the goal and its corresponding objectives to address the problems identified above. Within each Objective, what are the expected intermediate results that the project will bring about? What is the theory of change for those expected results? What are the performance indicators to measure impact, objectives and intermediate results of this project?) Besides narrative, please add charts and/or graphics as appropriate.*
Technical and Collective Impact Approach/Strategy *(Applicants should highlight how the 5 factors of the collective impact approach iare reflected in the proposed initiative)*
Activities *(Please provide a detailed description of all the key activities to achieve each objective. Explain the logical connection between the proposed activities and the fulfillment of objectives. Please identify key deliverables associated with major activities)*
Direct and indirect Beneficiaries *(Please describe the type and number of beneficiaries.)*
Project Work-Plan and Timeline (*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.)*

Sustainability (*Please describe the measures you will take to ensure sustainability after the end of the grant agreement e.g., institutionalization, capacity building, replication etc. Please also describe how the organization will allocate its time and manage its existing commitments while also performing this project.*)

Attachments: Include any necessary attachments in support of your application.

Annex B. Summary RFA Application Budget

Category	Amount (VND)
Salaries	
Fringe Benefits	
Consultants	
Travel	
Equipment	
Supplies	
Training/Workshops	
Subawards	
Other Direct Costs (ODCs)	
Indirect Costs	
Other	
Total	

Guidance for Preparing Detailed Budget

If the budget is more than one year, please 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
Supplies	Unit cost, number of units
Training/Workshops	Venue, Catering Cost, Number of Participants, Travel & Accommodation, Facilitator cost
Subawards	Total amount to be provided for each subaward, purpose and state if name of organization is known
Other Direct Costs (ODCs)	Other Direct Costs such rent, utilities and any other operational expenses that are being allocated in an equitable manner across all funding streams
Indirect Costs	Can use a de minimis rate of ut 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
Other	Any other costs, must detail unit cost and total number of units

Annex C. Detailed budget in Microsoft Excel

Please use the RFA Detailed Budget template below:

BUDGET TEMPLATE

Name of organisation:
Project Start Date:
Project End Date:
Currency: VND

S/N	LINE ITEMS	Unit	Quantity	Cost (VND)	Total (VND)	Justification (Provide clearly explanation why each budget line/cost is necessary; how it matches with the activities proposed in your organization's technical application, basis for cost norms to be applied, Budget for activities should include all expenses for each activity in big category line	YEAR 1 (VND)	YEAR 2 (VND)	YEAR 3 (VND)	TOTAL COST (VND)
I	SALARY									
I.a.	Key personnel									
I.b.	Other personnel									
II	FRINGE									
II. a	Social Insurance, HI, and UI									
II. b	Other staff benefit (should be in detail)									
III	CONSULTANT									
III.a.	Type/categories of consultants									
IV	TRAVEL & TRANSPORTATION									
IV.a	Airfare									
IV.b	Perdiem									
IV.c	Transportation cost									

V	EQUIPMENT & SUPPLIES									
VI	OTHER DIRECT COSTS									
VI.a.	Office costs									
VI.b.	Meeting costs									
VI.c	Training costs									
VI.d	Other activities costs									
	TOTAL DIRECT COST									
VII	INDIRECT COST									
	TOTAL COST									
VIII	COST SHARE									
	TOTAL COSTS PLUS COST SHARE									

