WATER AND ENERGY FOR FOOD:
A GRAND CHALLENGE FOR DEVELOPMENT

Regional Call for Innovations 2021
South and Southeast Asia

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Subject: Call for Innovations - 2021

Date Issued:	October 4, 2021
Call for Innovations Clarification Questions Due Date and Time:	October 21, 2021 10:00 AM GMT+7
Closing Date and Time:	November 12, 2021 5:00 PM GMT+7

Subject: Call for Innovations 2021 for Water and Energy for Food South and Southeast Asia Regional Innovation Hub

Dear Prospective Applicants:

The German Federal Ministry for Economic Cooperation and Development (BMZ), the European Union (EU), the Ministry of Foreign Affairs of the Government of the Netherlands, Sweden through the Swedish International Development Cooperation Agency (Sida), and the U.S. Agency for International Development (USAID), invite eligible organizations to respond to **Water and Energy for Food South and Southeast Asia (WE4F S/SEA) Regional Innovation Hub (RIH) Call for Innovations 2021.**

WE4F is designed to support the scaling-up of innovations in the water-energy-food nexus across 15 countries in South and Southeast Asia region through the **combination of either technical assistance, investment facilitation, and/or grantmaking for WE4F innovations**. The Call for Innovations (CFI) describes the purpose of the program and the types of organization that it will support. It also indicates the process for preparing and submitting proposals and outlines criteria that will be used to evaluate the proposals.

AWARDS: While the technical and investment facilitation assistances will be the key supports from WE4F S/SEA RIH, the Prospective Applicants are welcome to apply for a grant in a range of US$ 25,000 to US$ 200,000. The period of performance for individual awards is up to two years; the actual period of performance for each award will be determined at the time of award.

WE4F S/SEA RIH is operated on behalf of a consortium led by Tetra Tech ES, Inc. with its partners CrossBoundary, LLC. and DevWorks International. The awards and disbursement of funds will be executed by Tetra Tech ES, Inc.

DUE DATE: Concept Notes shall be received **no sooner than October 4, 2021** and **no later than November 12, 2021 at 5:00 PM GMT+7 (Bangkok time)** via the Online Application Platform accessed on SMApply at: [SMApply Link]. Applicants should retain a copy of their proposals and accompanying uploaded documents for their records.

QUESTIONS: The Call for Innovations can be downloaded from https://we4f.org/apply-ssea. Prospective Applicants who have questions concerning this CFI must submit them no later than **October 19, 2021 at 5:00 PM GMT+7(Bangkok time)** to WE4FAsiaBids@tetratech.com.

Issuance of this Call for Innovations does not constitute an award commitment on the part of WE4F, or any of its funding Partners, to pay for costs incurred in the preparation and submission of proposals. Further, the WE4F S/SEA RIH reserves the right to reject any or all proposals received.

Sincerely,
Radtasiri Wachirapunyanont
Regional Innovation Hub Manager

Executive Summary

This document provides details about the application process of the Water and Energy for Food Challenge Fund S/SEA: Regional Call for Innovations.

What is the WE4F S/SEA Regional Innovation Hub (RIH)? Water and Energy for Food (WE4F): A Grand Challenge for Development is a joint international initiative of the German Federal Ministry for Economic Cooperation and Development (BMZ), the European Union (EU), the Ministry of Foreign Affairs of the Government of the Netherlands, Sweden through the Swedish International Development Cooperation Agency (Sida), and the U.S. Agency for International Development (USAID).

The South and Southeast Asia (S/SEA) region is subject to many challenges including food security, water scarcity, climate impacts, environmental degradation, and unemployment. Sustainable agricultural development does not only ensure environmental sustainability but is also pivotal to tackling poverty, and bettering livelihoods. It can even be more vital in S/SEA region where half of the land is arable, and 60 % of the population depends on agricultures.

Although the S/SEA region's water-energy-food challenges are severe, they present an opportunity for local organizations to find solutions for the most pressing water and energy issues in food production/processing and agriculture.

The WE4F S/SEA RIH supports organizations that work in the 15 target countries in the S/SEA Region (Appendix I) and lead to production or processing of more foods while using less water and/or energy, to impact food security, gender equity and poverty reduction in an environmentally sustainable way. Together with investors and partners, the WE4F S/SEA RIH works to scale mid- to later-stage organizations that have an environmental and social impact in the water-energy-food nexus.

Why join WE4F? Are you a S/SEA-based innovator with a proven solution tackling water and/or energy issues in urban or rural food production/processing? The WE4F S/SEA RIH is designed to support innovators in the region in growing their business by tackling the most common internal and external challenges. By tackling matters related to business growth, technical aspects, environmental and social impact, and access to finance together with WE4F S/SEA RIH experts, Innovators such as yourself will receive tailored and intense support to help you rapidly grow through:
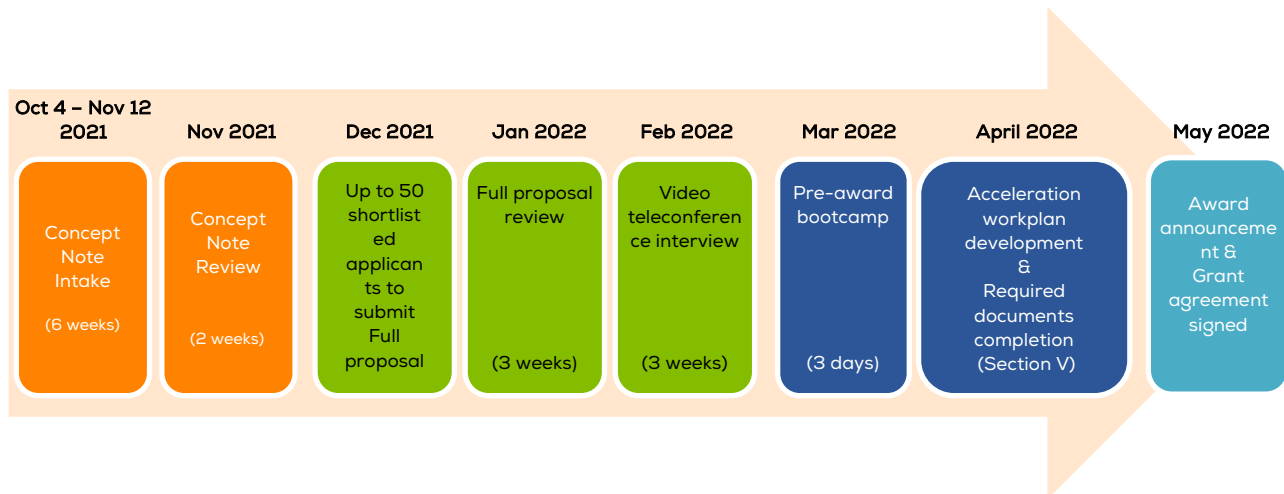- Redesigning your business model for growth and impact
- Developing your marketing strategy
- Optimizing your production processes and organizational structure
- Promoting gender inclusion in your value chain
- Receiving more than 20 other growth support services such as export readiness, technical, and impact aspects.

The WE4F S/SEA RIH will also help you in
- Building your network across the South and Southeast Asia region
- Becoming investment ready to access needed debt and/or equity funding
- Developing partnerships with financial institutions for end user finance
- Receiving milestone-based cash grants (This will be tied to the level of impact, performance and scalability).

Our Support Team: The support is delivered by leading S/SE Asia-based experts from Tetra Tech, CrossBoundary, and DevWorks International who have collectively helped over 200 organizations improve their business scalability, create gender-inclusive value chain, increase investment readiness and raise over US$ 750 million. You will also have access to and be supported by a pool of over 100 leading experts and consulting companies across S/SEA region.

Application Process: The application process is broken down into a two-stage selection process, starting with the Concept Note stage followed by the Full Proposal stage. The application process, which is launched on October 4th, 2021 and concludes by May 2022, is shown below. This timeline is subject to change.

Oct 4 – Nov 12 2021	Nov 2021	Dec 2021	Jan 2022	Feb 2022	Mar 2022	April 2022	May 2022
Concept Note Intake (6 weeks)	Concept Note Review (2 weeks)	Up to 50 shortlisted applicants to submit Full proposal	Full proposal review (3 weeks)	Video teleconference interview (3 weeks)	Pre-award bootcamp (3 days)	Acceleration workplan development & Required documents completion (Section V)	Award announcement & Grant agreement signed

How the program works post-selection:
Once the applicant is successfully pre-selected to join the RIH Innovator Cohort following the Full Proposal stage, the following represents a rough timeline of how the final selection, support and transformation takes place:

- *Step 1: Pre-vetting, due diligence and growth preparation*
  This step ensures you have a clear plan to grow your organization. It also ensures your organization fits the various required criteria for joining the RIH. It includes the following activities: Pre-vetting / USAID Mission concurrence / Due Diligence / Need Diagnostic / Pre-award Survey / Initial Environmental Examination (IEE) / Bootcamp/ Acceleration plan (growth plan) - up to 2 months.

- *Step 2: Business scaling and investment mobilization*
  This step ensures you receive the support needed to implement your growth plan and transform your organization into a rapidly and sustainably growing one: It includes the following activities: Technical Assistance (TA)/ workshops/cash grants/Investment facilitation on best effort basis over the following 12 months.

- *Step 3: Post-award support*
  This step ensures your organization can continue to grow by having expanded access to finance, markets, and the relevant networks among other benefits. It includes TA and needs-based support in networking and access to finance, which may continue beyond the award period.

Contents

Abbreviations and Acronyms

ADA	Americans with Disabilities Act
ADS	Automated Directives System
AIDAR	Agency for International Development Acquisition Regulations
AO	Agreement Officer
AOR	Agreement Officer Representative
APS	Annual Program Statement
BAA	Broad Agency Announcement
BEO	Bureau Environmental Officer
CCR	Central Contractor Registration
CFI	Call for Innovations
CFP	Call for Proposal
CFR	Code of Federal Regulation
CO	Contracting Officer
COR	Contracting Officer's Representative
DUNS	Data Universal Numbering System
DQA	Data Quality Assessment
EMMP	Environmental Mitigation and Monitoring Plan
EST	Eastern Standard Time
ESG	Environmental, Social and Governance
EPA	Environmental Protection Agency
FAR	Federal Acquisition Regulation
FSN	Foreign Service National
GCD	Grand Challenge for Development
IEE	Initial Environmental Examination
IFR	Invitation for Bids
IR	Intermediate Result
LOC	Letter of Credit
M&E	Monitoring and Evaluation
MB	Megabyte
M/OAA	USAID/Washington's Office of Acquisition and Assistance
NICRA	Negotiated Indirect Cost Agreement
OFAC	Office of Foreign Assets Control
OMB	Office of Management and Budget
NGO	Nongovernmental Organization
PAEGC	Powering Agriculture: An Energy Grand Challenge

PCA	Partner Contracted Audit
PD	Program Description
PDF	Portable Document Format
PMP	Performance Management Plan
R&D	Research and Development
RF	Results Framework
RFA	Request for Application
RFQ	Request for Quotes
SF	Standard Form
SWFF	Securing Water for Food
USAID	U.S. Agency for International Development
USG	Government of the United States of America

Commonly Used Terms and Definitions

Within the context of this Call for Innovations, Prospective Applicants should be aware that these definitions apply to the following commonly used terms:

Apparently Successful Applicant(s)	The Applicant(s) for the WE4F S/SEA RIH funding recommended for an award after technical evaluation, but who has not yet been awarded a grant or other type of awards. Apparently successful applicant status confers no right and constitutes nor the WE4F S/SEA RIH commitment to an award, which still must be obligated by WE4F.
Award	A form of implementing mechanism through which the WE4F S/SEA RIH transfers funds to an implementing partner, generally selected through a competitive process resulting a grant or other agreement. Source: ADS
Awardee	The organization selected to receive funding under this call for innovations.
Base of the Pyramid (BOP)	Socio economic group with annual income below US$ 3000 in local purchasing power or daily income below national poverty line.
Biodiversity	Biodiversity is the variety of life on earth, including plants, animals, bacteria, and fungi. It also includes all organisms, species, and populations; the genetic variation among these; and their complex assemblages of communities and ecosystems.
Business Model	The manner in which an enterprise creates, delivers and captures value profitably.
Call for Innovations (CFI)	A general announcement of WE4F's interest including criteria for selecting proposals and soliciting the participation of all offerors capable of satisfying the WE4F's aims and objectives.
Customer	Customers are individuals or organizations who buy the products and/or pay for the services from your company/organization.
Enabling Environment	The set of policy, institutional, regulatory, infrastructure and cultural conditions that govern formal and informal business activities.
End-user	Individual who uses and/or gain direct or indirect benefits from the products and/or services of the organizations. (S)he does

	not need to be the customer (to pay for the product/service) but must be the person who uses and/or gain benefits from it.
Environmental, Social and Governance (ESG)	Environmental, Social and Governance factors to evaluate the level of overall sustainability of companies, especially criteria related to gender integration, water management, natural resource management, climate resilience, and poverty reduction/Base of the Pyramid (BoP) impact.
Environmental Management and Monitoring Plan (EMMP)	Environmental management and monitoring plan is an action plan that defines mitigation measures, monitoring indicators, monitoring and reporting frequency and responsible agency for environmental safeguards compliance. For the template, refer the link https://www.usaid.gov/environmental-procedures
Food Security	When all people at all times have both physical and economic access to sufficient food to meet their dietary needs for a productive and healthy life.
Food Value Chain	The full range of participants and activities that move agricultural goods from a farmer's field to the end consumer. Activities within the food value chain include: input production or supply (i.e., seed, fertilizer, feed, etc.), irrigation, production (i.e., planting crops, raising livestock), storage, transport, processing (i.e., sorting, drying, grinding, packaging), wholesaling, marketing, retailing, and waste management
Gender Integration/Mainstreaming	Gender mainstreaming refers to the integration of a gender lens at all stages and levels of policies, programs and projects.
Good International Industry Practice (GIIP)	Good International Industry Practice (GIIP) is defined as the exercise of professional skill, diligence, prudence and foresight that would be reasonably expected from skilled and experienced professionals engaged in the same type of undertaking under the same or similar circumstances globally. The Environmental, Health, and Safety (EHS) Guidelines are technical reference documents of World Bank Group with general and industry-specific examples of Good International Industry Practice. https://documents1.worldbank.org/curated/en/157871484635724258/pdf/112110-WP-Final-General-EHS-Guidelines.pdf
Households	Households are the family or group of several persons who share the same living accommodation

