



## The Philippine-American Fund Solicitation of Concept Papers No.1

### 1. The USAID/Philippine-American Fund

The United States Agency for International Development (USAID) has awarded Gerry Roxas Foundation (GRF) a five-year contract to manage and implement a grant facility called the Philippine -American Fund or Phil-Am Fund. The Phil-Am Fund will finance local activities that support economic growth, good governance, anti-trafficking in persons, child and adult literacy, and environmental objectives of USAID in the Philippines. Many of the grants financed under the Phil-Am Fund will complement and accelerate ongoing efforts to address binding constraints to broad-based, inclusive and sustainable growth in the Philippines as identified in the Partnership for Growth (PFG) Initiative. USAID/Philippines designed the Phil-Am Fund to allow opportunities for a broad range of Filipino organizations to innovate and design solutions to some of the country's key development challenges.

### 2. Goals and Objectives of the Phil-Am Fund

The Phil-Am Fund will support non-State actors in activities that contribute to improved government accountability and transparency, broader citizen participation and advocacy, better trade and investment environment, broader entrepreneurship base, and more business start-ups. The Fund will also support local initiatives that combat human trafficking; provide innovative or technology-based solutions to address 'last-mile' challenges in the path to improved child and adult literacy in the Philippines; and support biodiversity conservation initiatives that contribute to more sustainable growth.

### 3. Strategic Priorities

Subject to the availability of funds, the Phil-Am Fund will issue grants that support inclusive and sustainable growth under the following five broad categories:

Category 1: **Promotion of New Business and Entrepreneurship through Economic Growth Grants.** This category aims to stimulate more business start-ups by supporting strategic initiatives that promote competitiveness, innovation, and entrepreneurship - as key drivers of broad-based, inclusive economic growth - particularly in growth sectors/industries outlined in the Philippine Development Plan. **Anticipated outcomes** of these grants include: increased number of business start-ups, particularly SMEs; expanded availability of venture capital and other non-bank financing for SMEs; and enhanced business networks and public-private alliances such that they contribute significantly to economic development.

Category 2: **Advancing Integrity and Transparency through Governance Grants.** This category will support private sector and civil society efforts to combat corruption, promote rule of law, promote market-enabling reforms, and promote greater transparency, accountability and integrity in government and in the corporate sector. **Anticipated outcomes** include: strengthened external oversight of public resource use (e.g. budgeting, procurement, etc.); innovative measures to combat corruption; improved corporate governance; enhanced accountability, transparency and effectiveness of government; reduced

corruption; and improvement of public perceptions of the integrity and transparency of government institutions.

Category 3: **Combating Trafficking in Persons.** This category will support innovative efforts of non-State organizations to improve, strengthen and sustain efforts to protect Filipinos against trafficking, illegal recruitment and other forms of labor or sexual exploitation through expanded prevention, stronger enforcement and enhanced protection of victims. **Anticipated outcomes** include reduced vulnerability to trafficking (and/or re-trafficking) of women or other vulnerable groups through targeted interventions; reduced trafficking in targeted areas/sectors through more effective prevention, enforcement and/or victim protection services; expanded leveraging and mobilization of private sector resources to partner in anti-trafficking efforts.

Category 4: **Combating 'Last Mile' Challenges to Literacy through Innovation.** This category of the Phil-Am Fund will provide grants for innovative, scalable, and transformative solutions (including technology-based) to solve select 'last-mile' challenges to strengthening human capital through a more literate adult, youth, and early grade child population. Relevant innovative solutions can include those that increase reading outcomes for early grade students (nationwide), as well as solutions that target literacy and/or life skills for youth or adults in conflict-affected areas of Mindanao. **Anticipated outcomes** include increased numbers of learners who are able to read with comprehension, improved access to age- and gender-appropriate (technology-based) reading materials, improved work readiness skills for youth, and increased involvement of youth in civil society and community development activities. (Note: concept papers for the 'last mile' literacy challenge grants will only be reviewed in mid-2014 due to current unavailability of funds.)