STT	Câu hỏi	Trả lời
1	Tổ chức của chúng tôi có giấy phép kinh doanh doanh nghiệp xã hội và có mã số DUNS. Xin cho biết liệu chúng tôi có đủ điều kiện tham gia *Our organization has a social enterprise business license, and a DUNS number. We are wondering if we would be considered an eligible organization?* Doanh nghiệp xã hội được thành lập theo luật Việt Nam có thể đăng ký cơ hội nhận tài trợ này không hay chỉ giới hạn cho các tổ chức phi lợi nhuận trong nước? *Can social enterprises under Vietnamese law apply for this funding opportunity or is it solely limited to non-profit organizations?*	• Doanh nghiệp xã hội được xem là hợp lệ để nộp đề xuất dự án theo thông báo RFA này, nếu như có đăng ký hợp pháp hoặc được phép hoạt động kinh doanh tại Việt Nam và không thuộc cơ quan chính phủ. Theo quy định mới mã số DUNS sẽ được chuyển đổi thành mã số định danh (UEI) nên nếu được lựa chọn để trao tài trợ, đơn vị nộp hồ sơ dự án cần truy cập vào đường link https://sam.gov và làm theo hướng dẫn để nhận được mã số UEI. • *Social enterprises are eligible to submit concept notes under this RFA, as long as they are legally registered or otherwise authorized to conduct business in Vietnam and non-Government organization.* *According to the new regulations, the DUNS number will be converted to Unique Entity ID (UEI) number, if the applicant is selected to award a grant, the applicant needs to access the link https://sam.gov and follow the instructions to receive the UEI number.*
2	Liên hiệp các hội khoa học kỹ thuật hoặc DN tư nhân thì có hợp lệ và có được tham gia ko? *Are the Union of Science and Technology Associations and private enterprises eligible to participate?* Nhóm nòng cốt phải là tổ chức phi chính phủ, vậy trường và viện có được tham gia không? *The backbone organization must be an NGO, so are schools and institutes eligible?* Đề nghị làm rõ tổ chức nồng cốt là dựa trên những tiêu chí như thế nào? Hay là các tổ chức tự đề xuất theo sự thống nhất? *Can you clarify what criteria for the backbone organization is based on? Or are organizations/members of network self-proposed by consensus?*	• Khoản tài trợ này được dành cho các tổ chức có tư cách pháp nhân tại Việt Nam, hoạt động độc lập với chính phủ về cả tài chính và nhân sự. • Tổ chức/các tổ chức được chọn theo RFA này sẽ trở thành tổ chức nòng cốt và sẽ được nhận tài trợ từ dự án để dẫn dắt mạng lưới giải quyết vấn đề ô nhiễm về không khí • Tổ chức nòng cốt sẽ huy động một mạng lưới hoạt động tích cực của các tổ chức địa phương, bao gồm cơ quan chính phủ, doanh nghiệp, cộng đồng và các tổ chức phi chính phủ khác. Tổ chức nộp đơn có thể xác định các tổ chức địa phương trong đề xuất ý tưởng, tuy nhiên, các tổ chức địa phương khác cũng có thể được bổ sung vào mạng lưới sau khi bắt đầu. • Khi mạng lưới bắt đầu hoạt động, Winrock cũng sẽ cung cấp thêm các khoản tài trợ nhỏ cho các nhóm cộng đồng, viện nghiên cứu và trường đại học để hỗ trợ các mục tiêu của mạng lưới • *This grant is intended for organizations who are legally registered in Vietnam and operate independently of the government in both finance and personnel.* • *The selected grantee(s) under this RFA will become the backbone organization and will receive funding from the*

STT	Câu hỏi	Trả lời
	Xin cho hỏi tổ chức nòng cốt có phải là chủ dự án đề xuất sáng kiến, còn tổ chức địa phương cùng phối hợp triển khai? *May I ask if the backbone organization is the project owner who proposes the initiative, and the local organization who coordinates the implementation?* Nhóm nòng cốt đề cập trong bài có đặc điểm như thế nào, đến từ đâu, chọn thế nào để gọi là nhóm nòng cốt, trong công việc được kết nối với nhau thế nào? *What are the characteristics of the backbone organizations, where do they come from, how do they choose to be the backbone organization, and how they are connected?*	*project to lead the initiative's network to address air-pollution.* • *The backbone organization will be expected to mobilize an active network of local organizations, including government, business, communities, and other NGOs. The applicant may identify collaborating local organizations in their concept paper, but it is expected that other local organizations will join the network after it starts.* • *Once the network starts, Winrock will also provide additional small grants to community groups, research institutes, and universities to support the network's goals.*
3	Tổng số tiền tài trợ tối đa cho một dự án là bao nhiêu? Tôi thấy số tiền tương đương cho 1 năm là từ 100-125 ngàn USD. Vậy là khoảng từ 300-375 ngàn USD cho một dự án 3 năm có đúng không? *What would be the maximum total grant amount for a single project? I am seeing the equivalent of USD 100,000-125,000 p.a. = USD 300,000-375,000 USD for a 3-year project?*	• Theo trang 5 của RFA, dựa trên khả năng ngân sách ước tính hàng năm, Các đề xuất dự án cần phải nằm trong phạm vi ngân sách ước tính từ 100,000-125,000 đô la mỗi năm. Một sáng kiến được đề xuất thực hiện trong 3 năm thì tổng ngân sách ước tính sẽ khoảng từ 300,000-375,000 Đô la. • *Referring to page 5 of the RFA, based on estimated annual budget availability, proposed concepts should be within the estimated budget range of $100,000-125,000 per year. A proposed 3-year initiative should be in the range of total estimated budget of $300,000-375,000.*
4	Các tổ chức này có cần tham gia quy trình đánh giá trước khi nhận tài trợ không? *Do these organizations need to participate in the pre-award risk assessment process before receiving funding?*	• Tất cả những tổ chức nhận tài trợ sẽ phải hoàn thành đánh giá rủi ro trước khi thỏa thuận tài trợ được hoàn thiện. • *All grantees will complete a pre-award risk assessment before their grant agreement can be finalized.*
5	Winrock có hoạt động nào để kết nối các tổ chức có các sáng kiến small grant tiềm năng với các tổ chức nòng cốt để trao đổi nhằm apply các sáng kiến hiệu quả nhất ko? *Will Winrock have any activities to connect potential small grantees with backbone organizations to exchange ideas and help develop the most effective initiatives?*	• Winrock với vài trò giám sát, điều phối và kết nối các tổ chức nòng cốt, đồng thời hỗ trợ xác định các tổ chức địa phương thích hợp cho các khoản tài trợ nhỏ. • Winrock sẽ tổ chức các hoạt động để kết nối các tổ chức trong phạm vi 1 sáng kiến và giữa các sáng kiến khác nhau của dự án • *Winrock will take the role of supervising, coordinating, and connecting backbone organizations, and assisting to identify appropriate local organizations for small grants. Winrock will organize activities to connect organizations both within an initiative and across different project initiatives.*

