

## WINROCK INTERNATIONAL USAID Reducing Pollution Activity

*Hanoi, 29 August 2024*

### REQUEST FOR APPLICATION RFA-6997-24-22

Winrock International (Winrock) is implementing the Reducing Pollution Project, funded by the United States Agency for International Development (USAID), in close collaboration with Project Management Unit under the Pollution Control Department (PCD) as the Project Owner and the Ministry of Natural Resources and Environment (MONRE) as the Managing Agency. 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.

To achieve the ultimate goal of sustaining and expanding reduction in environmental pollution in targeted areas, in addition to implementing collective impact initiatives, the Project supports the Government of Vietnam (GVN) to develop appropriate legal and institutional frameworks for effective implementation of the Environmental Protection Law (2020). Within the 2024 workplan, the project is supporting PCD to strengthen the methodological foundation on carrying capacity assessment related to water quality management in river basins.

This support aims to equip PCD with a more solid methodology and technical foundation for water environmental quality management in river basins. Through this activity, Winrock would also enhance PCD's capacity to guide localities in assessing their discharge capacity for effective management and control over producers of waste and water source quality management. Implementing this assignment will help PCD to consult widely and have working sessions with relevant parties, thereby strengthening MONRE's relationships with other agencies, ministries, departments and branches, and producers of waste. This support provides the foundation and sets precedent for future implementation of water source management regulations.

Winrock is pleased to announce this Request for Application (RFA) **“Technical support to strengthen the methodological foundation on carrying capacity assessment related to water quality management in river basins”**. Through this RFA, we seek to identify and collaborate with capable Vietnamese non-governmental organizations, social enterprises and research institutions that possess the expertise and capacity to drive this initiative forward.

We look forward to receiving your application and are excited about the potential impact of our collective efforts to reduce pollution and promote sustainable development in Vietnam. Winrock invites organizations interested in potential funding to submit applications outlining their approach and proposed activities that reflects the goals and objectives of the project.





To learn more about the project and this RFA, interested potential applicants should submit their questions by email to the Winrock Awards Management team following the submission process described in the documentation below by 6 September 2024. Full applications received by the submission deadline by 30 September 2024 and meeting the eligibility conditions noted in this RFA will be considered for evaluation.

Winrock expects to issue one (1) award under this RFA but reserves the right to award none based on the quality of applications received and the availability of funding.

Sincerely,



*Bikash Raj Pandey*  
Bikash Pandey  
Acting Chief of Party, USAID Reducing Pollution Project



## USAID Reducing Pollution Project Request for Application (RFA)

<b>Award Activity Name:</b>	<b>Technical support to strengthen the methodological foundation on carrying capacity assessment related to water quality management in river basins</b>
Request for Application (RFA) No:	RFA-6997-24-22
Date RFP Issued:	8/29/2024
Due Date and Time for Questions:	9/06/2024
Due Date and Time for Response to Questions:	9/10/2024
RFP Closing Date and Time:	09/30/2024
Estimated Award Date:	10/31/2024

### SECTION 1: PROGRAM DESCRIPTION

#### 1. Background:

This Request for Proposals (RFP) solicits proposals from non-governmental Vietnamese organizations with suitable capacity and experience to support Winrock International (Winrock) and PCD in implementing “**Technical support to strengthen the methodological foundation on carrying capacity assessment related to water quality management in river basins**”.

Assessments on loading capacity and wastewater receiving capacity are universally used for licensing wastewater discharge into water sources such as rivers and lakes. The new Law on Water Resources, which was amended in 2023, no longer regulates these parameters, leading to a gap in technical and legal foundation for issuing licenses. There is currently a lack of standard procedures, guidance, evaluation methodology and criteria for completing this carrying capacity assessment, leading to an absence of uniformity in how the assessment is performed and resulting in inconsistent procedures for issuance of licenses.

Considering these challenges, the Deputy Minister of Natural Resources and Environment assigned the Pollution Control Department (PCD) to research and review current regulations and present the results to the Ministry of Natural Resources and Environment and affected localities and recommend solutions to increase regulatory efficiency and improve quality of the water quality management nationwide. At the request of PCD, Winrock plans to provide technical support through a qualified entity, to strengthen the methodological foundation for assessing carrying capacity towards management of water quality in river basins to improve surface water quality management and reduce water pollution to comply with the Environmental Protection Law (2020).

#### 2. Purpose – Objective

**Purpose:** Support the development of the legal framework for managing discharge quotas into river and lake water sources. This framework aims to strengthen the enforcement of regulations on surface water quality management, reduce water pollution, and restore surface water quality in inter-provincial and intra-provincial rivers and lakes. The legal framework will thereby meet the requirements of the Law on Environmental Protection 2020 and enhance the law’s implementation.