Category 5: **Improving Natural Resource and Environmental Management through Biodiversity Conservation Grants.** This category will support activities that protect the natural systems supporting human well-being and ensure long-term resilience of local communities. **Anticipated outcomes**, which will contribute to greater environmental resilience and more sustainable economic growth, are those reflected in the **required indicators** below.

**Activities that will be supported must:**

- Have biodiversity as -explicit objectives
- Have project interventions that are based on analysis of threats
- Have site-level work occurring in biologically significant areas; and
- Be monitored using biodiversity-associated indicators

**Required indicators are:**

- Number of hectares of biological significance and improved natural resources management (NRM)
- Number of key national, provincial, and local institutions with improved capacity for planning and adaptive NRM management
- Number of methods implemented that integrate costs and benefits into accounting, marketing, and/or policy-making.

#### 4. Grants Application Process

The Phil-Am Fund will use a two-step application process. Prospective applicants may submit concept papers covering one or more categories mentioned in the solicitation. If the concept paper is selected, the applicant will be invited to submit a full application including USAID-prescribed documentation to support the applicant’s eligibility for funding. An invitation to develop concept papers into full applications does not constitute an award. The full application will go through a more stringent review and selection process. The estimated amount per award will depend on the reach and focus of the proposed activity, but the average range will be between Php2Million to Php20Million per award. Phil-Am Fund reserves the right to fund any or none of the proposals received.

#### 5. Eligibility

Concept papers will be accepted from Philippine private, for-profit and non-profit organizations, people organizations (POs), non-governmental organizations (NGOs), and other civil society organizations (CSOs) including universities, research organizations, professional associations, faith-based and community organizations and other relevant entities. On a case to case basis and with pre-determined funding caps, concept papers from U.S. organizations may also be accepted.

Concept paper selection will be based on the applicant’s capacity to show the following:

|                            |  |
|----------------------------|--|
| 1. Organizational Capacity | <ul style="list-style-type: none"> <li>• Legal Certifications (SEC Registration, PCNC Certification, other accreditation by authorized government agencies);</li> <li>• An established track record</li> <li>• With working Board of Trustees or any equivalent governing bodies</li> </ul>  |
| 2. Technical Feasibility   | <ul style="list-style-type: none"> <li>• Aligned with one or more Phil-Am Fund categories</li> <li>• Clear definition of problems and how the applicant intends to address them</li> <li>• Clear definition of outputs that logically contribute to Phil-Am Fund goals and objectives</li> </ul>   |
| 3. Strategic Positioning   | <ul style="list-style-type: none"> <li>• Features ground-breaking ideas</li> <li>• Scalability</li> <li>• Sustainability</li> <li>• Potential to integrate two or more categories to create greater synergy in achieving the goals of the grant.</li> <li>• Ability to work with partners from various sectors in order to harness their combined human, financial, and technical resources to achieve the objectives of the project.</li> </ul> |

Applicants selected at the concept paper stage (those to be invited to submit a full application) will go through an evaluation process that includes site validation, assessment of technical feasibility, assessment of organizational capacity, risk assessment, and best value assessment. Essentially, applicants at the full application stage will have to demonstrate they have the capability to accomplish the grant objectives at a proposed cost that is reasonable. The applicant's capacity to commit or generate cost-share will also be considered.

## **6. Submission Instructions**

Phil-Am Fund will adopt a rolling deadline in accepting concept papers. The first cut-off for concept papers is at 5:00 pm on October 31, 2013. Succeeding grant application cycles will be announced in GRF's website.

Concept papers should be sent to:

Chief of Party  
Phil-Am Fund, Gerry Roxas Foundation  
18<sup>th</sup> Floor Aurora Tower, Araneta Center, Quezon City  
Email: [philamfund@gerryroxasfoundation.org](mailto:philamfund@gerryroxasfoundation.org) or  
[usaid.philamfund@gmail.com](mailto:usaid.philamfund@gmail.com)

In case a hard copy is to be submitted, the file should be received at the above address on the same deadline stated above. The submission must be in a sealed envelope with name and address of the proponent. For both hard and e-copies, applicants should retain, for their records, one copy of their Concept Paper and Application and all accompanying enclosures.