Innovation	The development and application of unconventional, new (and/or modification of existing) technologies, tools, products, services or processes.
Intervention	Awardees' planned activities intended to increase the amount of water available for the food value chain, or produce more food using less water in developing countries.
Investment Facilitation	All transaction advisory activities required to support a for-profit enterprise with raising commercial debt, equity or mezzanine capital, including but not limited to preparation of marketing materials, financial models, term sheets and investor lists, followed by deal launch, facilitation of investor due diligence, deal negotiation, and financial close.
Marginalized Group	Groups and communities that experience discrimination and exclusion (social, political and economic) because of unequal power relationships across economic, political, social and cultural dimensions.
Market Driven	Market driven means investment, production and distribution are determined by supply and demand and reflected in freely set prices.
Matching Funds	Cash and non-cash resources of the Prospective Applicants that are set to be used for financing of the project together with the grant funding. The resources can be from the organization's own resources, governmental funds or any other resources which are not-funded by the Federal Government.
Milestone-based Award	It is a Fixed Amount Award grant where donor provides a specific level of support and where payment is based on the achievement of milestones. This type of award reduces some of the administrative burden and record keeping requirements for both the recipient and donor. Accountability is based primarily on performance and results.
Organization	In this document, organization refers to for-profit, nonprofit, academic, finance institutions, and other actors that are eligible to apply for the call for innovations. Additional details on Eligibility criteria are outlined in SECTION II – ELIGIBILITY CRITERIA.
Online Application Platform	The online application platform defines the website that all Applicants will use to submit an application to the *Water and Energy for Food* solicitation (https://bit.ly/3ipnT3f)

Peer or Expert Review	Peer review is a process of evaluation involving qualified individuals from the relevant field.
Scaling	Expanding, adapting, and sustaining successful technology or process solutions at the product level or above, in different places and over time, to reach a greater number of people in a financially, socially, and environmentally sustainable manner.
Sustainable Scale	A technology and associated business model which is financially, socially, and environmentally sustainable to unlock growth in new and larger markets.
Total Addressable Market (TAM)	Total Addressable Market (TAM) is the total opportunity available to the company if 100% of the relevant customers the company could conceivably reach would probably want to buy the product or service.
Target Area of Operation	The target area of operation defines the primary geographic location and/or market for project implementation and impact.

SECTION I. PROGRAM DESCRIPTION

1. Introduction and Background

1.A Addressing Global Trends and Challenges

Water, energy and food are essential for human well-being, poverty reduction and sustainable development. Global projections indicate that the demand for freshwater, energy and food will increase significantly over the next decades under the pressure of population growth and mobility, economic development, international trade, urbanization, diversifying diets, cultural and technological changes and climate change.

Agriculture accounts for 70% of total global freshwater withdrawals, making it the largest user of water. Water is used for agricultural production, forestry and fishery, along the entire agri-food supply chain, and it is used to produce or transport energy in different forms. At the same time, the food production and supply chain consume about 30% of total energy consumed globally. However, the agricultural sector faces challenges in accessing renewable energy in low-income countries as significant barriers – that hinder the integration of renewable energy technology in agricultural development – exist. Likewise, renewable energy enterprises seeking to serve these farmers face a number of barriers such as limited access to debt, a remote client base or a lack of demand due to missing awareness. These issues create an unproductive cycle, in which suppliers and buyers are not connected, and farmers and agribusinesses are unable to leverage more cost-effective renewable energy technologies. Further, drivers linked to agriculture account for 70% of the projected loss of terrestrial biodiversity.

The above described situation is expected to be exacerbated in the near future as 60% more food will need to be produced in order to feed the world population in 2050. Global energy consumption is projected to grow by up to 50% by 2035. Total global water withdrawals for irrigation are projected to increase by 10% by 2050. As demand grows, there is increasing competition for resources between water, energy, agriculture, fisheries, livestock, forestry, mining, transport and other sectors with unpredictable impacts for livelihoods of smallholders, women and youth working in the agricultural sector and the environment as a whole.

Furthermore, these trends will also influence development in general. A largely unproductive agricultural sector with low prospects to increase living standards will increase unemployment rates and the number of working poor – particularly among the youth in these regions. Thus, the creation of jobs, or improvement of those that exist, both within the agricultural sector but also jobs related to non- agricultural activities, can make a crucial contribution towards poverty reduction, food security and sustainable rural and urban development. Targeting women in the agricultural sector both as producers and consumers in this regard is of particular importance since, they constitute nearly half of the agricultural workforce and up to 70% in many parts of the world. If women had the same access to resources as their male counterparts, they

could increase yields by 20% to 30% and, in the process, feed up to 150 million more people.

1.B WE4F Program Rationale and Objectives

WE4F is a second-generation Grand Challenge for Development that capitalizes on the learnings from [Powering Agriculture: An Energy Grand Challenge for Development (PAEGC)](#) and [Securing Water for Food (SWFF)](#). The program aims to address the above-described trends and challenges "traditional" development cooperation to generate new modalities and solutions. WE4F aims to expand the scale of innovations that impact the sectors food and water, food and energy or all three sectors of the nexus (food, water, energy) to increase the sustainability of agricultural food value chains, improving energy and water efficiency as well as to improve climate resilient agriculture and sustainable management of natural resources and biodiversity in developing countries and emerging markets, with a particular focus on the poor and women.

We are looking for **organizations** with a track record of successful sales and intending to **expand their businesses commercially, using a sustainable model**. The organizations will benefit from the technical assistance provided to scale up their business and attract private capital. The WE4F grant funding can also be used as a catalyst to attract investors and improve/expand their business. If you have a commercially proven product, service, or sustainable model that you would pitch to an investor for debt or equity investment, we invite you to apply to WE4F. However, WE4F is probably not the right vehicle for you if you have a great idea for a development project but no track record of successful sales.

1.C Target Groups of the WE4F Grand Challenge

WE4F works with entrepreneurship and innovation through the following actors, who are defined as "organizations":

- o Private, for-profit companies that a major part of their business model and innovation addresses the nexus of water-energy-food.
- o Nonprofit organizations, non-governmental organizations or universities which maintain their own budget, are able to generate revenue and that do this by commercializing an innovative product or service that addresses the nexus of water-energy-food.
- o Other actors that are identified on a case-by-case basis by the Regional Innovation Hub and which fit the criteria of WE4F and are crucial for the scaling of impacts.

Through our support for the organizations, WE4F expects to target poor women and men smallholder farmers and others working in all parts of the agriculture value chain. Specifically, our interventions will help organizations providing nexus-relevant products and services reach women and the poor as commercial customers, equipping them with the means to achieve greater earnings and social mobility.

2. Goal and Focus Areas

WE4F aims to:

- Provide organizations with the technical assistance needed to sustainably scale solutions to meet the challenges in the WE4F nexus.
- Provide companies and organizations with the advisory services and connectivity they need to raise private capital for scaling, in line with their strategic goals.
- Promote climate and environmental resilience and biodiversity through the sustainable, holistic management of natural resources and ecosystems.
- Promote gender-smart sustainable models through targeted and integrated technical assistance.
- Enable the supported organizations to increase food production along the value chain through a more sustainable and efficient usage of water and / or energy.
- Enable the supported organizations to increase income for 'Base of the Pyramid' (BOP) women and men in both rural and urban areas.

2.A: Thematic Areas

WE4F is looking for organizations with scalable products or services that address the below themes:

- Theme 1: Innovations in food production to reduce water usage
- Theme 2: Efficient use of water resources for food production
- Theme 3: Sustainable use of energy and water on farms
- Theme 4: Energy innovations for food processing, and / or logistics
- Theme 5: Food production with efficient energy use
- Theme 6: Leveraging food waste for energy

2.B: Cross-Cutting Critical Barriers

A broad range of complex factors contribute to water scarcity and energy access in the food value chain. WE4F therefore looks to overcome the barriers that inhibit the creation, dissemination, and adoption of science and technology innovations in the focus areas listed above. These include but are NOT limited to:

- The lack of cost-appropriate technologies for use in low-resource settings;
- Insufficient user-centered design in technology development;
- Poorly developed supply chains;
- Lack of distribution networks;
- High up-front investment costs;
- Lack of confidence that developing and emerging countries have the market mechanisms necessary for growth;
- Limited knowledge about local and global policy and regulatory environment that inhibits scaling of innovation;
- Absence of proper financing tools to fund the expansion of companies or organizations selling innovations;
- Limited end-user (and/or farmers) access to finance to promote uptake of innovations;

- Limited access to information that would enable entrepreneurs to make informed investment, operational, and marketing decisions;
- Insufficient information and training to farmers and other end users regarding how to use available technologies / innovations;
- Cultural norms / beliefs, access to / and control over assets and patterns of power and decision-making that could prevent equal participation between men and women;
- Institutional and organizational barriers faced by companies as well as their customers / end-users; and
- Insufficient planning for unintended environmental and social consequences such as effects on agriculture and food value chain of climate change

Applicants will be expected to describe which barriers their innovation will address in their application.

3. Second Regional Call for Innovation

This is our second "Call" under the *Water and Energy for Food* program, and we are seeking Concept Notes from eligible organizations. Through this Call, we are seeking technological and business innovations that address the six thematic areas described above.

In this Call, applicants should adhere to the following criteria:

a) **Operate with a financially sustainable business model, either as a private company or a nonprofit organization or academic institution that is responsible for sustainably generating revenue; be able to demonstrate a revenue track record selling the water-energy-food nexus-relevant product or service.** WE4F is focused on financially viable businesses or organizations that can showcase a proven revenue model. The water-energy-food nexus-relevant product or service must represent the organization's primary revenue driver or must be a very prominent revenue driver.

b) **Address the water-energy-food nexus challenges.** The innovation must address at least two dimensions of the water-energy-food nexus with food always being one of the two.

c) **Have a well-defined plan for expansion.** WE4F does not seek to support organizations that scale only through the securing of successive grants or subsidies (except nonprofit organizations), or that do not intend to scale. Successful applicants will have a clearly articulated plan in existence or under development for how the technical assistance, investment facilitation and/or grant capital provided by the program will assist expansion financed by debt or equity.

d) **Build sustainability into the fabric of the intended expansion.** All innovations must be financially sustainable. The organizations should be expanding the scale

and scope of their sale of innovative products and services in a way that creates a financially viable model and ideally positive free cash flow and net income. All supported awardees must prove that they can remain financially viable without grant funding after the WE4F program has ended. All applicants will be required to submit financial documentation as well as description of the organization's long-term financial management plan to support the innovation. Equally as important, supported awardees must also be able to successfully integrate their products and / or services into the existing social, environmental, and institutional ecosystems of the countries of implementation and provide environmental benefit. Preference will be given to organizations that showcase net positive environmental benefits, especially related to climate resilience, natural resource management, and biodiversity conservation

e) **Understand and incorporate the local enabling environment for technology and business innovations.** Applicants must be able to articulate the social, environmental, institutional, legal, and regulatory challenges to sustainable scaling and expanding their innovation and describe how they will overcome those barriers and embed their innovation within these contexts to have the intended impact. Applicants must also provide market research that describes local market conditions.

f) **Promote user-centered design, not technology for the sake of technology.** Thousands of water, agriculture, and energy technologies exist but are not available to target populations or effectively utilized. In many cases, this is due to a lack of understanding of the needs of end-users in developing or emerging countries. WE4F will emphasize the importance of access to the solution by the end-user in all facets of the program. Ultimately, debt and equity investors will not support expansion of a product or service for which there is not demonstrated demand.

g) **Demonstrate direct or strong indirect benefits for the poor.** WE4F is a program that is focused on alleviating relative poverty through both economic growth and environmental sustainability. Through their expansion, all supported companies or organizations need to provide either direct benefits to those that are earning less than half their country's median income through the provision of resources in form of goods or services that directly benefit them, or should provide indirect opportunities for economic growth, for instance through the creation of jobs and/or through strengthening poor people's opportunities and choice, power and voice, and human security.

h) **Show how their innovation benefits women or improves gender equality.** Women and men use, access and control water, energy, land and ecosystem resources in different ways. When these differences are properly understood, targeted actions may be developed in order to decrease the pitfalls and enhance the potential of the innovations. By including a gender perspective into business strategies and plans, the potential of an innovation to sustainably scale increases. Addressing gender issues may improve the efficiency in the

implementation of the business plans and help the organization become more resilient and profitable. It may also improve the social and environmental benefits or outcomes from the use of our water, energy, land and ecosystem resources. Successful innovations can break boundaries and catalyze transformative changes in people's lives. Investing in women (as customers, users, employees, supply chain actors) is not only a moral and institutional imperative; it is also a profitable thing to do. Thus, WE4F is giving preference to innovations that enhance the roles, skills, and capacities of women and improve intra-household gender equality. Therefore, innovations should contribute (directly or indirectly) to more equal gender relations, e.g., by addressing practical needs of women (e.g., positive impact on the workload of women) or strategic needs of women (e.g., increase their access and control over production means).

i) **Have a local presence and develop market-driven partnerships.** WE4F innovations must have demonstrated a history of successfully reaching WE4F's target customer/end-user segments. All applicants must be registered and authorized by the national government in the country(ies) in which they work or have at least one local partner that is registered to work in the country(ies) of implementation. This local partner could be a commercial or NGO partner, joint venture partner or candidate for a merger or acquisition. We also encourage applicants to develop market-driven partnerships that can help bring the innovation to scale. If working with a local partner, the local organization should have a tangible stake in the innovation and its development rather than, for example, a local merchandiser who stocks the product.

j) **Have strong financial systems and financial growth models/sustainability plans and ability to adapt these in different scenarios.** WE4F SSEA RIH is resourced and prepared to assist organizations that already have sound financial plans. As a result, all applicants will be required to submit financial documentation as well as description of the organization's long-term financial sustainability plan to support the Innovation

k) **Have a basic understanding of Environmental, Social and Governance (ESG) issues and showcase strong commitment to ESG integration into their business model.** WE4F is a program that is focused on promoting the integration of ESG issues into supported organizations business models and day-to-day operations as such integration presents compelling business and development cases. The supported organization must comply with the WE4F minimum set of ESG related criteria required to enter the program, especially related to gender integration, sustainable natural resource management (including sustainable water management), environmental sustainability (including climate resilience and biodiversity), and poverty reduction. Apart from meeting the minimum prerequisites, the supported organization must showcase commitment to further integrate ESG issues into their business and operational model. As a result, all applicants will be required to submit information and any such documentation

that supports their application with respect to ESG integration. Please see [Appendix 4](#) for the full WE4F ESG guidelines.

l)   **Have a gender balanced team which can scale up innovation in a sustainable manner.** Organizations gain from diverse leadership that makes them more resilient and innovative. Gender and racial diversity should therefore be a key business goal. This can reflect in the leadership team's (upper management, founders, or key team players) experience in the nexus or relevant sectors. The leadership team should also have complementary skills set and demonstrate capacity to sustainable enable the firm/company to grow. WE4F will give preference to women-owned/women-led organizations and developing country entrepreneurs.