**Objective:** Support the PCD and the MONRE to strengthen the technical foundation and methodology for assessing pollution levels and loading capacity and wastewater receiving capacity of water sources with the goal of developing a water quality management plan in river basins; and on that basis, enabling PCD to develop and submit necessary inputs for issuing legal documents and guiding documents to gradually control and minimize pollution in river basins and lakes.

### 3. Main tasks

(1) Research and review international experiences on the assessment of loading capacity of rivers, lakes, inter-provincial and intra-provincial water sources and the allocation and management of discharge quotas.

(2) Review, evaluate and identify inadequacies in implementing regulations and management related to the process of planning, statistical investigation, inventory of wastewater sources, and assessment of loading capacity, wastewater receiving capacity and situations of implementation, selection, application of methods (direct, indirect, model), planning for water quality management; process and procedures for announcing and supervising the implementation of surface water quality management plans after publication.

(3) Review, check and evaluate the results of statistical investigations; inventory of waste sources; calculate and assess the loading capacity and wastewater receiving capacity of 3 inter-provincial river basins (i) in the North: Red River; ii) in the South: Dong Nai River; iii) in the Central: Kon river) and 12 intra-provincial river basins (Trà Vinh, Hà Giang, Lạng Sơn, Bình Định, Cà Mau, Hải Phòng, Hòa Bình, Quảng Bình, Sơn La, Tiền Giang, Quảng Ninh, Gia Lai), to identify inadequacies and problems during the process of implementation, approval and publication.

(4) Develop criteria to identify inter-provincial and intra-provincial rivers, lakes, and water sources nationwide that play an important role in terms of economic and social development and environmental protection that require a water quality management plan.

(5) Develop technical instructions on (a) investigation, classification, assessment, inventory and statistics of waste sources to assess the loading capacity; (b) assessment method of loading capacity of river basins (with flows) and lakes (with or without flows); (c) Technical methods for managing wastewater discharge quotas for inter-provincial and intra-provincial rivers and lakes in accordance with economic and social development requirements.

(6) Carry out consultations with provincial leaders, local governments, industries, trade unions, NGOs, and people living in riparian areas of rivers and lakes in each of three regions of Vietnam (the North, the Central and the South) to get feedback on how the proposed loading regulations will affect them. The concerned community groups and local people will be represented and included in these consultations, with an emphasis on vulnerable groups. Feedback, concerns and discussions from these consultations will be well-documented in the final report and integrated into the pilot criteria and draft guidelines.

(7) Design and implement pilot applications to evaluate the assessment results of loading capacity of a specific river basin in order to complete draft guidelines.

- Select the river segment according to the criteria developed in Activity (4)
- Pilot implementation of the 3 guidelines developed in Activity (5), specifically:
  - Follow the guideline (a) in Activity (5), investigation (households living around the selected river segment, production households and businesses that discharge waste into the selected river segment, local organizations and local authorities involved in monitoring and managing of water quality in selected river segment)

- Take actual samples at the selected river segment, analyze about 5-7 water quality parameters of the selected river segment according to QCVN 08-MT:2015/BTNMT and WQI
- From the investigation and sampling data, apply the formula developed in the guideline (b) in Activity (5) and calculate the discharge capacity of that river segment. Verify the calculation results against QCVN 08-MT:2015/BTNMT and WQI
- Finalize the results of calculating the discharge capacity of the selected river segment and allocate discharge levels to each object in the river segment according to the guideline (c) in Activity (5).
- Organize technical meetings and consultation workshops on the results of calculation and allocation of discharge levels
- Finalize 3 technical guidelines in Activity (5)
- Include comprehensive findings on the impacts of suggested guidelines on local people in the river basins. Document the positive and negative effects and propose solutions to address issues and concerns.

#### 4. Deliverables and expected partners

No.	Deliverables	Expected partners
1	Report with research on existing methodologies, including summary of international experiences, on assessing the loading capacity of rivers, lakes, inter-provincial and intra-provincial water sources and the allocation and management of discharge quotas.	<ul style="list-style-type: none"> <li>- Department of Environmental Pollution Control</li> <li>- Department of Water Resources Management</li> <li>- Other international and non-governmental organizations (NGOs) in Vietnam</li> </ul>
2	Report on review and assessment, identifying inadequacies in regulations and management related to the process of planning, statistical investigation, and inventory of wastewater sources flowing into river basins.	<ul style="list-style-type: none"> <li>- Department of Environmental Pollution Control</li> <li>- Department of Water Resources Management</li> <li>- Department of Natural Resources and Environment of provinces and cities</li> <li>- Other international and non-governmental organizations (NGOs) in Vietnam</li> </ul>
3	Report on review and appraisal of the implementation of assessment of loading capacity and wastewater receiving capacity in three (3) inter-provincial river basins (i) in the North: Red River; ii) in the South: Dong Nai River; iii) in the Central: Kon river).	<ul style="list-style-type: none"> <li>- Department of Environmental Pollution Control</li> <li>- Department of Water Resources Management</li> <li>- Department of Natural Resources and Environment of provinces and cities</li> <li>- Other international and non-governmental organizations (NGOs) in Vietnam</li> </ul>
4	Report on review and assessment of water quality management plans in provinces that have already issued them.	<ul style="list-style-type: none"> <li>- Department of Environmental Pollution Control</li> </ul>