STT	Câu hỏi	Trả lời
6	Vốn đối ứng của tổ chức địa phương thế nào đối với từng giai đoạn? *How is the local organization's cost share for each period?*	• Các tổ chức tham gia được yêu cầu góp đối ứng bằng 10% của ngân sách đề xuất được tài trợ.Tỷ lệ vốn đối ứng trong từng năm có thể khác nhau nhưng tổng vốn đối ứng cho cả giai đoạn được tài trợ phải đạt được ít nhất 10%. • *Applicants are required to contribute a cost share of at least 10% of the requested grant amount. The cost share percentage in each year may vary, but the total cost share amount over the full grant period must reach at least 10%.*
7	Vốn đối ứng nếu đóng góp một phần lương của nhân sự làm dự án có được không? *Is it possible for the cost-share to come from a part of the project's staff's salary?*	• Lương nhân sự có thể được dùng làm vốn đối ứng, có thể là tiền lương thực tế hoặc là thời gian làm việc của nhân sự nếu các khoản chi phí này không được tính vào chi phí của bất cứ dự án nào khác của tổ chức. Lưu ý rằng không được dùng các dự án khác do chính phủ Mỹ tài trợ làm vốn đối ứng. • *Personnel salaries can be used as cost-share, which can be actual wages or hours worked by employees, if these costs are not charged to any other project of the organization. Note that cost share cannot come from other US Government funded projects or activities.*
8	Key Personnel: Nhân sự chủ chốt: - Số lượng nhân sự tối đa theo quy định chương trình là bao nhiêu? *What is the maximum number of employees according to the program regulations?* - Trong CV nhân sự có cần cung cấp bằng đại học, chứng chỉ liên quan không? *Do we need to provide a degree or relevant certificate with the CV of proposed staff?* - Một số nhân sự có thể outsource được không? *Can we hire some outsourced personnel?*	• Số lượng nhân sự nên được xem xét đề xuất phù hợp với yêu cầu công việc và theo thông lệ tiêu chuẩn của đơn vị nộp đề xuất. • *The number of proposed staff should be what is required to meet the work's requirements and should be reasonable and according to the standard practices of the applicant.* • Chỉ cần nộp CV nhân sự. Tuy nhiên, đơn vị nộp đề xuất có thể bổ sung bằng cấp hoặc chứng chỉ liên quan nếu thấy cần thiết và hỗ trợ cho đề xuất của đơn vị. • *Only a CV is required. However, the applicant may provide a degree or certificate if they feel it gives a stronger justification.* • Có, nhân sự thuê ngoài có thể được phép nếu tổ chức không có nhân sự phù hợp tại đơn vị. • *Yes, outsourced personnel can be hired if there are no capable personnel in-house.*
9	Hai đơn vị có thể đứng chung một dự án được không ạ? *Can two organizations cooperate to lead one project?*	• Có thể 1 hoặc nhiều tổ chức tham gia theo hình thức liên danh, liên kết, tuy nhiên cần 1 tổ chức đại diện đứng đầu liên danh, chịu trách nhiệm nộp ý tưởng và là đầu mối để liên hệ đồng thời là Tổ chức nhận tài trợ. Winrock không chia khoản tài trợ này thành nhiều khoản tài trợ nhỏ hơn cho các thành viên khác trong liên danh.

STT	Câu hỏi	Trả lời
		• *It is possible for multiple organizations to cooperate in the form of a consortium. However, a lead organization is required to submit the concept paper and to serve as the focal point of contact and serve as the grantee. Winrock cannot split the grant into multiple grants to different consortium members.*