4. What Will Not Be Supported

Water and Energy for Food aims to source emerging, cutting-edge business and technology innovations at the water/energy/food nexus. The focus of the challenge is to support organizations commercializing game-changing innovations, with a focus on wide-scale adoption to impact hundreds of thousands to millions of smallholder farmers and other customers. Water and Energy for Food will not fund proposals that do not present a viable business model with sufficient backup documentation for financial sustainability. The program also will **NOT** support very early-stage companies/organizations.

Applications that will **NOT** be eligible for award include:

- Applicants that do not operate as a legally registered entity (for-profit business or group within a nonprofit or academic institution) in at least one of the countries mentioned in Appendix 1.
- Innovations that fail to clearly demonstrate proven demand – meaning a successful track record of sales at prices that customers are able and willing to pay – and these innovations' contribution to the applicant's revenue within the context of a viable, 'going-concern' business unit or organization.
- Innovations that fail to demonstrate how they can eventually ensure sustainable benefits in line with the development purpose of WE4F (e.g., enhanced value of the agricultural chain, promotion of food security, sustainable management of natural (including water) resources and ecosystems, promotion of climate resilience and biodiversity, increased broad-based economic growth in developing or emerging countries, and a focus on impacting women and the poor).
- Innovations that fail to clearly demonstrate their positive impact on the poor and women.
- Innovations that fail to demonstrate their positive impact on the environment or actions taken to prevent **ALL** negative effect to the environment (including natural resource management, water resource management, climate resilience, and biodiversity).

- Innovations focused on sustainable water supply and energy access without an explicit benefit to the food sector. This agriculture link must have been demonstrated through the organization's existing customer base.
- Innovations focused on agricultural products and services without a significant and sustainable water or energy efficiency component.
- Organizations using or promoting the usage of pesticides either directly or indirectly in their operations.
- Products/solutions that require any sort of construction or land levelling/development activities
- Innovations designed to use fossil fuels
- Large dam projects for water capture and storage.
- Solar mini-grid, micro-grid or Pico projects that lack an explicit benefit to food value chains.
- Wastewater treatment projects that lack an explicit benefit to food value chains.
- Large infrastructure projects.
- Large corporations for which the sale of WE4F nexus-relevant products or services does not represent at least 50% of revenue and / or for which expansion of WE4F nexus-relevant technologies is not a priority objective for strategic growth.
- Technologies that have not reached a minimum customer base of 5,000 customers for a product/solution that costs less than US$ 100. If the business model is B2B, then combined end-users of all direct customers should be more than 5,000.
- Technologies that have not reached a minimum customer base of 1000 customers for a product/solution that costs more than US$ 100. If the business model is B2B, then combined end-users of all direct customers should be more than 1,000.

5. WE4F Program Administration

5.A: Innovation Selection Process

We are inviting applicants to submit a Concept Note (see Section IV – A: Concept Note Stage for more details regarding the submission of Concept Notes). Following the Concept Note evaluation, we will invite approximately 50 applicants (semi-finalists) to submit a Full Proposal to answer a more rigorous set of questions (see "eligibility" and "evaluation criteria," below).

WE4F will then convene a Regional Advisory Board (RAB), which is a standing panel of technical experts, business specialists, sustainable development/ESG experts including gender, poverty and environment and climate experts, and researchers with extensive experience in water/energy/agriculture innovations. The RIH and members of the RAB will then hold video teleconference interviews with up to the top 30 finalists.

The selected finalists will then participate in a pre-awarding bootcamp which will allow the organizations to be introduced to each other and WE4F S/SEA RIH to walk through

the whole pre-awarding process. **Prior to the award announcement, all finalists are required to complete all of the required documents, as listed** in Section III - Application and Submission Information. We expect to provide awardees with a mix of financial and non-financial support. Figure 1 illustrates the initial WE4F review and selection process, while Table 1 depicts the role of the prospective innovator at WE4F S/SEA RIH. **Dates are tentative.**

The WE4F S/SEA RIH administers call for innovations with support from the USAID Secretariat and approval from the WE4F Steering Committee.

Figure 1: Tentative WE4F Review and Selection Process Timeline
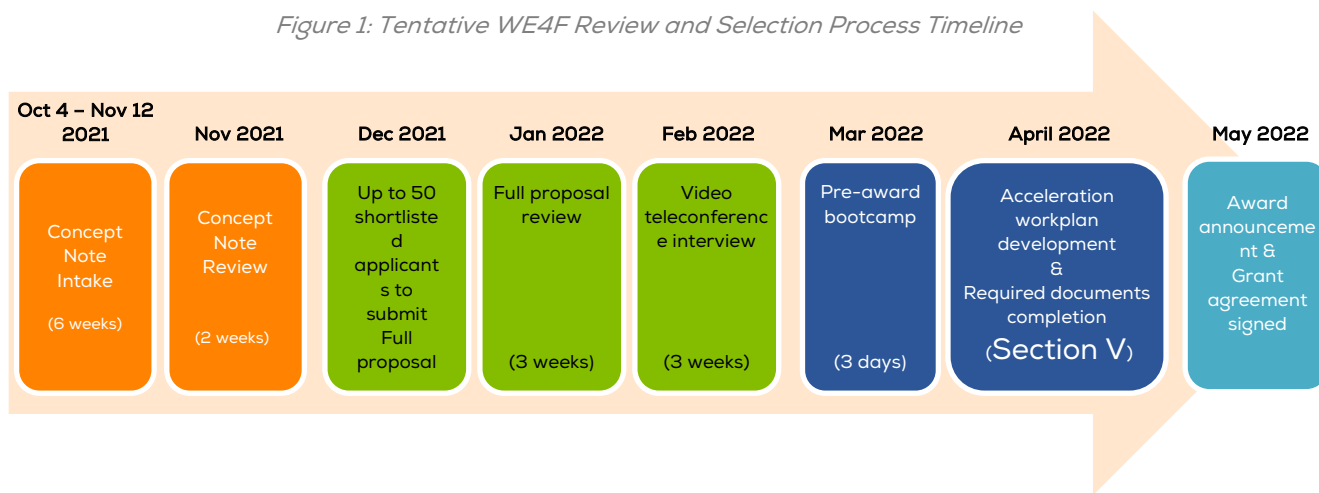
Table 1: Tentative Innovator and WE4F S/SEA RIH Actions

Step	Innovator Action	WE4F S/SEA RIH Action	Key Dates (tentative)
1. Concept Note Intake	Submit concept note via SMApply	Answer questions submitted by innovators	**Question submission deadline:** October 19, 2021 at 5:00 PM GMT+7(Bangkok time) **Q&A webinar:** October 21, 2021 at 10:00 - 11:00 AM GMT+7 (Bangkok time) **Submission deadline:** November 12, at 5:00 PM

			GMT+7 (Bangkok time)
2. Concept Note Review	–	Review concept notes and notify all applicants accordingly	–
3. Full Application Intake	Submit full application via SMApply	Answer questions submitted by innovators	**Question submission deadline:** December 7, 2021 at 5:00 PM GMT+7(Bangkok time) **Q&A webinar:** December 9, 2021, at 10:00 - 11:00 AM GMT+7 (Bangkok time) **Submission deadline:** December 22, 2021, at 5:00 PM GMT+7 (Bangkok time)
4. Full Application Review	–	Review full applications and notify all applicants accordingly	–
5. Video Conference Interviews	Prepare for and participate in 1-2 hour video conference interview	Schedule and facilitate video conference interviews; notify all applicants accordingly	**Interview period:** February 1-18 2022
6. Pre-award bootcamp and required document completion	Work with WE4F S/SEA RIH to complete required contracting, administrative, workplan and target-setting documents	Support innovators in completing documents and submit to WE4F Secretariat and Steering Committee	**Bootcamp:** March 29-31, 2022
7. Approval by Secretariat and Steering Committee	Provide clarification on documents as needed	Answer queries from Secretariat and Steering Committee	–

8. Award announcement	Provide any other needed administrative info including approval of post-award press release	Finalize contract documents and issue awards and award press release	**Awards announcement:** The 2nd week of May 2022

5.B: Technical Assistance Support

The WE4F S/SEA RIH provides **technical assistance (TA) related to commercial expansion and ESG integration, investment facilitation related to commercial debt and equity investors, and enabling environment support** to accepted companies and organizations. This model helps organizations improve their ability to scale commercially, attract and secure outside investors for further growth, and integrate ESG themes into their business models for commercial, social and environmental benefit.

The WE4F S/SEA RIH works closely with each WE4F innovator organizations to identify their specific barriers to scaling commercially while ensuring their products and / or services have a sustainable impact on key customer segments like women and the poor, and the environment. This is done through customized interventions implemented either by RIH personnel directly, by carefully selected third-party service providers, or a combination of the two.

The level of TA support= will depend on the needs of that company from a commercial, technical and ESG integration perspective. TA activities may include (but are not limited to) market intelligence, value engineering, supply chain optimization, product design support, branding and marketing, intellectual property protection, environmental impact support (environmental assessment and mitigation & monitoring plan), standards including ESG compliance, and legal advice. TA will be delivered through **training, coaching, train-the-trainer activities, advisory services, site visits, development of manuals or training materials, toolboxes, impact measurement tools, performance measurement reporting tools, investment readiness tools, advice on policies and legislation**, etc.

Awardees will work with the WE4F S/SEA RIH to create an acceleration workplan (AWP) that identifies relevant and specific services from the RIH TA, BU and EEU Units. These services should directly relate to the organizations ability to scale commercially, successfully attract outside investors for further expansion, and integrate critical ESG themes into operations and strategy.

While all TA support will be needs-based and tailored to the organization, we have structured our support into four broad categories, described below. Services rendered by teams responsible for each of these will be provided by WE4F S/SEA RIH personnel and third-party service providers as applicable.

The service areas are:

1. *Technical Assistance:* Specific services will cover the following topics, led by the RIH's Technical Assistance Unit.
   a. Investment Readiness
   b. Business Development
   c. Product Development/Refinement
   d. Gender Integration
   e. Base of Pyramid Impact
   f. Environmental Sustainability
   g. Organizational Capacity Development
   h. Public Relations and Communications
   i. Market Research and Analysis
   j. Marketing and Sales
   k. Legal Services and Grant Agreement Compliance
   l. MEL Advisory Services
   m. Others

2. *Investment Facilitation:* Specific services include the following, led by the Hub's Brokering Unit.
   a. Engaging companies to develop investment materials, prepare for interaction with investors, negotiate transaction structures and terms, and implement post-investment expansion and value-creation plans. Hub personnel will work with entrepreneurs to develop marketing materials such as teasers, financial models and investment memoranda and prepare for pitching, roadshows and other forms of investor interaction. They will subsequently serve as an intermediary with investors to facilitate due diligence and structure, negotiate and close transactions.
   b. Leveraging gender lens investors and investment opportunities from climate- and environment-focused investors to position entrepreneurs advantageously with these subsets of investors. Hub personnel will also advise on and promote development consumer financing schemes targeting BOP and women consumers, identifying a need for and providing technical assistance related to end-user financing. This could include building entrepreneurs' internal capacity to extend consumer credit, facilitating external financing partnerships between entrepreneurs and microfinance institutions or similar organizations, or advising on how to integrate innovative consumer financing alternatives into companies' business plans.
   c. Identifying opportunities to articulate to investors the commercial rationale and impact narratives associated with WE4F nexus issues of gender, environmental stewardship and BOP. Through both informal conversations and planned webinars or similar virtual presentations, BU personnel will work to capacitate investors around the investment rationale underlying the WE4F program and its cohorts of entrepreneurs.

3. *Enabling environment support:* Specific services include the following, led by the Hub's Enabling Environment Unit:
   a. Local policy navigation and advocacy: mapping existing policy and regulatory environments to help organizations navigate them, and supporting organizations to develop strategies for interactions with policy and regulatory environments.
   b. Public sector capacity development and collaboration around the food-energy-water nexus: educating and fostering collaboration between nexus-related government agencies and representatives, supporting development and integration of relevant policies and regulations, and connecting public sector entities with entrepreneurs, industry trade associations, and other nexus advocates.
   c. Strengthening industry associations: building capacity of industry groups and associations engaged in food-energy-water nexus and support advocacy efforts; promoting opportunities to include gender considerations in policy development; and creating policy briefs for entrepreneurs and trade associations.

4. *ESG integration:* This includes the following, led by multiple staff across the Hub:
   a. BoP impact and poverty mainstreaming: The RIH's BoP Impact Specialist may work with organizations to advise on ways to integrate poor and extremely poor farmers to benefit from their innovation. He/she will also work with the Investment Facilitator on making end-user financing accessible to BoP customers.
   b. Gender integration: The WE4F S/SEA RIH's Gender Advisor will create a gender action plan for the organization during the acceleration work planning stage and may consistently advice on ways to integrate women throughout their business model as customers/users/partners/employees/ mentors and so on.
   c. Environmental sustainability (including natural resource management, water resource management, climate resilience, and biodiversity): The Environmental Sustainability Advisor may advise organization on avoiding negative contribution to the environment and suggesting measures/ways in which the organization can create a positive impact on the environment. The Environment specialist may help the organization to navigate the local/regional/global environmental policies and regulatory aspects.