No.	Deliverables	Expected partners
		<ul style="list-style-type: none"> <li>- Department of Natural Resources and Environment of provinces and cities</li> </ul>
5	Report on review and summary of the legal basis, conditions, and processes for publishing monitoring information on surface water quality management plans.	<ul style="list-style-type: none"> <li>- Department of Environmental Pollution Control</li> <li>- Department of Water Resources Management</li> </ul>
6	Report on assessment, review, inspection and evaluation of statistical investigation results, inventory of waste sources, calculation and assessment of loading capacity and wastewater receiving capacity of 3 inter-provincial river basins (i) in the North: Red River; ii) in the South: Dong Nai River; iii) in the Central: Kon river) and 12 intra-provincial river basins (Trà Vinh, Hà Giang, Lạng Sơn, Bình Định, Cà Mau, Hải Phòng, Hòa Bình, Quảng Bình, Sơn La, Tiền Giang, Quảng Ninh, Gia Lai),	<ul style="list-style-type: none"> <li>- Department of Environmental Pollution Control</li> <li>- National Center for Water Resources Planning and Investigation</li> <li>- Department of Natural Resources and Environment of provinces and cities</li> <li>- Other international and non-governmental organizations (NGOs) in Vietnam</li> </ul>
7	Written guidance on the development of criteria to identify inter-provincial and intra-provincial rivers, lakes, and water sources that play important roles in the economic and social development and environmental protection that need to develop a water Quality Management Plan.	<ul style="list-style-type: none"> <li>- Department of Environmental Pollution Control</li> <li>- Department of Water Resources Management</li> <li>- Other international and non-governmental organizations (NGOs) in Vietnam</li> </ul>
8	Draft technical manual on investigation, classification and assessment of waste sources, Draft Manual on assessing the loading capacity of river and lake basins, Draft Manual on guiding the management of wastewater discharge quotas for inter-provincial and intra-provincial rivers and lakes	<ul style="list-style-type: none"> <li>- Department of Environmental Pollution Control</li> <li>- Department of Water Resources Management</li> <li>- Other international and non-governmental organizations (NGOs) in Vietnam</li> </ul>
9	Report evaluating the efficiency of pilot criteria and guidelines for assessing the loading capacity of one river basin. Report will include how the pilot criteria and assessment guidance impacted different local groups of people, in at least one river basin.	<ul style="list-style-type: none"> <li>- Department of Environmental Pollution Control</li> <li>- Department of Water Resources Management</li> <li>- Other international and non-governmental organizations (NGOs) in Vietnam</li> </ul>
10	Final draft of the following manuals:	<ul style="list-style-type: none"> <li>- Department of Environmental Pollution Control</li> <li>- Department of Water Resources Management</li> </ul>

No.	Deliverables	Expected partners
	A) Technical manual on investigation, classification and assessment of waste sources after piloting for submission for approval  B) Final draft Manual on assessing the loading capacity of river and lake basins after piloting for submission for approval  C) Final draft Manual on guiding the management of wastewater discharge quotas for inter-provincial and intra-provincial rivers and lakes after piloting for submission for approval	

### 5. Planning period

Starting from November 2024 and expected ending before December 31, 2025

Month	1 <sup>st</sup>	2 <sup>nd</sup>	3 <sup>rd</sup>	4 <sup>th</sup>	5 <sup>th</sup>	6 <sup>th</sup>	7 <sup>th</sup>	8 <sup>th</sup>	9 <sup>th</sup>	10 <sup>s</sup> <sub>t</sub>	11 <sup>th</sup>	12 <sup>n</sup> <sub>d</sub>	13 <sup>th</sup>	14 <sup>th</sup>	15 <sup>th</sup>
Develop terms of reference (TOR) for the project and select contractors	██████████														
Review documents and data			██████████												
On-field survey				██████████											
Establish a Guidance Framework						██████████									
Develop instructions								██████████							
Implement pilot application											██████████				
Consult with relevant parties and complete reports												██████████			



## SECTION 2: AWARD INFORMATION

### 2.1 ANTICIPATED NUMBER OF AWARDS TO BE ISSUED

The USAID Reducing Pollution Project expects to award 1 award under this RFA but reserves the right to award none based on the quality of applications received and availability of funding.