Any questions concerning this solicitation must be addressed to the Chief of Party (COP) with contact details mentioned above. Interested applicants are also invited to visit GRF's website ([www.gerryroxasfoundation.org](http://www.gerryroxasfoundation.org)) for updates on this solicitation, additional guidelines and instructions.

Issuance of this solicitation does not constitute an award commitment on the part of Phil-Am Fund, nor does it commit Phil-Am Fund to pay for costs incurred in the preparation and submission of Applications. Phil-Am Fund reserves the right to reject any or all applications received.

## CONCEPT PAPER SUBMISSION AND INFORMATION

### A. General Guidelines

- Concept papers submitted for review must be signed by an authorized representative with his/her name in print on the cover page of the concept paper.
- For the first cycle of processing, concepts submitted in e- or hard copies must be received by Gerry Roxas Foundation no later than October 31, 2013 at 5 PM local time. For hard copies, the envelopes should be addressed to the office specified in the cover letter of this Solicitation and must reflect the name and address of the applicant.
- Incomplete submission may mean non-processing or significant delay in processing of the concept papers.
- Schedules for succeeding grant application processing will be announced in the GRF website. Interested organizations can visit the GRF website ([www.gerryroxasfoundation.org](http://www.gerryroxasfoundation.org)) regularly for announcements, advertisements, or any updates on Phil-Am Fund.

### B. Concept Paper Template

#### I. General Information

|  |  |                           |
|--|--|---------------------------|
| 1. Name of Organization  |  |                           |
| 2. Office Address  |  |                           |
| 3. Email Address   |  |                           |
| 4. Contact Number  |  |                           |
| 5. Date established  |  |                           |
| 6. Brief Organizational Profile  | (Max of 60 words only)   |                           |
| 7. Board of Trustees   | Please enumerate names and position of BOT or similar governing body |                           |
|  | Name   | Contact No./Email Address |
|  |  |                           |
|  |  |                           |
|  |  |                           |
| 8. Contact Person/s  | 4.1 Name, position in the organization, address, phone, email        |                           |
|  | 4.2 Name, position in the organization, address, phone, email        |                           |
| 9. Project Timeframe   |  |                           |
| 10. Categories to be addressed by application (please check one or more) | <input type="checkbox"/>   | Economic Growth           |
|  | <input type="checkbox"/>   | Governance                |
|  | <input type="checkbox"/>   | Trafficking in Persons    |
|  | <input type="checkbox"/>   | Education                 |
|  | <input type="checkbox"/>   | Biodiversity Conservation |

II. Project Information

|                      |  |
|----------------------|--|
| Project Title        |  |
| Geographic Coverage  |  |
| Target Beneficiaries |  |
| Project Partners     |  |

III. Project Description

3.1 Project Background: (200 words maximum)

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3.2 Challenge(s) to be addressed (150 words maximum)

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3.3 Proposed responses or measures to address the problem(s) identified above (300 words maximum including project goal(s))

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3.4 Planned Activities and Outputs (maximum of 10 rows, 1 activity per row; ex. - onsite capacity building; detailed steps for each set of activities are not required at this stage)

| Proposed Activities | Expected Outputs |
|---------------------|------------------|
|                     |                  |
|                     |                  |
|                     |                  |

3.5 Describe what makes your concept unique and innovative and how its expected outputs can achieve the anticipated outcomes or required indicators (250 words maximum)

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Concept papers should be submitted to:

**Chief of Party**  
**Phil-Am Fund, Gerry Roxas Foundation**  
**18<sup>th</sup> Floor Aurora Tower, Araneta Center, Quezon City**  
Email: [philamfund@gerryroxasfoundation.org](mailto:philamfund@gerryroxasfoundation.org)  
[usaid.philamfund@gmail.com](mailto:usaid.philamfund@gmail.com)

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