5.C: Funding

Winners from this Call for Innovations may receive a grant in a range of US$ 25,000 to US$ 200,000. Organizations will be eligible for multiple tranches of funding under one award based on performance. Initial funding will depend, in part, on the stage of innovation and verified needs. WE4F's supported organizations together with WE4F will establish mutually agreed upon technical, financial, and sustainability/ESG benchmarks

to assess progress in scaling up innovations and addressing the purpose of the program.

To receive further tranches of funding, the Regional Advisory Board (RAB) and Hub staff will review technical, financial and sustainability/ESG benchmarks and assess market conditions to ensure that the innovation is still viable and has the potential to achieve wide-scale adoption. This will be a transparent process. In some cases, this market assessment may require an adjustment of benchmark targets. WE4F uses a milestone-based approach to govern the grant award. Only the companies who meet the yearly milestones/benchmarks would be eligible for payment of subsequent milestones

The supported organizations who achieve mutually agreed-upon technical, financial and sustainability/ESG benchmarks (see Section I-5.D: Financial, Technical and ESG Benchmarks) will be eligible to receive future tranches of funding. All funding is subject to the availability of funds. The WE4F S/SEA RIH will make every attempt to distribute funding to awardees as quickly as possible, but awardees should expect to begin activities immediately after the award is signed, even if funding is delayed by 1-2 months.

All awardees receiving grant funding are required to have matching funds (cash/cash equivalent) to satisfy a mandatory matching requirement to demonstrate commitment to the grand challenge. The external funds must pay for activities that further the growth, development, or commercialization of the company's technology (e.g., manufacturing, distribution, marketing). Matching (whether in-kind or cash/cash equivalent) is based on funding provided by WE4F, not the total project budget and the final amount of matching funds will be determined on a case-by-case basis for each applicant near the time of award. For all awardees, the full match will be required prior to the release of additional tranches of funding. All awardees will be required to provide evidence of the commitment of the matching funds and evidence of expenditure of the matching funds.

5.D: Financial, Technical and ESG Benchmarks

Benchmarks will be jointly determined and agreed to by the financial recipients and the WE4F S/SEA RIH Monitoring and Evaluation Specialist with the assistance of the Technical Assistance Facilitator (if the awardee choses to receive technical assistance) and ESG Advisors at the time of award.

The number of benchmarks will be limited and manageable; we do not intend to be an overly burdensome program for awardees. We will have **semi-annual reviews and only track benchmarks that best demonstrate the potential and growth of an innovation and its intended impact** in bringing water and energy efficiency for food production in developing countries context.

Financial benchmarks will include the ability to secure matching funds and specific market/demand metrics. A few illustrative examples are noted below:

a) Total matching funds from public or private sector
b) Expected total product sales.
c) Expected profit margin by product.
d) Dollar amount leveraged through WE4F global and regional partnerships.

Technical benchmarks may include specific technical metrics, such as the quantifiable benefit of the innovation (e.g., increased efficiency and reduced cost), distribution, and adoption, and a few illustrative examples are noted below:

a) Agricultural water consumption reduction (By volume/ by %) as a result of utilization of the innovation.
b) Hectares of delta, estuarine, or agricultural land (fields, rangeland, agro-forests) in production as a result of WE4F innovation.
c) Increased crop yields in dry-land cultivation.
d) Mass of food produced and/or processed as a result of WE4F innovation
e) Amount of energy saved in the food value chain as a result of the use of WE4F innovation.
f) Number and nature of partnerships (including the WE4F S/SEA RIH missions) leveraged to improve the availability, distribution, and utilization of the innovation.

In addition, the program is also monitoring Sustainability/ESG benchmarks which may include metrics that showcase progress on ESG integration in organization's businesses such as income increase for poor and extremely poor farmers, contribution to environmental sustainability (including climate resilience, biodiversity, water management and other natural resource management practices and progress on gender mainstreaming throughout business models) and a few illustrative examples are noted below:

a) Number of smallholder farmers and other end-users that experience an increase in income
b) Number of smallholder farmers and other end-users using energy or water-efficient WE4F innovations in their activity
c) New jobs created for both men and women
d) Efforts to build climate resilience as part of organization's scaling-up efforts

Our goal is that all supported organizations can achieve all technical, financial and sustainability/ESG milestones. However, some innovations may fail, even if benchmarks are adjusted. Therefore, if at any annual review an innovation is no longer meeting agreed upon technical, financial and sustainability/ESG benchmarks, WE4F will not continue to fund it. Note that these latter organizations may remain alumni of the WE4F program, and as such will be included in the semi-annual networking events at their

own expense and can still be highlighted in WE4F communications. In addition, the program will reach out to alumni for monitoring and evaluation purposes.

5.E: Innovator Engagement

WE4F S/SEA RIH conducts innovator engagement to allow the Prospective Applicants and awarded organizations to interact with Hub, other innovators and other organizations. Innovator engagement is an ongoing interaction between the program and the organizations. It is a mutual learning process to improve the program implementation as well as the business operation of the organizations that will provide benefit to the BoP who are the beneficiaries of the program. As a mutual learning process, the process needs participation from both parties. The program can learn better about the organizations' needs and provide effective support if the innovators provide accurate and timely information. This ongoing process can help both the program and organizations develop their knowledge and capacity and create positive impact to the community.

The program works with organizations directly through its support services: technical assistance, investment facilitation and enabling environment. Additionally, the program aims to foster learning among peers in the cohort and other regional innovation hubs, through regular workshops and meetings. In their journey with WE4F S/SEA RIH, the organizations will be introduced to various partners, mentors and service providers to help them achieve their expansion goals. We may also bring in experts to facilitate learning on topics of interest and need for the cohort. Beyond structured forms of engagement, the program will have continuous discussion with organizations about their evolving needs and priorities through country coordinators who will be the key engagement manager for the organization. Organizations will also share their feedback with the team through quarterly check-in calls beyond the regular interactions. This enables the program to modify our approach to suit the needs of the cohort better.

With the motivation to support gender-smart business models in the program, WE4F will facilitate regular discussions and knowledge sharing on successful strategies adopted by peers and the emerging opportunities for organizations in the cohort to scale with a gender lens. Similarly, essential aspects of environmental compliance and impact are integrated in the technical assistance and learning platforms for organizations to strengthen their business model. Finally, the knowledge management and communications team works closely with all organizations to publish their work and success, inspiring the larger ecosystem and highlighting their work among donors, investors, and other key stakeholders.

[END OF SECTION I]

SECTION II – ELIGIBILITY CRITERIA

Applicants must meet the following minimum requirements to participate in this call for innovation. Applicants that do not meet these requirements will not advance past the concept note stage.

1. **Type** – WE4F is open to legally incorporated / registered for-profit businesses and not-for-profit organizations or academic institutions which are responsible for generating revenue and maintaining a self-sustaining operational budget (i.e. covering costs). **In addition, these organizations should be able to demonstrate a revenue track record selling the water-energy-food nexus-relevant product or service.** WE4F is focused on financially viable businesses or organizations that can showcase a proven and sustainable revenue model
2. **Size** – WE4F is open to all relevant organizations / companies that are ready to scale. We encourage applications from small and medium enterprises (SMEs) with proven past sales record of the WE4F nexus product or service
3. **Location** – See Appendix 1 for geographic restrictions. Applicants must be legally registered in at least one identified country. If expansion into a new country is a key part of an applicant's business plan, they must already have partners (e.g. distributors, joint venture partners, potential merger or acquisition targets, NGOs) in place in that country to be considered. These partners must play a material role in the planned international expansion (e.g., should not be a generic, high-level relationship).
4. **Language –** Applications responses must be written in English.
5. **Matching funds** – Grant awardees must demonstrate matching funds; see Section I - 5.C: Funding for details.
6. **Impact** – Applicants' WE4F nexus-relevant products and / or services must have a direct, tangible linkage between water and / or energy and food value chains. The applicants must also directly or indirectly benefit the poor (e.g. offering opportunities for enhanced income or social mobility) and also contribute to gender equality, manage natural resources sustainably, strive for a positive impact on the environment and avoid negative environmental effects.

WE4F specifically encourages applications from women-owned / women-led organizations and developing country entrepreneurs.

Government entities and individuals are **NOT** eligible to apply for support or funding.

[END OF SECTION II]

SECTION III – APPLICATION AND SUBMISSION INFORMATION

This is the second regional Call for Innovations (CFI) for the S/SEA region under Water and Energy for Food.

Issuance of this Call for Innovations does not constitute an award or commitment on the part of the U.S. Government or any of the Partners, nor does it commit any of the Partners to pay for costs incurred in the preparation and submission of an application.

A. Points of Contact

For all inquiries, please send an email to WE4FAsiaBids@tetratech.com.

B. Eligible Country List

See Section VI – Appendices, Appendix 1 for the eligible country list.

C. Timetable

See Section I.5.A - Innovation Selection Process.

D. Content and Form of Proposal Submission

There will be two stages of proposal submission: **(1) Concept Note and (2) Full Proposal.** Up to 50 top ranked applications during the Concept Note Stage will be required to submit supplemental documents and answers in a Full Proposal.

Stage One: Concept Note Submissions

All Applicants must submit the following documents by the closing date of this Call for Innovations (November 12, 2021) using the online platform. The questions and detailed information are listed in Section IV- A: Concept Note Stage.

Please note that the responses of WE4F support recipients may be used for public communication after awards are made. WE4F reserves the right to make minor edits to the responses in order to enhance their readability for public communication. WE4F will screen any public-facing communication materials with entrepreneurs before release to ensure no breaches of confidentiality and that commercially material or sensitive information is not being released.

Stage Two: Full Proposal Submissions

Following submission of the Concept Note, up to 50 applicants, referred to as "semi-finalists", will be invited to submit a Full Proposal. The Full Proposal is meant to provide evaluators with in-depth information about the innovation. The questions are listed in Section VI -Appendix 2 Full Application Criteria. In some cases, the WE4F S/SEA RIH may request for applicants to elaborate on technical proposal submissions.

At this stage, applicants will also be required to submit a detailed budget. The budget portion of the proposals will be reviewed for cost realism and cost effectiveness. Please see Section VI - Appendix 3 for details regarding what this budget document must include.

E. Online Application Platform

Proposal submissions must be loaded into the Online Platform found at: https://bit.ly/3ipnT3f

Complete instructions regarding how to submit proposals are provided on the website: https://we4f.org/apply-ssea. Questions can also be submitted via email at WE4FAsiaBids@tetratech.com.

Please note: Proposals submitted via facsimile or e-mail will not be accepted.

If the Applicant experiences any difficulty with submitting a proposal through the Online Application Platform, the Applicant should send an e-mail to WE4FAsiaBids@tetratech.com. All proposals received by the submission deadline will be reviewed for responsiveness to the specifications outlined in this Call for Innovations.

Applicants must ensure that their applications are received by the WE4F S/SEA RIH in their entirety. No additions or modifications to the applications will be accepted after submission deadline stated in this Call for Innovations. The WE4F S/SEA RIH bears no responsibility for data errors resulting from transmission or conversion processes associated with electronic submissions.

F. Questions and Answers

Questions regarding this Call for Innovations concept note submission must be submitted in writing no later than **October 19, 2021 at 5:00 PM GMT+7** to WE4FAsiaBids@tetratech.com in order to provide sufficient time to address the questions and incorporate the questions and answers as an amendment to this solicitation (if necessary). Verbal explanations or instructions given before the issuance of an Award will not be binding. Any information given to a prospective applicant concerning this Call for Innovations will be furnished promptly to all other prospective applicants as an amendment to this Call for Innovations, if that information is necessary in submitting applications or if the lack of it would be prejudicial to any other prospective applicant. All questions received by the deadline will be answered without attribution and will be reposted on the application website.

G. Non-Disclosure

Proprietary Information—Prospective applicants that include data/information that they do not want disclosed to the public for any purpose or used by the government of

the United States of America (USG) (including other parties directly affiliated with the innovation selection process for WE4F), except for this solicitation's evaluation purpose, should indicate so through the online application platform, and mark as instructed the box that references the following text:

"*This application includes data that shall not be disclosed outside WE4F (including other parties directly affiliated with the Innovation Selection Process for Water and Energy for Food) and shall not be duplicated, used, or disclosed – in whole or in part– for any purpose other than to evaluate this application. If, however, a grant is awarded to this Applicant as a result of – or in connection with – the submission of this data, WE4F shall have the right to duplicate, use, or disclose the data to the extent provided in the resulting grant. This restriction does not limit WE4F's right to use information contained in this data if it is obtained from another source without restriction.*"

The data subject to this restriction are contained in "sheets" and, mark each sheet of data it wished to restrict with the following legend:

"Use or disclosure of data contained on this sheet is subject to the restriction on the title page of this application."

Applicants should retain for their records a copy of all information and documentation that they input/upload to the online application platform. It is the applicant's responsibility to ensure that files are complete and transmitted by the deadline. The applicant bears full responsibility for data errors or omissions.