### 2.2 ANTICIPATED START DATE AND DURATION OF AWARDS

The anticipated start date for this award is on/about October 31, 2024. The anticipated period of performance for individual awards is from the date of award to 31/12/2025, depending on the negotiated award activities.

### 2.3 ESTIMATED AMOUNT OF AWARDS

The estimated amount to be awarded for an individual award is a max of \$250,000. However, the final amount awarded will depend on activities and final negotiations. All awards will be negotiated, denominated and funded in Vietnam Dong.

### 2.4 TYPE OF AWARDS TO BE ISSUED

Winrock will determine the appropriate award 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

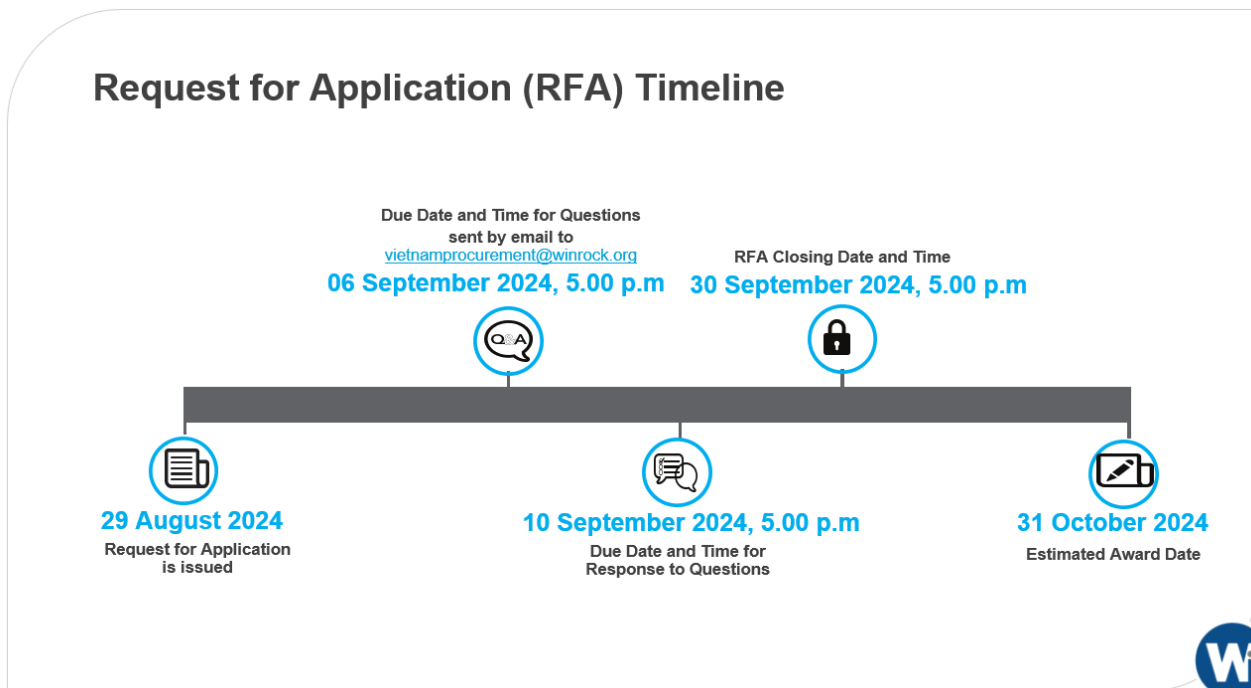
This solicitation is open to Vietnamese non-governmental organizations. This can include traditional not-for-profit NGOs, social enterprises, research organizations or similar local organizations. To be minimally eligible for funding, applicants must comply with the following conditions:

- 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".
- 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 REGARDING THIS RFA



<p>Questions &amp; Answers related to this RFA</p>	<p>All questions and other communications regarding this RFA should be submitted in writing by email to the Awards Management Team at <a href="mailto:vietnamprocurement@winrock.org">vietnamprocurement@winrock.org</a></p> <p>Deadline to receive questions: 06 September 2024</p> <p>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 10 September 2024</p>
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### 4.2. SUBMISSION INSTRUCTIONS

#### 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 the Budget application (Annex B – Budget application template) in Microsoft Excel including a sheet on Milestones and deliverables with budget to provide clear deliverables and budget required for each milestone and a detailed budget sheet with budget notes in column G 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 budget line/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 category 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 not required for award(s) awarded under this RFA.

## 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 [vieta procurement@winrock.org](mailto:vieta procurement@winrock.org) with the subject line: *RFA 6997 –24 - 22 name of activity - [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 budget application in Microsoft Excel including a sheet on Milestones and deliverables with budget and a detailed budget sheet.

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
<b>1. Technical and collective impact approach</b>	<b>The extent to which the proposed technical approach achieves the objectives and results required in the RFA.</b>	<b>50</b>
1a. Technical approach	<ul style="list-style-type: none"> <li>- Understand the objective and content of the task</li> <li>- Approach and methodology suitable for the activity. Research methods are closely linked to the content of the problem to be researched. The following methods should be used: i) Methods of collection, statistics and synthesis of documents; ii) Investigation and field survey methods; iii) Model method; iv) System analysis methods; v) Consulting and expert methods;</li> <li>- Clear and feasible implementation plan, including timelines, milestones and deliverables. The plan should demonstrate a logical progression from research and analysis to practical application. The applicant should demonstrate a clear understanding of potential challenges and propose effective solutions.</li> <li>- Proposed activities and budget are appropriate.</li> </ul>	30

Evaluation Area	Evaluation Criteria	Points
1b. Collective impact approach	<ul style="list-style-type: none"> <li>- Convincing strategy to ensure wide consultation with stakeholders including government agencies, local stakeholders, community groups, industry representatives, and NGOs through sharing of findings and receiving feedback as part of a CLA methodology.</li> <li>- The strategy should demonstrate a commitment to inclusive and participatory processes.</li> </ul>	20
<b>2. Key Personnel for the implementation</b>	<ul style="list-style-type: none"> <li>- The proposed overall staffing plan is effective and efficient and will achieve program objectives.</li> <li>- Key personnel have the relevant qualifications, skills, and expertise required to successfully implement the activity.</li> </ul>	<b>25</b>
<b>3. Organizational Capacity</b>	<ul style="list-style-type: none"> <li>- Intensive experience in water quality management, environmental assessment and carrying/loading capacity analysis.</li> <li>- Practical experience in research and policy development in the past (related projects/programs implemented).</li> <li>- Level of credibility/quality of work (reporting on the results of the aforementioned projects/programs or/and feedback, and assessment from partners regarding the implementation of similar projects/programs).</li> <li>- Financial management experience and capacity in the past 3 years (annual disbursement amount).</li> </ul>	<b>25</b>
<b>Overall Rating (out of 100 points)</b>		<b>100</b>

## REVIEW PROCESS

Award 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 awardee responding to this solicitation. Prospective awardees 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 award 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 award. 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 an award is issued
- For those selected for an award, Winrock will conduct a pre-award risk assessment.
- Issuance of award 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 awards:

- Any purchases or activities deemed unnecessary to accomplish award purposes as determined by Winrock, including any awardee 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 awards

- 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 – Award Application Form

Annex B – Budget application in Microsoft Excel including a sheet on Milestones and deliverables with budget and a detailed budget sheet.

Annex C – Frequently Asked Question

Annex A. Award Application Form

**APPLICATION RESPONSE TO RFA-6997-24-22**

**To:** USAID REDUCING POLLUTION PROJECT  
 Winrock International Institute for Agricultural Development

Dear Sir/Madam,

Having examined your Request for Application entitled “**Technical support to strengthen the methodological foundation on carrying capacity assessment related to water quality management in river basins**”, we would like to submit our application for this RFA. Our proposal for project duration and budget are as below:

- Project duration:    months
- Total Project budget: VND.....

*Please find enclosed our application dossiers:*

- A copy of applicant's valid legal registration
- A copy of Regulation of Organization and Operation
- A completed technical application
- CVs for proposed key personnel
- A Budget application in Microsoft Excel including a sheet on Milestones and deliverables with budget and a detailed budget sheet.

*(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



**AWARDEE INFORMATION**

Name of Applicant	
Address	
Name of Applicant's Authorized Representative	
E-mail Address	
(SAM) EUI Number	
VAT Number	
Phone Number	

**AWARD INFORMATION**

Award Name	
Location Where Activity will be Performed	
Period of Performance	

**PROPOSED BUDGET** *(Please note that a detailed budget must be included in the submission)*

	Local Currency (VND)	
Total Amount Requested		

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

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 up to three major projects on environment in which your organization(s) was involved/conducted in the past, which show the organization's expertise and ability to meet the goals of the proposed award.)*
**1. First Project (if applicable)**

Project Title	
Period of Performance	
Project implemented by (in case consortium)	
Location	
Role of Organization (leader or partner)	
Project Objectives	
Project Results	
Total Budget	
Funding Source and Contact Information	
- <i>Contact point:</i>	
- <i>Tel:</i>	
- <i>Email:</i>	
<b>2. Second Project (if applicable)</b>	
Project Title	
Project implemented by (in case consortium)	
Period of Performance	
Location	
Role of Organization (leader or partner)	
Project Objectives	
Project Results	
Total Budget	
Funding Source and Contact Information	
- <i>Contact point:</i>	
- <i>Tel:</i>	
- <i>Email:</i>	
<b>3. Third Project (if applicable)</b>	
Project Title	
Project implemented by (in case consortium)	
Period of Performance	
Location	
Role of Organization (leader or partner)	
Project Objectives	
Project Results	
Total Budget	
Funding Source and Contact Information	
- <i>Contact point:</i>	
- <i>Tel:</i>	
- <i>Email:</i>	