I. Branding & Marking Requirements

1) Applicants recommended for an assistance award must submit and negotiate a "Marking Plan," detailing the public communications, commodities, and program materials, and other items that will visibly bear the "WE4F Identity," which comprises of the WE4F logo and WE4F Founding Partners' logos.
2) The request for a Marking Plan, by the WE4F S/SEA RIH from the applicant, confers no rights to the applicant and constitutes no WE4F S/SEA RIH commitment to an award.
3) Failure to submit and negotiate a Marking Plan within the time frame specified by the WE4F will make the applicant ineligible for an award.
4) The applicant must include all estimated costs associated with branding and marking WE4F programs, such as plaques, stickers, banners, press events, materials, and so forth, in the budget portion of the application. These costs are subject to the revision and negotiation with the WE4F and will be incorporated into the Total Estimated Amount of the grant, or other award agreement.
5) The Marking Plan must include all of the following:
   i. A description of the public communications, commodities, and program materials that the applicant plans to produce, and which will bear the WE4F and WE4F Founding Partner Identities as part of the award, including:

a) Program, project, or activity sites funded by WE4F, including visible infrastructure projects or other sites physical in nature;
b) Technical assistance, studies, reports, papers, publications, audio-visual productions, public service announcements, Web sites/Internet activities, promotional, informational, media, or communications products funded by WE4F;
c) Commodities, equipment, supplies, and other materials funded by WE4F, including commodities or equipment provided under humanitarian assistance or disaster relief programs; and
d) It is acceptable to cobrand the title with the WE4F Identity and the applicant's identity.
e) Events financed by WE4F, such as training courses, conferences, seminars, exhibitions, fairs, workshops, press conferences and other public activities. If the WE4F Identity cannot be displayed, the recipient is encouraged to otherwise acknowledge WE4F.

ii. A table on the program deliverables with the following details:
a) The program deliverables that the applicant plans to mark with the WE4F Identity;
b) The type of marking and what materials the applicant will use to mark the program deliverables;
c) When in the performance period the applicant will mark the program deliverables, and where the applicant will place the marking;
d) What program deliverables the applicant does not plan to mark with the WE4F Identity, and
e) The rationale for not marking program deliverables.

iii. Any requests for an exemption from WE4F marking requirements, and an explanation of why the exemption would apply. The applicant may request an exemption if WE4F marking requirements would:
a) Compromise the intrinsic independence or neutrality of a program or materials where independence or neutrality is an inherent aspect of the program and materials. The applicant must identify the WE4F S/SEA RIH Strategic Objective, Interim Result, or program goal furthered by an appearance of neutrality, or state why an aspect of the award is presumptively neutral. Identify by category or deliverable item, examples of material for which an exemption is sought.
b) Diminish the credibility of audits, reports, analyses, studies, or policy recommendations whose data or findings must be seen as independent. The applicant must explain why each deliverable must be seen as credible.
c) Undercut host-country government "ownership" of constitutions, laws, regulations, policies, studies, assessments, reports, publications, surveys or audits, public service announcements, or other communications. The applicant must explain why each particular item or product is better positioned as host-country government item or product.
d) Impair the functionality of an item. The applicant must explain how

marking the item or commodity would impair its functionality.

    e) Incur substantial costs or be impractical. The applicant must explain why marking would not be cost beneficial or practical.

    f) Offend local cultural or social norms or be considered inappropriate. The applicant must identify the relevant norm and explain why marking would violate that norm or otherwise be inappropriate.

    g) Conflict with international law. The applicant must identify the applicable international law violated by the marking.

6) The WE4F will consider the Marking Plan's adequacy and reasonableness in the award criteria, and will approve and disapprove any exemption requests. The Marking Plan will be reviewed to ensure the above information is adequately included and consistent with the stated objectives of the award, the applicant's cost data submissions, and the performance plan.

7) If the applicant receives an assistance award, the Marking Plan, including any approved exemptions, will be included in and made part of the resulting grant or cooperative agreement, and will apply for the term of the award unless provided otherwise.

[END SECTION III]

SECTION IV. – APPLICATION REVIEW INFORMATION

A: Concept Note Stage

We are inviting all eligible applicants to submit a Concept Note, which includes responses to the questions below, including basic applicant information, and longer form responses to questions in three categories: (i) innovation viability, (ii) business/financial viability and (iii) application and sustainability/ESG in developing or emerging country(ies).

In addition to responding to the following questions, applicants are required to provide background information in the online platform and demonstrate that they meet the minimum eligibility criteria described in Section II above. Concept Note responses to each question have a character maximum of 2,000.

Basic Applicant information:

1. Name of the applicant/ legal entity of the organization: [Text]
2. Website: [Text]
3. Organization email, if available: [Text]
4. Full address of applicant [Address Text]
5. Country of incorporation or registration: [Multiple choice]
    - List of all 15 target countries
6. Are you submitting this application as a consortium? Only the leading company of the consortium can submit the application. [Yes/ No]
   [Rule: If "No", continue to answer the "Type of your organization" question. If "Yes", continue to answer "Please list your partnering companies"]
7. For consortium, please list all your partnering companies [Text]
8. Type of your organization [Multiple choice]
    - For-profit,
    - Nonprofit,
    - Academic institution
    - Others (Please explain)
        - [Text]
9. Year of registration/incorporation: [Year]
10. Point of contact information
    - Name [Text]
    - Position title [Text]
    - Phone number [Number]
    - e-mail address [Text]
11. Number of total employees: [Number]
12. Number of women employees: [Number]
13. Number of women in senior management (Director, Senior Management staff, Department lead, and C-suite positions): [Number]

14. Share of ownership by women: [% Number] [Calculate the percentage of stake owned by women in the organization if applicable, else write "0"]
15. Water-Energy-Food focus area [Multiple choice]
    - Water-Food
    - Energy-Food
    - Water-Energy-Food
16. Thematic areas (select all applicable) [Check list]
    - Innovations in food production to reduce water usage
    - Efficient use of water resources for food production
    - Sustainable use of energy and water on farms
    - Energy innovations for food processing, and / or logistics
    - Food production with efficient energy use
    - Leveraging food waste for energy
    - Others [Please specify]
17. Country(ies) where the proposed activities will be implemented, including target geographies for international expansion if relevant. [Check list]
    - List of 15 target SSEA countries
18. Please provide total number of unit sold/in use until 2019, in 2020, in 2021 (if available) and the estimated target by 2024: [Text]
19. Please provide the total number of customers to date (all countries combined) and the estimated target by 2024 [Number]
    [Definition: Customers are individuals or organizations who buy the products and/or pay for the services from your company/organization.]
20. Please provide the total number of households that use your products and/or services to-date and the estimated target by 2024. [Number] [Definition: Households are the family or group of several persons who share the same living accommodation]
21. Please provide the total number of end-users to-date and the estimated target by 2024. [Number]
    [Definition: End-users are individuals who use and/or gain direct or indirect benefits from your products and/or services, regardless of whether or not they pay for it. If you have a data at a household level, please provide assumption about the number of end-users per household]
22. Estimated number of BoP end-users to date [Number]
    [Definition: Socio economic group with annual income below USD 3,000 in local purchasing power or daily income below national poverty line.]
23. Estimated number of women end-users to date [Number]
24. Financial Information
    Nonprofit / academic institution / others: Year-end operating budget/expenses in USD
    - In 2019: [Number] USD
    - In 2020: [Number] USD
    - In 2021: [Number] USD
    For-profit: Year-end operating income in USD
    - In 2019: [Number] USD

- In 2020: [Number] USD
- In 2021: [Number] USD

25. Have you ever accepted grants for your innovation/organization? If so, please list the name of the funder(s) and the estimated amount.

26. Are you looking to raise external private capital in the next 3 years? This <u>does not</u> include grants. [Yes/No]
[Rule: If "No", continue to "Innovation Viability" questions. If "Yes", continue to answer the next questions.]

27. Please share the intended amount of your private capital raise in 2022, 2023, 2024 (in US dollars) [US$ Number] [Note: Please answer "0" for all cells which are not applicable]
- 2022: [Number] USD
- 2023: [Number] USD
- 2024: [Number] USD

28. Please select your preferred private capital financing instrument(s) (select all applicable) [Check list]
- Equity (angel investor, venture capital or private equity)
- Debt (commercial or DFI)
- Combination of debt and equity
- Hybrid (convertible debt or similar)

29. Does your innovation/solution require any construction activities and/or land development at any stage of operation? [Yes/No] If yes, please provide details about the activit(ies)

30. Does your innovation/solution/business model use or intends to use any pesticides/herbicides either directly or indirectly? [Yes/No]

31. How did you know about our Call for Innovation? [Check list]
- Social media (Facebook, LinkedIn, Twitter)
- WE4F newsletter, website
- Professional networks/organizations/ friends
  - Please list the name (s)
- Direct Search/Search engine
- Event/ Webinar session
- Sankalp Global Summit 2021
- Other (Please specify)

Innovation Viability (35% of Concept Note Score)

1) What is your primary product / service that is relevant to the water-energy-food nexus? If an innovative business model helps your organization address this nexus, please detail this as well. Are there any patents or copyrights associated with this technology? If so, when do the patents expire? Are your patents uncontested (i.e., is or has any other company filed a lawsuit claiming copyright infringement)? [Text, 500 words]

<u>Evaluation Criteria (Questions 1)</u>: Does the response provide sufficient details about the product and its relevance to water-energy-food nexus? Is the presented business model realistic and scalable? Unless the technology is patented or a patent is about to expire, does the response provide a clear operational plan to ensure a successful scale of the business afterwards?

2) What causes consistent demand for this product / service from current or potential customers? What is transformative or game-changing about it, and how does it bring customers value? [Text, 500 words]

   <u>Evaluation Criteria (Questions 2)</u>: Does the response provide a compelling description of how and why the product or service delivers tangible value to customers and is clearly differentiated from existing products in the market, either by superior design, easier integration with existing practices, lower price or some other factor?

3) What is / are the specific critical barrier(s) or problem(s) related to the water-energy-food nexus that your product / service addresses? [Text, 750 words]

   <u>Evaluation Criteria (Question 3)</u>: Does the response clearly articulate the specific and critical barrier(s), and provide a compelling case that the product / service addresses it? This is different from Question 2 in that it requires a full technical description and does not seek information about pricing or substitutes.

4) Describe your current and future customer segments. How do you address the socioeconomic or behavioral challenges they face to access and/or adopt your innovation? If your innovation benefits the supply chain actors more than the customers/end-users (e.g., micro entrepreneurs or smallholder farmers as suppliers), then describe them in brief and the steps taken to address the challenges they face in benefitting from your innovation. What is the number of supply chain actors you have impacted?
   [Text, 1,000 words]

5) Do you solicit feedback from your customers and end-users about product design or service delivery? If so, what kind of modifications has it led to? Can the product / service be utilized by (or be adapted to use by) vulnerable populations such as women and the poor? [Text, 500 words]

   <u>Evaluation Criteria (Questions 4 and 5)</u>: Does the response convincingly articulate innovation's ability to account for diverse customers/end-users /supply chain actors' needs and aspirations, and addresses the challenges in innovation adoption?

Business / Financial Viability (30% of Concept Note Score)

Instruction: If you are a for-profit organization, please answer ALL questions. If you are not a for-profit organization, please skip Question 1-4 and answer from Question 5 onward.

1) How many years have you been earning revenue? [Number: Years]

2) What were your total revenues (in US dollars) in the most recently completed annual reporting period? Please only include revenue from sales, not from grants. [Number: USD]

3) Approximately what percentage of your total annual sales revenues (not including grants) is represented by your products / services that are relevant to WE4F? [Percentage]

4) What was the total amount of grant capital (in US dollars) you received in the most recently completed annual reporting period? [Number: USD]

5) Are these a central part of your company's sales, or one of many different products or services offered? How do you anticipate this water-energy-food nexus product / service contribution to total revenues will change over time? Will it be a greater percentage, the same, or less? [Text, 750 words]

6) Describe your plans for growth and expansion. Will you expand by selling the same product / service to existing or new customers in your current market, to new customers in a new market, or by selling a new product / service to existing or new customers in your current market, or in a new market? Does your expansion plan (until 2024) involve moving into a new country? [Text, 1,000 words]

7) What are major potential barriers and obstacles you foresee in implementing your organization's expansion and growth strategy, not including raising capital? [Text, 1,000 words]

   Evaluation Criteria (Questions 1-7): Where qualitative (text) responses are provided, does the response indicate that the respondent a) possesses a viable level of financial, commercial and managerial acumen; b) demonstrates a sustainable plan of raising funds going forward?

8) What is the unit price (in USD) at which you sell the product / service? [Number: USD]

9) If you sell directly to consumers / end-users, are customers able to afford paying for your product / service outright or do they need to finance the purchase? If yes, how do they obtain financing? [Text, 500 words]

10) How much does your product / service cost to sell? (For a product, this should include the cost of manufacturing and distribution.) [Number: USD]

   Evaluation Criteria (Questions 8 - 10): Does the response indicate fluency in basic accounting related to unit economics and financially sustainable operations? What does it indicate about the scale and track record of the organization?

11) If you have plans to expand to a new country, what types of local partnership arrangements would you need or have in place in the targeted country? [Text, 1,000 words]

   Evaluation Criteria (Question 11): Does the response demonstrate clarity and effectiveness of the innovator's partnership strategy to expand in a new country?

Application and Sustainability/ESG in Developing or Emerging Country(ies) (35% of Concept Note Score)

1) How does your innovation benefit or impact vulnerable groups such as the poor and marginalized (e.g., does this innovation engage one or more of these vulnerable groups such as employees, suppliers, sales personnel, marketers, promoters, community mobilizers, distributors or consumers)? How do you ensure that your innovation is affordable and accessible to these vulnerable groups? [Text, 1,000 words]

   Evaluation criteria (Question 1): Does the response clearly describe what type of social impact is intended and observed, how the innovation may affect lives or livelihoods of the poor and the marginalized, and ultimately contribute to socioeconomic development at the local level?

2) How do you ensure that your innovation creates a positive impact on women as employees/suppliers/agents/distributors/customers or users and improves gender equality? (e.g., Do you include feedback from women in your product design? Do you offer any type of financing mechanism specifically for women? Do you employ or create jobs for women along your value chain? Do your sales and distribution functions have the logistical capability to reach women? Do you provide, directly or through a partner, extension training specifically aimed at enabling women to benefit from your product or service or sensitize men to improve gender dynamics within the household/community?) [Text, 1,000 words]

Evaluation criteria (Question 2): Does the response explain the effort of the innovation/model to create positive impact on women and/or shift gender dynamics towards a more equitable, balanced state? Does it provide additional power and agency to women as customers, users, supply chain partners or employees?

3) Which of the following environmental impacts does your innovation have for end-users? (Select All that apply) [Check list]
    - Energy Use
    - GHG emissions
    - Water Consumption [Rule: If YES, continue to answer Question 4. If NO, skip to answer Question 5]
    - Biodiversity
    - Climate resilience

4) If you select "water consumption" in Question 3, how does the innovation impact water consumption for end-users? (Select All that apply) [Check list]
    - Increases Water capture/storage
    - Reuses water for agricultural purposes
    - Improves water use through irrigation
    - Treats brackish or saline water
    - Other - please mention.