**Organizational Experience Developing Networks to Address Development Issues** *(Please provide a summary description of your organization's experience developing networks of stakeholders, preferably from communities, government, and business, to address development issues in the environment or other sectors).*

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

1. **Background and the needs of the RFA:** *(Please provide brief and necessary background information on the issues and the problems that the proposed award will address.)*
2. **Goals, Objectives, and Indicators** *(Please state the goal and its corresponding objectives to address the problems identified above. Within each Objective, what are the main performance indicators? The theory of change may be used to express.) Besides narrative, please add charts and/or graphics as appropriate.*
3. **Research Methodology** *(Applicants should highlight how they implement the research to meet the goals, and objectives)*
4. **Strategy for integrating Gender Equality and Social Inclusion (GESI)** *(Applicants should highlight how to mobilize the participation of stakeholders, especially vulnerable groups (women, the elderly, people with disabilities, the poor, ethnic minorities, LGBTIQ+ to benefit equally from the results of the project.)*
5. **Activities and key deliverables** *(Please provide a detailed description of all the key activities and identify key deliverables to achieve each objective.)*
6. **Direct and indirect Beneficiaries** *(Please describe the type and number of beneficiaries.)*
7. **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; )*
8. **Attachments:** Include any necessary attachments in support of your application.

**Annex B.** Budget application in Microsoft Excel including a sheet on Milestones and deliverables with budget and a detailed budget sheet. [Please use the cost application template at this link:](#)

[FAA Budget Template](#)

### 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.
Training/Workshops	Venue, Catering Cost, Number of Participants, Travel & Accommodation, Facilitator cost
Other	Any other costs, must detail unit cost and total number of units

## Annex C. Frequently Asked Questions

STT	Câu hỏi/Questions	Trả lời/Answers
I	<b>Các câu hỏi về hồ sơ nói chung/ General Questions on application</b>	
1	<p>Có cần cung cấp mã số định danh SAM UEI khi nộp hồ sơ đề xuất dự án nhằm đảm bảo tính hợp lệ để được đánh giá hồ sơ hay không?</p> <p><i>Is a valid SAM UEI Number required for applications to be reviewed?</i></p>	<p>Chúng tôi không yêu cầu cung cấp Mã số SAM (UEI) khi nộp hồ sơ đề xuất. Số định danh UEI chỉ cần cung cấp vào thời điểm ký hợp đồng tài trợ. Nếu Tổ chức đã có mã số UEI thì có thể điền thông tin này vào biểu mẫu hồ sơ đề xuất. Trong trường hợp chưa có, Tổ chức cần cung cấp mã số định danh UEI này trước khi ký hợp đồng trao tài trợ.</p> <p><i>We do not require a SAM Unique Entity ID (UEI) Number to be provided when submitting the proposal. A SAM number is only required 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.</i></p>
2	<p>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</p> <p><i>Our organization has a social enterprise business license, and a DUNS number. We are wondering if we would be considered an eligible organization?</i></p>	<p>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 <a href="https://sam.gov">https://sam.gov</a> và làm theo hướng dẫn để nhận được mã số UEI.</p> <p><i>According to the new regulations, the DUNS number will be converted to Unique Entity ID (UEI) number, if the applicant is selected for an award, the applicant needs to access the link <a href="https://sam.gov">https://sam.gov</a> and follow the instructions to receive the UEI number.</i></p>
3	<p>Thời gian tối đa để thực hiện sáng kiến là bao nhiêu năm?</p> <p><i>For how many years can the proposed initiative be implemented?</i></p>	<p>Theo mục 2.2 của Thư kêu gọi mời nộp đề xuất dự án (RFA), thời gian tối đa để thực hiện sáng kiến này là 15 tháng)</p> <p><i>Per Section 2.2 of the RFA, the maximum term to propose initiatives under this RFA is 15 months).</i></p>
4	<p>Theo hướng dẫn nộp đề xuất thì có thể viết đề xuất bằng tiếng Anh hoặc tiếng Việt, vậy nộp đề xuất bằng tiếng Anh có được ưu tiên gì không</p>	<p>Không có ưu tiên khi nộp đề xuất bằng Tiếng Anh hoặc tiếng Việt. Tổ chức nộp hồ sơ có thể lựa chọn viết đề xuất bằng một trong hai ngôn ngữ này (tiếng Anh hoặc tiếng Việt) để thể hiện tốt nhất ý tưởng của mình.</p>

STT	Câu hỏi/Questions	Trả lời/Answers
	<p>hay hai ngôn ngữ như nhau?</p> <p><i>According to the guidelines for submitting proposals, it is possible to write proposals in English or Vietnamese. Is the submission of proposals in English given any priority, or do both languages have the same priority?</i></p>	<p><i>There is no preference when submitting proposals in English or Vietnamese. Applicants should choose the language that helps best express their ideas.</i></p>
5	<p>Đề xuất tài chính có phải nộp cùng thời điểm với đề xuất kỹ thuật không hay nộp riêng?</p> <p><i>Should financial proposals be submitted at the same time with technical proposals, or separately?</i></p>	<p>Đề xuất kỹ thuật và tài chính có thể nộp trong cùng một email nhưng đề xuất kỹ thuật để riêng 1 file (tệp) và đề xuất tài chính để riêng 1 file (tệp)</p> <p><i>Technical proposal and financial budget may be submitted in the same email, but should be separate files.</i></p>
<b>II</b>	<b>Đơn vị hợp lệ để nộp hồ sơ/ Eligible organizations</b>	
1	<p>Trường đại học/ viện nghiên cứu (công lập và dân lập) có quyền nộp hồ sơ đề xuất không?</p> <p><i>Are universities and research institutes (public and private) eligible to submit proposals?</i></p>	<p>Theo Phần 3 của RFA, khoản tài trợ này dành cho tất cả các tổ chức phi chính phủ Việt Nam bao gồm các tổ chức dựa vào cộng đồng (CBOs), các tổ chức xã hội dân sự (CSOs), các doanh nghiệp xã hội, các doanh nghiệp tư nhân/các hiệp hội và các viện nghiên cứu/các trường đại học dân lập.</p> <p>Các trường đại học công lập được coi là không hợp lệ để nộp Hồ sơ đề xuất dự án.</p> <p>Tổ chức nộp hồ sơ được lựa chọn cần chứng minh có đủ năng lực để có thể kết nối và dẫn dắt được mạng lưới đa dạng các bên liên quan cùng xây dựng chương trình chung để giải quyết vấn đề, xác định các hoạt động hỗ trợ nhau, cùng thống nhất về phương pháp đo lường kết quả, điều hành việc chia sẻ thông tin và học hỏi liên tục và điều hành mạng lưới, nhằm quản lý và thực hiện thành công sáng kiến.</p> <p><i>Per Section 3 of the RFA, this solicitation is open to Vietnamese non-governmental organizations. This includes community-based</i></p>



STT	Câu hỏi/Questions	Trả lời/Answers
		<p><i>organizations (CBOs), civil society organizations (CSOs), social enterprises, private enterprises/associations, and private research institutes/universities.</i></p> <p><i>Public or state universities that are considered part of the government are not eligible.</i></p> <p><i>A successful applicant will need to demonstrate sufficient capacity to connect and lead a network of diverse stakeholders to jointly develop a common agenda, mutually reinforcing activities, shared measurement, platforms/mechanisms for continuous communication and learning among parties, and operate the network, in order to successfully manage and implement the initiative.</i></p>
2	<p>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?</p> <p><i>Can social enterprises under Vietnamese law apply for this funding opportunity or is it solely limited to non-profit organizations?</i></p>	<ul style="list-style-type: none"> <li>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.</li> </ul> <p><i>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 are a non-Government organization.</i></p>
3	<p>Liên hiệp các hội khoa học kỹ thuật hoặc DN tư nhân thì có hợp lệ và có được tham gia ko?</p> <p><i>Are the Union of Science and Technology Associations and private enterprises eligible to participate?</i></p>	<p>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.</p> <p><i>This award is intended for organizations who are legally registered in Vietnam and operate independently of the government in both finance and personnel.</i></p>
4	<p>Chúng tôi đang có kế hoạch thành lập một liên danh gồm một số tổ chức (để tối đa hóa thế mạnh riêng của chúng tôi) để nộp hồ sơ đề xuất dự án theo RFA này, liệu dự án có thể tư vấn cho chúng tôi các biểu mẫu đề xuất dự án phù hợp để chúng</p>	<p>Các Tổ chức được hoan nghênh thành lập các nhóm hoặc liên danh để tối đa hóa thế mạnh của từng tổ chức.</p> <p>Khi một nhóm hoặc liên danh tham gia xây dựng đề xuất dự án, Tổ chức chính sẽ đại diện nộp hồ sơ. Tổ chức nộp hồ sơ phải chứng minh được năng lực quản lý nhóm/liên danh để đạt được các mục tiêu của sáng kiến đề xuất.</p> <p>Tất cả các thành viên trong nhóm hoặc liên danh đều cần cung cấp thông tin theo các biểu mẫu được cung cấp trong RFA.</p>