5) Describe the existing or potential "positive" environmental impacts (especially related to natural resource / water management, climate resilience, and biodiversity) that could be generated by your innovation? Please identify and describe how you intend to scale the positive impact on the environment.

   Additional description: (e.g., are there positive effects on biodiversity as result of your solution's water management, does the innovation support diversification as opposed to monoculture; does your innovation reduce dependence on fossil fuels; does your innovation prevent loss of crops due to flood or drought or salinity; does your innovation protect the natural habitat such as lakes, forests and soil? etc.) [Text, 1,000 words]

6) Describe the potential "negative" environmental impacts from procurement to production, distribution, and end of life cycle (especially related to natural resource / water management, climate resilience, and biodiversity) that could be caused by your innovation? Please identify how you intend to (or already) mitigate any current and future negative risks to the environment. [Text, 1,000 words]

   Illustrative examples: The mobile solar pumping solution could result in excessive, unmonitored use of water. It can be mitigated by the installation of digital water meters and monitor water use in real time. Please note that despite

the core product/service being environmentally friendly, collateral/unintended negative environmental impacts can occur during its life cycle and needs to be mitigated.

Evaluation criteria (Question 3 - 6): Does the response provide a clear and convincing explanation of how positive environmental impact is achieved or how negative environmental impact is mitigated?

Note: Concept Note and Full Proposal responses will be evaluated against the evaluation criteria, not against each other.

B: Full Proposal Stage

Following submission of the Concept Note, up to **50** applicants will be invited to submit a Full Proposal. The Full Proposal is meant to provide evaluators with in-depth information about the innovation and the organization planning for expansion. Questions asked at the Concept Note stage may be repeated in the Full Proposal stage; therefore, we encourage you to save any Concept Note submission. Applicants must also answer additional questions in the Full Proposal stage.

The Full Proposals will be reviewed by the technology, investment, gender, environmental, and BOP/poverty specialists on the Regional Advisory Board. Applicants will be also asked to provide a budget spreadsheet and budget narrative, and past performance references. RIH personnel reserve the right to reject any file or materials that do not open properly as email attachments, or those that may be suspected to have a virus. In addition, if potential applicants submit material that is not requested, such material will not be reviewed or scored.

Full Proposals will be based upon specific questions tailored to each theme. Questions will be divided into three categories: 1) Innovation Viability; 2) Business/Financial Viability; and 3) Application and Sustainability/ESG in Developing or Emerging Country(ies). See Section VI -Appendix 2 for illustrative questions.

WE4F may choose to accept applicants upon the basis of Full Proposals without holding discussions with applicants, although the WE4F reserves the right to hold discussions at the sole discretion of the RIH team. Applicants are therefore advised that each Full Proposal application should contain the applicant's final and best effort.

C: Video Teleconference Interview Assessment Stage

Finalists (applicants who pass both Concept Note and Full Proposal stages) will be invited to participate in an interview with the WE4F S/SEA RIH and members of the RAB. This will take place via videoconference and will serve as a presentation session to at least two members of the RAB.

No more than six people can represent an organization. Presentation sessions will be no longer than two hours. They will include an overview of the most salient aspects about

the innovation from the organization. It will also give applicants an opportunity to address weaknesses identified by reviewers, and will be followed by a Q&A session that will enable the RAB to validate responses to innovation technical viability, application and sustainability/ESG in developing and emerging countries, and business / financial viability questions and assess the capacity of the management team. In addition, all Finalist applications will be reviewed by gender and environmental specialists to determine if the application meets the ESG requirements of the WE4F program.

[END SECTION IV]

SECTION V. – AWARD AND ADMINISTRATION INFORMATION

Awards made through this Regional Call for Innovations **may be in the form of grants, and other award agreements**, depending on the nature of the submitting organization and proposal. The WE4F S/SEA RIH will determine the appropriate Award instrument for the selections resulting from this solicitation. Prior to Award execution, the WE4F S/SEA RIH may solicit additional information necessary to execute the Award.

A. Award Administration

As of the date of this Regional Call for Innovations based on the Appropriations Act, the WE4F S/SEA RIH is prohibited from directly financing any assistance or reparations for the governments of Cuba, North Korea, Iran and Syria.

Award: Although there are multiple international government and private sector partners contributing financial and technical resources to WE4F, all awards made through this competition will be made and administered by the WE4F S/SEA RIH implemented by Tetra Tech ES, Inc. The WE4F S/SEA RIH may (i) reject any or all proposals, (ii) accept more than one proposal, and (iii) waive informalities and minor irregularities in proposals received.

WE4F S/SEA RIH Management of Activities: The WE4F S/SEA RIH Manager shall serve as the primary agreement contact between the WE4F S/SEA RIH and the recipient of the Award.

Award Administration: Full award administration information will be determined at time of award based on the mechanism chosen by the WE4F S/SEA RIH.

Pre-award documents: All of the pre-award finalists are required to complete pre-award documents and submit to WE4F S/SEA RIH prior to the confirmation and announcement of the awardees. All of the templates will be provided and explained during pre-award bootcamp. The pre-award documents for each stage can be found below in Table 2.

Table 2: Pre-award timeline and documents

Stage	Innovator's actions and documents	Key dates (tentative)
Concept Note Intake	**Submission:** 1) Online concept note application form (see [Section IV.A](#))	**Question submission deadline:** October 19, 2021 at 5:00 PM GMT+7(Bangkok time) **Q&A webinar:** October 21, 2021 at 10:00 - 11:00

		AM GMT+7 (Bangkok time)
		Submission deadline: November 12, at 5:00 PM GMT+7 (Bangkok time)
Concept Note Review	N/A	**Shortlisted applicant notification:** The 4th week of November 2021
Full Application Intake	**Submission:** 2) Online full-proposal application form (see Appendix 2)	**Question submission deadline:** December 7, 2021 at 5:00 PM GMT+7(Bangkok time) **Q&A webinar:** December 9, 2021, at 10:00 - 11:00 AM GMT+7 (Bangkok time) **Submission deadline:** December 22, 2021, at 5:00 PM GMT+7 (Bangkok time)
Full Application Review	N/A	**Shortlisted applicant notification:** The 4th week of January 2022
Video Teleconference Interview	**Participation:** 3) Video teleconference interview (see Section IV.C)	**Interview period:** February 1-18, 2022
Required documents completion and bootcamp	**Participation:** 4) 3-day pre-award bootcamp 5) Weekly pre-award supporting check-in call **Submission:** 1) Certificate of Incorporation 2) DUNS and SAMS Number 3) List of Key Personnel 4) Detailed Budget along with Budgetary Notes 5) Vendor Set-up Form (including bank details and foreign income certification)	**Bootcamp:** March 22 – 24, 2022 **Weekly pre-award supporting check-in:** March 28 – April 25, 2022

	6) Pre-Award Survey and the results memo 7) Grant agreement 8) USAID LAB Bureau Environmental Officer (BEO) and Environmental Checklist 9) Technical assistance needs diagnostic 10) Acceleration workplan with annual and life-of-program (until 2024) targets 11) Baseline survey for all indicators included in the acceleration workplan 12) Grant milestones, in accordance with the agreement and acceleration workplan 13) Innovator profiles and the consent to be used for WE4F's media 14) One-slide Marking Plan (See Section III.I)	
Approval by Secretariat and Steering Committee	N/A	
Awards Made to Top Applicants	N/A	**Awards announcement:** The 2nd week of May 2022

Funding Information: Funds may be provided in increments subject to availability of funds, successful implementation and continued relevance to the WE4F S/SEA RIH. The WE4F S/SEA RIH's obligation to make awards is contingent upon the availability of sufficient appropriated and donor partner funds from which payment can be made and the receipt of proposals that the WE4F S/SEA RIH determines are acceptable for Award under this Call for Innovations.

Period of Performance: The period of performance for new Awards for proposals submitted in response to this Call for Innovations is up to two years from date of Award, unless otherwise specified.

B. Award Budgets and Restrictions

Award Budgets: The estimated ceiling for this Call for Innovations is US$ 2 million from Water and Energy for Food. Subject to the availability of funds, the individual Award(s) will range from US$ 25,000 to US$ 200,000. It is anticipated that up to 30 proposals will be funded in this CFI 2, but this may vary depending on quantity and quality of

submitted applications. The applicants who are not successful for the grant award may still be considered for strategic technical assistance and investment facilitation supports that will help them scale.

Award Utilization Restrictions: In accordance with the donors' requirements, the awarded funding from WE4F S/SEA RIH can NOT be used for the below items.
- The grant cannot be used for capital expenditures (CapEx) valued equal to or more than US$ 5,000 per unit.
- The grant cannot be used to purchase any equipment or item produced in the People's Republic of China

C. Intellectual Property
WE4F's goal is to facilitate the research and development that will lead to innovative, and potentially commercially viable, solutions. Understanding the sensitive nature of submitters' information, the WE4F S/SEA RIH will work with organizations to protect intellectual property.

Intellectual property provisions applicable to contract awards are subject to the provisions of the WE4F S/SEA RIH FAR Supplement Agency for International Development Acquisition Regulations (AIDAR) (available at http://transition.usaid.gov/policy/ads/300/aidar.pdf). When the awardee is a college, university, nonprofit organization or small business firm, FAR clause 52.227-11 and FAR clause 52.227-14 shall apply. When the awardee is a large business firm, FAR clause 52.227-14 will apply.   The WE4F S/SEA RIH may include FAR Clause 52.227-16. Additional Date Requirements in the resulting contract if appropriate. The following regulations shall apply for intellectual property (IP) issues arising from:

   a) Patent development, including USAID-funded research, technology development, and technology transfer for commercialization or other distribution;
   b) The creation and funding of copyrighted material and marks; and,
   c) The handling of information that are trade secrets.

Federal regulations for intellectual property are:

   a) 17 U.S.C. 101, 105
   b) 17 U.S.C. 301 – 305
   c) 22 CFR Part 226
   d) 35 U.S.C. 100-212
   e) 37 CFR Part 401, "Rights to Inventions Made by Nonprofit and Small Business Firms under
   f) Government Grants, Contracts, and Corporate Agreements" (implementing the Bayh-Dole Act)
   g) AIDAR Subchapter E – Part 727

Title and Rights in Property: During negotiations, Applicants should identify where title to all property types acquired for WE4F activities is critical to their commercialization efforts. the WE4F S/SEA RIH will determine whether title to property will remain with Applicants for a specified period to be negotiated prior to award.

D. Reporting Requirements

Specific reporting requirements will be stipulated at the time of Award negotiation. Applicants should anticipate the following deliverables to demonstrate the project's progress and success:

a) A detailed monitoring and evaluation plan, with expected timelines to completion
b) Semi-Annual progress report detailing the technical and programmatic achievements
c) A clear proof-of-principle demonstration described in the original proposal and documented as part of the final report, including detailed documentation of the technical work accomplished and success and lessons learned from the project.
d) Dissemination of knowledge through publications in peer-reviewed literature, patent applications, etc. Other requirements as mentioned by the WE4F S/SEA RIH

In addition, awardees will likely be responsible for the following activities and documentation during the life of the program:

e) Conducting ongoing assessment of progress and a final evaluation, and submitting periodic reports according to the requirements outlined in the Award;
f) Briefing WE4F Partners on project progress and outcomes;
g) Cooperating with WE4F Partners to facilitate rigorous program evaluations; and
h) Maintaining communication with key WE4F staff.
i) Attending up to four WE4F-related activities/events per year.

[END SECTION V]

SECTION VI. APPENDICES

Appendix 1- Eligible Countries of Implementation

Bangladesh	India	Myanmar	Sri Lanka
Bhutan	Indonesia	Nepal	Thailand
Cambodia	Laos	Philippines	Timor Leste
	Malaysia	Singapore	Vietnam

Appendix 2 - Full Application Criteria

Following submission of the Concept Note, **up to 50 applicants** will be invited to submit a Full Proposal. The Full Proposal is meant to provide evaluators with in-depth information about the innovation. Many questions asked at the Concept Note stage are repeated in the Full Proposal stage. Applicants must also answer additional questions in the Full Proposal stage. Applicants invited to submit a Full Proposal may update their responses from the Concept Note. Applicants will also be asked to provide a budget.

Questions are divided into three categories: 1) Innovation Viability; 2) Business/Financial Viability; and 3) Application and Sustainability/ESG in Developing or Emerging Country(ies). Below, we list likely questions; there may also be different and/or additional questions asked of applicants.

Additional Basic Applicant information:

1. Please provide gender-segregated total number of customers until 2019, in 2020, in 2021 (if available). [Text] If you do not have gender-segregated data, please provide an estimated percentage of women customers. [Definition: Customers are individuals or organizations who buy the products and/or pay for the services from your company/organization.]

2. On average, how many households use one unit product/service of yours? [Example: if your product is a community solar pump, there may be 10 households using your product.]

3. Please provide gender-segregated (male and female) total number of end-users until 2019, in 2020, in 2021 (if available). If you do not have gender-segregated data, please provide an estimated percentage of women end-users. [Text] [Definition: End-users are individuals who use and/or gain direct or indirect benefits from your products and/or services, regardless of whether they pay for

it. If you have a data at a household level, please provide assumption about the number of end-users per household]

4. Description of the estimated number of jobs created for "BoP" in your operation and supply chain (e.g suppliers, sales agents, micro-entrepreneurs, marketers, promoters, community mobilizers etc.) [Text]

5. Description of the estimated number of jobs created for "women" in your operation and supply chain (e.g suppliers, sales agents, micro-entrepreneurs, marketers, promoters, community mobilizers etc.) [Text]

Innovation Viability (35% of Full Application Score)

Please note that this section refers specifically to the WE4F-relevant product or service that makes you eligible for consideration under this program. Kindly do not present any other products or services that your organization offer.