STT	Câu hỏi/Questions	Trả lời/Answers
	<p>tôi có thể sử dụng được không? Mọi thành viên trong liên danh có cần phải nộp hồ sơ đề xuất hay không? Nếu có, liệu chúng tôi có thể sử dụng cùng các thông tin giống nhau trong đề xuất dự án của mình, ví dụ các đề xuất kỹ thuật và tài chính có thể sẽ như nhau không? Nếu không (nghĩa là chỉ Đơn vị chính mới cần nộp hồ sơ dự án). Liệu chúng tôi có thể nêu kinh nghiệm của tất cả các đối tác trong phần kinh nghiệm đã thực hiện được không?</p> <p><i>We are planning to form a coalition of organizations (to maximize our specific strength) to apply for this RFA, could you please help advise the appropriate proposal application templates we should be using? Does every member of our coalition need to submit an application? If yes, could we use the same materials in our application, i.e, the technical and financial applications will be identical? If no (i.e, only the lead applicant will need to submit), could we include all of our partners' experience in the past performance session?</i></p>	<p>Tại Phần kinh nghiệm làm việc có thể trình bày kinh nghiệm của tổ chức chính/tổ chức đại diện và các thành viên trong nhóm hoặc liên danh.</p> <p><i>Organizations are welcome to form teams, consortiums, or coalitions to maximize the strengths of each partner organization. If a team or coalition is proposed, one lead applicant should submit one proposal for the proposed consortium. The lead applicant must demonstrate the capacity to manage the consortium to achieve the objectives of the proposed initiative.</i></p> <p><i>All applications should use the forms provided in the RFA.</i></p> <p><i>The Past Performance section of proposals may include past performance of lead applicants and other proposed consortium members.</i></p>

STT	Câu hỏi/Questions	Trả lời/Answers
5	<p>Hai đơn vị có thể đứng chung một dự án được không ạ?</p> <p><i>Can two organizations cooperate to lead one project?</i></p>	<p>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.</p> <p><i>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 awardee. Winrock cannot split the award into multiple awards to different consortium members.</i></p>
6	<p>Key Personnel: Nhân sự chủ chốt: - Số lượng nhân sự tối đa theo quy định chương trình là bao nhiêu? <i>What is the maximum number of employees according to the program regulations?</i></p> <p>- Trong CV nhân sự có cần cung cấp bằng đại học, chứng chỉ liên quan không? <i>Do we need to provide a degree or relevant certificate with the CV of proposed staff?</i></p> <p>- Một số nhân sự có thể outsource được không? <i>Can we hire some outsourced personnel?</i></p>	<ul style="list-style-type: none"> <li>• 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.</li> <li>• <i>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.</i></li> <li>• 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.</li> <li>• <i>Only a CV is required. However, the applicant may provide a degree or certificate if they feel it gives a stronger justification.</i></li> <li>• Có, nhân sự thuê ngoài có thể được phép nếu tổ chức không có nhân sự phù hợp tại đơn vị.</li> <li>• <i>Yes, outsourced personnel can be hired if there are no capable personnel in-house.</i></li> </ul>
<b>III</b>	<b>Chuẩn bị hồ sơ đề xuất / Prepare and submit the Proposal</b>	
1	<p>Trong mục kinh nghiệm làm việc trong hồ sơ, có cần trình bày các dự án đã thực hiện bởi đối tác liên danh hay không? Có đề cập các bên liên quan trong hồ sơ không? Có cần trình bày kinh nghiệm</p>	<p><i>Vui lòng xem Phần II, Câu hỏi 4 ở trên.</i></p> <p>Phần kinh nghiệm thực hiện dự án tương tự có thể bao gồm các dự án đã được thực hiện bởi tổ chức đứng đầu/đại diện liên danh và các thành viên trong liên danh.</p>

STT	Câu hỏi/Questions	Trả lời/Answers
	<p>của các bên liên quan không?</p> <p><i>In the Past Performance section of the Proposal, should we list down the implemented project by the consortium partner?</i></p> <p><i>Should all stakeholders be mentioned?</i></p> <p><i>Is it necessary to present the past experiences of key stakeholders?</i></p>	<p>Phần kinh nghiệm thực hiện dự án không liệt kê dự án của các bên tham gia dự án nhưng không phải là thành viên của liên danh.</p> <p><i>See Part II, Question 4 above.</i></p> <p><i>The Past Performance section of proposals may include past performance of lead applicants and other proposed coalition or consortium members.</i></p> <p><i>Past Performance information does not need to be included for other stakeholders who are not part of the consortium.</i></p>