1. Describe your innovation in detail by addressing the following:

i. Based on your answers in the 1st question (question is mentioned in the additional description below) of *Innovation Viability* section in the concept note about the water-energy-food innovation. *Please provide back-up documentation on the technology (i.e., user manual) and copyright / IP in the form of 1 PDF of no more than 3 pages.*

   Additional description: What is your primary product / service that is relevant to the water-energy-food nexus? If an innovative business model helps your organization address this nexus, please detail this as well. Are there any patents or copyrights associated with this technology? If so, when do the patents expire? Are your patents uncontested (i.e., is or has any other company filed a lawsuit claiming copyright infringement)?

ii. What percentage of your overall revenue is represented by this innovation (most recent fiscal year)? [Numeric Answer; Mandatory]

iii. What other products or services does your organization offer (brief list only, not descriptions)? If your innovation failed, would your organization survive? Please explain.

iv. How was your innovation developed, from 'idea stage' through to commercialization at scale? Where and when was your innovation launched? Has your innovation changed or developed since launch, particularly with regard to technology and design? If so, what led to these modifications?

v. Describe the manufacturing process for your innovation. If a physical product, do you own the machines required to produce the innovation or does a supplier manufacture it for you? If a supplier, do you have just one supplier or do different suppliers provide different parts which you then package together or assemble?

2. Describe your innovation's current and / or expected customers / end-users by addressing the following questions (if you sell to a wholesaler or retailer through a B2B model please comment on the ultimate customer/end-user, i.e., women and men smallholder farmers or value chain actors/businesses you work with):

i. Do you provide your innovation directly to customers (B2C) or through a distributor/retailer (B2B)? Please mention if the customer of the innovation and end users are different. Provide detailed profiles of the customers/end-users, as applicable below. *Please attach any supporting document or presentation to explain the customer/user segments if available.*

    a. Please include information on gender; type of agricultural activity involved (e.g. primary production, processing); if a primary producer, their average cultivable farm size; estimated average annual income (in purchasing power parity-adjusted current USD/local currency), ownership of livestock or other indicators that would describe their socio-economic characteristics. Additionally, if you have information on the age of the customers/end users and the general locations / geographies in which the agricultural activity takes place.

    b. If you sell to different types of customers, please provide an approximate percentage of each type, delineated by geography and type of agricultural activity (e.g., 80% grain millers in southern India, 20% spice millers in Bangladesh)

    c. If your ultimate impact is targeted at/beneficiaries who are value chain actors or micro-entrepreneurs, then describe them, their incomes and geographical coverage. [NA if not applicable]

ii. What drives demand for your innovation from these customers and end-users? How does it bring them value (e.g., allows higher yields, allows better quality outputs that command higher prices, allows storage and preservation so they aren't selling amidst a post-harvest supply glut, etc.)

iii. Do you expect customers to purchase your innovation just once, or could you have repeat customers? If you provide a service, how frequently do customers require this service?

iv. If you have repeat customers, what is the retention rate for repeat customers? If you've lost customers, what reasons are cited for not continuing to use your product or service?

v. Do you solicit feedback from your customers? If so, have you incorporated feedback from your customers into your product or service offering? Has this included the BoP and women customers/end-users?

vi. How do you track customer and user data? What kind of MIS or software do you use, if any? How will this help you understand your customers/users better?

3. Provide an overview of the competitive landscape and market for your innovation.

i. What is the estimated current total addressable market (TAM) (i.e., everyone you could conceivably reach who would probably want to buy your product or service) for your innovation? How do you see this evolving, and what are the major drivers of demand growth and / or decline? *Please provide any market analysis document or presentation, if available.*

ii. What is the estimated current market share of your innovation?

iii. What are the major substitutes for your innovation in the market? What are the strengths and weaknesses of your innovation compared to these substitutes?

iv. If a competitor firm were to want to introduce a rival product or service in your market, what barriers would they face in doing so (please note this refers to the product or service specifically, not the competitor overall)

v. Please provide a list of known or perceived rival products or services, noting that this may be different from rival companies.

4. Describe the unit economics of your innovation:

i. What price do you currently charge customers for your innovation? How long have you been charging this price, and approximately how many sales have you made at this price?

ii. What is the expected lifespan of product? What is the level of need for maintenance? Are there any guarantees for the product lifetime? Will the innovation require customers to purchase maintenance or do you provide after-sale services for free? How will customers be able to buy spare parts and how is the after-sale service provided?

iii. How much does your innovation cost to produce? If it is a product, please include cost information on raw material inputs as well as costs to manufacture, store, move and install your innovation. If a service, please include cost information for

the personnel performing the service, special equipment it involves, logistics expenses, etc. *Share slides or excel sheet for unit economics, if available.*

iv. Is the price you currently charge for your innovation greater than the total cost to produce and deliver it? If not, do you have a clear path to reduce costs or increase price? If not, how does your business or organization manage this loss-making situation?

v. How do most of your customers pay for the service/product (e.g., loans from banks or non-bank lenders like MFIs, installment plans through third party providers or you)?

vi. Do you provide any type of customer financing? If so, please provide an overview of the financing support. What is your source of financing for customers?

vii. Do any of your customers receive a government or donor subsidy for the purchase of your innovation? If yes, how does the process work? What share of your revenue comes from such concessions?

viii. Are there any challenges related to customer payment and/or pricing? In the case of customer non-payment, what recourse do you have (e.g., for a PAY AS YOU GO service, you would shut the service off)?

ix. What have been additional challenges due to Covid-19? How have you tried to address this?

5. Describe the expansion and growth strategy for your innovation:

i. Please describe the expansion and growth strategy for your specific innovation. What are the key elements and timeframe for your growth strategy? How does this fit into your organization's overall growth strategy? Are they the same, or is the innovation only a part of a broader growth strategy? *Please feel free to share a business plan/slide deck as an answer to this question*

ii. How do you anticipate your innovation's contribution to total revenues evolving over the next   three to five years? Will it be a greater percentage, the same, or less? Which of the customer acquisition models is likely to provide the major share of the revenue growth?

iii. What are major potential barriers and obstacles you foresee in implementing the innovation's expansion and growth strategy, outside of failing to receive the required funding?

iv. *[For Not-for-profit organizations/Academic institutions only]* How is your support vital to the growth and expansion of the business? How do you see your role evolving with the expansion of the business? [NA for for-profit organizations]

v. What kind of changes have you made, or do you plan to make to the model/operations in the light of COVID-19 impact on farmers/customers/end-users/operations team?

6. WE4F uses both standard key performance indicators (KPIs) and illustrative indicators to track supported innovators' progress. The <u>WE4F Project Activity Document</u> provides the KPIs (pg. 24-25) and illustrative indicators (pg. 65-77).

    i. In the sections below, please provide tentative numerical targets for each of the Water and Energy for Food KPIs. Please then describe the activities you will undertake to meet those targets. Applicants are not responsible for illustrative indicators at this time, but upon award will select a subset of these to track.

WE4F KPI Targets	Units	Target During Project Period [2022 - 2024]	Activities planned to achieve targets
Total mass of food produced as a result of your innovation	# of tons		
Total mass of food processed as a result of your innovation	# of tons		
Total amount of energy saved in the food value chain as a result of your innovation	# of kWh		
Total volume of water consumption reduction in the food value chain as a result of your innovation	# of liters		
Number of smallholder farmers and other end-users reached	# of number	Male :XX Female: XX	
Number of smallholder farmers and other end-users that experience an increase in income as a result of your innovation	# of number	Male:XX Female: XX	
Number of jobs created in the value chain	# of number	Total: XX BoP: XX Women: XX	

    ii. Please describe the challenges that you foresee that might hinder you from meeting the targets for standard indicators described above.

iii. Do you have existing records of your innovation end-users? [Yes/No] [Rule: If YES, answer the following questions. If NO, skip all and continue to the "Business/Financial Viability" section]

iv. Do you have any user data privacy policies in place which will require modification of end-user records before they are shared with WE4F? [Yes/No]

v. Do these records include end-users' location and contact information? [Yes/No]

vi. Do these records note the gender of your end-users? [Yes/No]

Business/Financial Viability (30% of Full Application Score)

Please note that this section pertains to your organization as a whole.. In this section we want to hear about your organization. WE4F will not look favorably upon core management teams comprised of expatriates based remotely or with very little operating experience in the S / SE Asia region.

1. Provide a qualitative description of your organization, from its establishment through today, highlighting the following:

i. Original founding purpose and value proposition to customers across products / services / lines of business, and how these have evolved over time (if they have).

ii. Details of your leadership / management team and their experience, including years of experience, expertise, and previous roles held (Please share the link for LinkedIn profiles and / or provide PDF copies of CVs as an attachment).

iii. Details of historical growth and expansion of your overall business (not just the business line related to your WE4F product / service).

iv. Details of how this growth was funded, including timing, amounts and type of capital infusion.

v. Assuming you did not raise capital from investors, and that you could not receive grants in the future, how long would your business survive?

vi. A detailed description of your value chain (including, as applicable, manufacturing processes), your operations and your sales and distribution processes.

vii. What is your competitive advantage at the company level (not just at the level of your WE4F-relevant product / service), including observations about key competitors, suppliers, customers, and barriers to market entry? Is it easy for a different company to compete with you, or difficult? Do you have many suppliers, or few? How price-sensitive are your customers?

2. Provide financial details about your organization.

i. Please provide at least three years of historical financial statements, including an income statement, balance sheet and statement of cash flows. *If you have historical or forecasted financial information in Microsoft Excel documents, please also provide those.*

ii. Major revenue drivers by product/service and geography. In what currencies do you earn revenue? Do you sell to other businesses (B2B), directly to consumers / end-users (B2C), to governments, or to a combination of these?

iii. Is your operating profit currently positive? If so, since when?

iv. Is your net income currently positive? If so, since when?

v. In a typical year, do you have positive cash flows? Positive operational cash flows?

vi. If applicable, how long does it take you to cycle through inventory?

vii. If you sell your product or service on credit, how long does it typically take customers to pay in full? Does this involve end-user financing? Please describe.

viii. If applicable, when you buy inputs how long do you have to pay your suppliers?

ix. Do you currently have any outstanding loans on your balance sheet? Do you have a bank overdraft account or similar arrangement to borrow cash short-term?

x. How many existing investors (shareholders) does your organization have?

3. Describe your expansion plans at the organization level (as opposed to the innovation focused/ business line / product or service level).

i. Do you have a specific business expansion plan in place? If so, please share a PDF copy.

ii. If your expansion plans rely heavily on selling more of a product or service that is not described in the Innovation Viability questions, please describe additional expansion goals and objectives. Please address how and why the product / service you mention below is not the primary component of your expansion plans.

iii. If you intend to expand to a foreign country, what types of local partnership arrangements do you have in place already in the target country? These could be distributors, wholesalers, vendors, joint venture partners, merger or acquisition targets, or non-commercial partners such as NGOs who perform agricultural extension services to enhance sales and marketing of your product or service.

Please be specific about partnerships you have already put in place to prepare for this expansion. If available, please also provide letters or other indications of commitment (e.g. contracts, memoranda of understanding, letters of support, negotiation documents) as evidence of your partnership strategy.

4. Describe your plans to finance your expansion.

i. Do you plan to raise capital from outside investors to support your expansion? If you have existing investors, will you approach them for capital as well as new third-party investors?

ii. What is the total cost of your planned expansion? Will it be incurred all at once or in phases?

iii. Please provide a breakdown of all the sources of capital you require for expansion, and the corresponding uses of this capital. The sources should include self-funding if a significant amount (i.e. 'cash from balance sheet').

iv. Do you intend to raise debt, equity, or something else (convertible debt, e.g.)?

v. Do you have an idea of your company's valuation? If you have already completed equity investment rounds in the past, what was the resulting valuation (post-money) and when was this (month and year)? If you have not completed equity rounds, have you attempted to calculate your own valuation?

vi. How much of your company are you willing to sell (%)? How much dilution are your current shareholders willing to accept, if applicable? Would you sell a majority stake in your business to raise capital for your expansion, or only a minority stake? Why?

vii. Do you have existing relationships with equity investors, including venture capital investors? With banks? Please explain.

5. Describe the experience of your core management team (i.e. those with decision authority over strategy and operations) in the S / SE Asia region, specifically the country(ies) in which your organization is currently registered / incorporated and those to which you intend to expand, if applicable.

i. How many expatriates are part of your core management team, if any, and how many years of experience do they each have in your current and target countries?

ii. Where is your core management team currently based? If this is different from your 'operational headquarters' why is this the case? How will the team structure look like in the next three to five years with regards to local vs expat hires?

iii. What percentage of your operations team is working in the country/location of expansion? How frequently do they have to travel to the sites? How has this changed due to COVID-19 restrictions in the past year?

Sustainability/ESG in Developing or Emerging Country(ies) (35% of Full Application Score)

In this section, we want to hear about your ESG impact and plans of your business, and partnerships in your existing market(s) and in target countries / markets to which you plan to expand.

1. Describe your understanding of the enabling environment in your country(ies)/ location(s)of operation or expansion:

i. Provide details about the legal and regulatory guidelines that will "foster" and "inhibit" your innovation in the country(ies) in which you currently operate and propose to expand, including specific laws and policies.

ii. What is your plan (if any) to engage with policies/regulations that most impact your business model either positively or negatively? Does the evolving political context in your countries of operations and expansion impact your work and growth plans? If yes, how do you plan to adapt?

iii. Do you currently receive any incentives such as concessions or subsidies from a national or regional government? Please describe.

iv. List the ideal type of partnerships required for you to scale in the markets you operate in/intend to operate in future

v. Are there any industry associations, professional organizations or other types of networks to which your organization belongs or aspires to belong? What benefits do you see from such affiliations, and how would you operationalize those benefits to help grow your business and / or achieve greater social and / or environmental impact?

2. Describe your understanding of the role of women within the ecosystem you serve or intend to serve, and the impact on them as beneficiaries of your innovation.

i. Is your innovation directly used or will be directly used by women? Have you conducted or are planning to conduct a gender analysis of your business model?

ii. Describe how you involve women as a customer segment/supplier/worker/employee in the business model of your WE4F innovation and how do they fit in your expansion plan? What, if any, changes

have you made to your marketing, sales, financing, or hiring strategies during COVID-19 to include women or reduce gender barriers?

iii. Have you directly marketed to women based upon an understanding of their role in the agricultural value chain specifically, included their insights in product design or designed financial solutions targeted at them? Please describe this effort and the results or outcome if any. Who are the partners you have worked with to market/sell, train, hire, or provide financing for women? Have you run any other pilots for gender mainstreaming in the business? Please provide details if you have. *Attach pilot documents or presentations if available.*

iv. How can women benefit directly or indirectly from your innovation (e.g., they are able to earn more money for their households, they save significant amounts of time each day or week by no longer having to perform certain tasks manually or walk long distances to collect or deliver resources, etc.)? Illustrate with data if possible (e.g., average increase in income, average increase in savings, reduced number of hours of work, number of jobs created for women, reported increase in agency or satisfaction, etc.). *Mention if you also create impact across intersectionality of class, caste, race, ethnicity, disability, etc.*

v. What kind of influence has your innovation had on the gender dynamics in the communities or on household dynamics in areas you work? [This is the outcome that explains the long-term change created in gender dynamics by your innovation]

vi. Please elaborate how you work with men and women in your teams or communities you serve to improve gender dynamics and create better opportunities for women? What initiatives have you taken to involve men in the process?

vii. What steps or commitment have you implemented to improve the recruitment, retention and growth of women in your management teams (e.g., targets to hire women, training or leadership programs, gender sensitization workshops, gender training for senior management and managers, etc.)? What kind of conducive employee policies do you have in place/are in the process of introducing to ensure this (e.g., equal pay policy, anti-discrimination policy, prevention of sexual harassment policy, parental leave policies, etc.)? *Attach any policy documents available.*

3. Describe your understanding of how your innovation impacts the natural environment. Please provide details for questions that are relevant to your innovation.

i. How does your innovation have an effect on the relevant environmental factors?

a. If operating in the water-food nexus, what effect does your innovation have on water management? Does your innovation directly source water from streams, rivers or lakes or does it rely on boreholes drilled to access groundwater from aquifers? Is there risk to aquatic life or water resource physical characteristics? Does it impact wetland areas that have implications on biodiversity?

b. If involved in irrigation, have you ever had an assessment completed by a qualified expert to understand potential risks posed to local water tables by over-irrigation?

c. If operating in or touching the fertigation or fertilizer space, have you studied the potential effects on soil health of overfertilization, and the follow-on effects on the surrounding ecosystem such as contamination of nearby bodies of water?

d. If operating in the pesticides space, how does your innovation replace pesticides or eliminate the need for them in the near future?

e. For agricultural innovations (seeds or feedstock), what will be the impact on natural habitats due to crop introduction.

ii. If your innovation/solution requires any construction activities, what will be the extent of the infrastructure/footprint required to install/operate the innovation, if any? Do you foresee any land development required in relation to your solution? If yes, please provide details about the activity

iii. Are there specific laws/rules related to the environment that your organization has to comply with in the countries of your operation?

iv. How is your innovation going to work or plan to work towards continuous improvement of environmental performance or Good International Industry Practice? [Please check the commonly used terms list in the CFI solicitation document]

Additional description: Good International Industry Practice (GIIP) is defined as the exercise of professional skill, diligence, prudence and foresight that would be reasonably expected from skilled and experienced professionals engaged in the same type of undertaking under the same or similar circumstances globally. The Environmental, Health, and Safety (EHS) Guidelines are technical reference documents of the World Bank Group with general and industry-specific examples of Good International Industry Practice. https://documents1.worldbank.org/curated/en/157871484635724258/pdf/1121 10-WP-Final-General-EHS-Guidelines.pdf

v. Do you have an existing environmental mitigation and monitoring plan (EMMP) to demonstrate internal commitment to environmental performance? *Attach any documentation available.*

vi. Do you foresee the need to recycle or dispose of any type of waste throughout the life cycle of your product/service from sourcing to production, distribution, usage and disposal? If yes, what measures will be taken to ensure recycling or safe disposal of waste including solar panels, batteries, e-waste during operation or at the end of the life cycle?

vii. What are the climate risks which may impact your operation and innovation adoption (i.e., sea-level rise, flood, drought, changing of weather pattern, etc)? and how are you managing them?

viii. How does your innovation contribute to building climate resilience for farmers or other food producers to better manage effects arising from climate change such as sea-level rise, flood, drought, changing of weather pattern etc.?

ix. How does your innovation contribute to the greenhouse gas (GHG) emission reduction? If available, please share the potential GHG emission reduction until 2024 (in tons CO2e), if applicable.

x. How does your innovation impact (positively and negatively) the biodiversity of the surrounding area of your operation, if any? For negative impacts, please share your mitigation measures. [Definition: Biodiversity is the variety of life on earth, including plants, animals, bacteria, and fungi. It also includes all organisms, species, and populations; the genetic variation among these; and their complex assemblages of communities and ecosystems.]

Examples: Replacing the use of traditional wooden charcoal briquettes by coconut shells/agricultural residue can save 6 kilograms of wood (1 Kg of traditional wood charcoal requires 6 Kg of wood) coming from the forest. Use of bio-digester offsets greenhouse gas emissions which reduces firewood collection, thus minimizing deforestation.

4. Describe your approach towards the poor as a customer segment/end-user (also known as Base of Pyramid (BOP) population).

i. How do BOP customers benefit from your innovation (e.g., higher yields result in greater sales volumes of crops, better quality outputs result in higher prices, time saved permits more economically productive activity in a day or week, job creation, financial and physical security, control over their produce sales, fair remuneration etc.)?

ii. How does customer's ability to pay factor into the pricing, end user financing, sales and marketing functions of your business? How do you intend to increase their income in the near future?

iii. Usually, what is the average increase in income BOP customers/end users experience from using your innovation?

iv. How has your pricing, end user financing, marketing or sales activities changed due to COVID-19 impact in the past year to ensure you continue to reach the BOP customers /end users?

Non-Weighted Evaluation Factors for Finalist Applications:
While no weight is assigned to the below factors, they are important and material to the award decision.

(a) Past Performance
Past performance information for three (3) past performance references which describe any contracts, grants, or cooperative agreements which the applicant organization, as well as any consortia or joint venture partners and any subcontractors or sub-awardees that will perform a substantive role in the applicant's program, has implemented involving similar or related programs over the past three years will be required.

Please include the following information:
- Name and address of the organization for which the work was performed;
- Name and current telephone number and email address of responsible representative from the organization for which the work was performed;
- Contract/grant name and number (if any),
- The period of contract/grant performance,
- Annual amount received for each of the last three years and beginning and end dates;
- Brief description of the project/assistance activity and key project accomplishments / results achieved to date.

It is recommended that the applicant alert the contacts that their names have been submitted and that they are authorized to provide past performance information when requested.

(b) Cost
In the later stages of review, costs included in the proposed budget will be reviewed to ensure they are allowable, allocable, and reasonable. Cost effectiveness will be considered in relation to any proposed cost-share.

If requested, **budget proposals will also be subject to cost realism analysis**. The cost realism analysis will verify the applicant's understanding of the requirements, assess the degree to which the cost application reflects the approaches in the technical application, and assess the degree to which the costs included in the application accurately represent the programmatic requirements set forth in the application.

(c) Pre-Award Survey
All award nominees (those applicants that have made it past the finalist stage) that do not have a prior grant with the WE4F S/SEA RIH will be required to perform a Pre-Award Survey prior to receiving any WE4F funding. The WE4F S/SEA RIH or its designee will administer the Pre-Award Survey. This tool helps determine whether the organization's financial management and internal control systems are adequate to manage, control, account for, and report on the uses of the WE4F S/SEA RIH funds. It provides the WE4F with the information needed to evaluate the ability of an organization to adequately fulfill the terms of an award.

The Pre-award Survey will assess the following criteria:
a) Organization legal structure.
b) Financial management and internal controls.
c) Procurement systems.
d) Human resources systems.
e) Program performance management (project management capacity).
f) Organization sustainability.

An organization that has been audited within 1 year of the time of the award may submit that audit in lieu of the pre-award survey if it covers <u>all</u> of the criteria listed above, but WE4F will ultimately determine if the audit meets the requirements of the Pre-Award Survey. the WE4F S/SEA RIH (or its designee) recognizes that newer organizations may have some difficulty providing all documents and will work with award nominees to create the systems listed in the criteria if they do not exist. **If an award nominee is unwilling or unable to modify their practices to meet the criteria requirements, the WE4F S/SEA RIH will not make an award.**

Appendix 3 - Budget Information Requirements

1) **Budget Spreadsheet**
   The budget should represent a detailed summary budget. A template for the budget will be provided in the online platform. Applicants will need to complete the template and submit it to the application platform. The basic definitions for the detailed cost elements are provided below.

2) **Budget Narrative**
   The budget narrative should provide information on the basis for estimating each line item, including reference to sources used in substantiating the cost

estimate (e.g. organization's policy, payroll document, vendor quotes, etc.).

i) **Direct Labor**
Direct salaries, wages and annual increases for all personnel proposed under the application must be in accordance with the Applicant's established personnel policies. To be considered adequate, the policies must be in writing, applicable to all employees of the organization, subject to review and approval at a high enough organizational level to assure its uniform enforcement, and result in costs which are reasonable and allowable in accordance with applicable cost principles. The narrative should include a level of effort analysis specifying personnel, rate of compensation, and amount of time proposed. Anticipated salary increases during the period of the agreement should be included;

ii) **Fringe Benefits**
If the Applicant has a fringe benefit rate that has been approved by a USG agency, such rate should be used and evidence of its approval should be provided. If a fringe benefit rate has not been so approved, the application should propose a rate and explain how the rate was determined. If the latter is used, the narrative should include a detailed breakdown comprised of all items of fringe benefits (e.g., unemployment insurance, workers compensation, health and life insurance, retirement, FICA, etc.) and the costs of each, expressed in dollars and as a percentage of salaries. **Direct Labor and fringe benefits for C-Suite executives/founders/co-founders should not be higher than 10 percent of the total requested grant amount.**

iii) **Travel and Transportation**
The application should indicate the number of trips, domestic, regional, and international, and the estimated costs. Specify the origin and destination for proposed trips, duration of travel, and number of individuals traveling. Per diem should be based on the Applicant's normal travel policies.

iv) **Allowances**
Allowances must be broken down by specific type and by person and must be in accordance with the Applicant's established policies.

v) **Supplies and Equipment**
Differentiate between expendable supplies and nonexpendable equipment (NOTE: Equipment is defined as tangible nonexpendable personal property including exempt property charged directly to the Award having a useful life of more than one year and an acquisition cost of US$5,000 or more per unit, unless the Applicant's established policy establishes nonexpendable equipment anticipated to be required to implement the program, specifying quantities and unit cost).

vi) **Sub-awards (contracts/grants) (if any)**

Applicants who intend to utilize sub awardees should indicate the extent intended and a complete cost breakdown, as well as all the information required herein for the Applicant. Sub-awards cost applications should follow the same cost format as submitted by the Applicant.

vii) **Other Direct Costs**

This could include any miscellaneous costs such as office rent and utilities, communications, transportations, supplies, public outreach, sub-awards, audits, report preparation costs, passports, visas, medical exams and inoculations, insurance (other than the Applicant's normal coverage), etc. The narrative, or supporting schedule, should provide a complete breakdown and support for each item of other direct costs.

viii) **Indirect Costs**

If applicable, the Applicant should support the proposed indirect cost rate with a letter from a cognizant U.S. Government audit agency, a Negotiated Indirect Cost Agreement (NICRA), or with sufficient information for the WE4F S/SEA RIH to determine the reasonableness of the rates (For example, a breakdown of labor bases and overhead pools, and the method of determining the rate).

3) **USG Forms and Certificates**

Depending on mechanism, Applicants may be requested to submit the following:

☐ **USG Standard Forms SF-424 series, which includes the**
  o   SF-424, Application for Federal Assistance,
  o   SF-424A, Budget Information – Non-construction Programs, and
  o   SF-424B, Assurances – Non-construction Programs
☐ **Certificates**
  o   Certificate of Compliance if your organization's systems have been certified by
USAID/Washington's Office of Acquisition and Assistance (M/OAA)
Each of these USG Standard Forms can be downloaded from:
https://apply07.grants.gov/apply/FormsMenu?source=agency

Appendix 4 – Guiding Principles for Environmental, Social and Governance Adherence in WE4F

The guiding principles mentioned below are based on the United Nations Principles for Responsible Investment (UNPRI). However, these principles have been evolved and customized to align with WE4F's vision and goals as follows:

- Principle 1: We will be an active issue manager and incorporate ESG issues into the decision-making process, operating structure, and standard practices

- Principle 2: We will seek appropriate disclosure on ESG issues by the entrepreneurs in which we invest

- Principle 3: We will promote acceptance and implementation of the principles related to ESG within the WEF nexus and larger international development ecosystem

- Principle 4: We will work together with all stakeholders to enhance our entrepreneur's effectiveness in integrating the principles related to ESG into their business and operational model

- Principle 5: We will report programmatic activities and progress towards integrating the ESG principles

- Principle 6: We recognize that the level of ESG integration within organizations might be at a beginner/intermediate/advanced level hence, we will work with a "no one size fits all" approach. However, entrepreneurs must meet a minimum set of requirements related to gender mainstreaming, poverty reduction, and environmental sustainability to be eligible for support

Classification of WE4F Supported Entrepreneurs

All WE4F organizations will be classified into one of the three levels based on their current level of ESG integration into their business and operational model. The three levels are defined as below:

Beginner: A WE4F organization will be termed as a beginner if they meet the minimum set of ESG related criteria required to enter the program, especially criteria related to gender integration, sustainable natural resource management including sustainable water resource management, biodiversity, climate resilience, and poverty reduction. Apart from meeting the minimum prerequisites, the organization must showcase commitment to further integrate ESG issues into their business and operational model. The program will support them in increasing awareness of key ESG issues to help them move from beginner level to intermediate/advanced level of ESG integration.

Intermediate: A WE4F organization will be termed as intermediate if they **not only** meet the minimum set of ESG related criteria required to enter the program **but also** showcase tangible progress on ESG issues in terms of implementation and results. They might not meet all the stated criteria and goals of WE4F and hence there could still be scope for improvement. The program will support them to improve and aim to reach an advanced level of ESG integration

Advanced: A WE4F organization will be termed as "advanced" if they meet **all** the stated ESG related objectives and goals set by WE4F and not just the minimum set of criteria required to enter the program. The program will help them to scale their impact on ESG issues.

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