



Issuance Date: October 4, 2019
Closing Date: October 25, 2019 (21 days after issuance date)
Closing Time: 23:59

Subject: Request for Applications (RFA) Number FST-RFA-001
Consumer Protection and Free Legal Aid to Consumers of Financial Services

Reference: Issued Under USAID Financial Sector Transformation Activity
Contract No. EEM-E-00-00002/AID-121-BC-17-00001

The USAID Financial Sector Transformation Activity (FST) is a four-year program (October 2016 – December 2020) funded by the United States Agency for International Development (USAID) and managed by DAI Global LLC (DAI).

The goal of the USAID FST is to transform and stabilize Ukraine's financial sector. The objective is to cultivate and support an enabling environment for financial intermediation with products that serve a wide range of business and consumer needs. FST focuses on increased financial intermediation by banks and non-bank financial institutions, legal and regulatory reform, transparency and financial disclosure, and ultimately higher levels of long-term, sustainable economic growth in Ukraine.

USAID FST is a four year program, ending in December 2020. Proposed grant activities will have to be completed by the end of October, 2020.

The Grants Program contributes to Development Objective (DO)1: "Corruption Reduced in Target Sectors", Intermediate Result (IR) 1.1 "Economic Impact of Corruption Reduced in Target Sectors"; and DO 4 "Inclusive, Sustainable Market-Driven Economic Growth", IR4.4 "Inclusive, Innovative Finance Expanded" under the new USAID Mission Country Development and Cooperation Strategy (CDCS).

Grants will promote greater access to finance by consumers and businesses, advance financial consumer protection and awareness, help build trust in financial institutions, develop and advance financial sector legislative reforms, financial disclosure and transparency, and increase financial inclusion by helping financial service providers in defining new market segments, offering new tailored products and introducing innovations.

Financial consumer inclusion and protection are essential to build trust in the financial sector, a key goal of the USAID FST. Public confidence and trust in the effectiveness and reliability of the system to protect users of financial services is a mainstay of developed financial systems and helps them to weather crises.

In order to strengthen consumer protection and confidence, this RFA solicits applications from higher educational institutions/universities with specialized competencies to provide qualified legal advice and conduct legal awareness lessons on financial services issues. The objective is to support/develop university programs that can offer free legal assistance and or appropriate financial advice to needy or vulnerable individuals. The potential applicants should have experience in free legal counselling (e.g. through legal clinics), including but not limited to financial services-related issues, and educational activities or programs in related areas.

As a result of grant implementation under this RFA the following results will be expected:

- Improvement of the level of practical knowledge and skills of tutors and students in financial services-related counselling;
- Strengthening of institutional capacity to provide financial services related counseling and/or financial literacy educational programs of grants recipients;
- Provision of quality free legal aid provided to financial consumers, including vulnerable groups (low-income population, veterans, elderly people, teenagers and youth, persons with disabilities, multi-child families etc.);

Increased awareness of appropriate financial services by consumers and greater confidence in their capacity to interact with financial institutions.

The estimated amount of funds for this RFA is \$250,000. USAID FST intends to provide up to 5 grants under this RFA to eligible organizations (eligibility criteria are listed in Section A – Grant Application Instructions). The expected duration of USAID FST support or the period of performance should not exceed 12 months. DAI, as primary implementer of the USAID FST Activity, reserves the right not to fund any of the applications submitted.

For the purposes of this program, this RFA is being issued and consists of this cover letter and the following:

- Section A – Grant Application Instructions
- Section B – Special Grant Requirements
- Section C – Selection Process
- Section D – Program Description
- Annexes

Applications must be received at the office of USAID FST Activity in an electronic form sent to the address GrantsFST@dai.com not later than **23:59 (Kyiv time) on October 25, 2019**. Applications and modifications to them thereof shall be submitted in PDF (signed) and DOCX electronic formats.

Award will be made to the responsible applicant(s) whose application(s) offer(s) the best value.

Issuance of this RFA does not constitute an award commitment on the part of USAID FST, nor does it commit USAID FST to pay for costs incurred in the preparation and submission of an application. Further, USAID FST reserves the right to reject any or all applications received. Applications are submitted at the risk of the applicant. All preparation and submission costs are at the applicant's expense.

Any questions concerning this RFA should be submitted in writing not later than **23:59 (Kyiv time) October 13, 2019** to the address GrantsFST@dai.com indicating RFA-FST-001 in the Subject Field. Applicants should retain for their records one copy of all enclosures which accompany their application.

Thank you for your interest in Financial Sector Transformation activities.

Sincerely,

Robert Bond



Chief of Party

Consumer Protection and Free Legal Aid to Consumers of Financial Services

Table of Contents

<i>Section A: Grant Application Instructions</i>	2
I. Application Procedure	2
A. Completion and Submission of Applications	2
B. Preparation Instructions – Technical.....	3
C. Preparation Instructions – Financial and Administrative Documentation....	4
<i>Section B: Special Grant Requirements</i>	5
<i>Section C: Selection Process</i>	8
<i>Section D: Program Description</i>	10
<i>Annex 1: Mandatory Standard Provisions</i>	11
<i>Annex 2: Certifications, Assurances, Other Statements of the Recipient</i>	11
<i>Annex 3: Application Form</i>	12
<i>Annex 4: Budget and Budget Notes</i>	15
<i>Annex 5: CV Form</i>	17
<i>Annex 6: Financial Capability Questionnaire</i>	18
<i>Annex 7: Instructions for Obtaining a DUNS Number and Registration on www.sam.gov – USAID FST’s Vendors, Subcontractors and Grantees</i>	26
<i>Annex 8: Application Checklist</i>	27

Section A: Grant Application Instructions

I. Application Procedure

A. Completion and submission of applications

Eligibility Requirements

FST grant support under this RFA may be extended to specialized higher educational institutions/universities committed to developing competencies to provide qualified legal advice and conduct legal awareness programs on financial services-related issues. The potential applicants should have experience in free legal counselling (e.g. through legal clinics), including but not limited to financial services-related issues, and educational programs for needy/vulnerable populations. FST may also choose to award the type of grant under which any required equipment, assets or services will be procured directly by USAID FST and transferred to the grant recipient.

Grants may not be issued to organizations excluded from federal acquisition programs and other programs.

FST grant support may not be extended to the following types of organizations:

- Any entity that has been found to have misused USAID funds in the past;
- Political parties, groupings, or institutions or their subsidiaries and affiliates;
- Organizations that advocate or promote anti-democratic policies or illegal activities;
- Faith-based organizations whose objectives are for discriminatory and religious purposes, and whose main objective for the grant is of a religious nature;
- Any entity included in any supplementary information concerning prohibited individuals or entities that may be provided by USAID;
- Any entity whose name appears in the System of Award Management (SAM) with an active exclusion;
- An organization that refuses to sign all required certifications and assurances;
- Any public international organizations (PIO); and
- Any organizations affiliated with DAI Global LLC or any of its directors, officials or staff members.

Application Submission Requirements

- Applications may be submitted only by email at GrantsFST@dai.com
- Applications must include:
 - Completed Application Form with Project Workplan;
 - Projected Grant Budget and Budget Notes;
 - CVs and BioData forms of all project team members;
 - Completed Financial Capability Questionnaire and attachments;
 - Statement of liability (part of application form).

Deadlines

Applications must be received at GrantsFST@dai.com not later than 23:59 on October 25, 2019. Applications and modifications thereof shall be submitted in pdf (preferred) or other electronic format to GrantsFST@dai.com.

Late Applications

All applications received by the deadline will be reviewed for responsiveness and programmatic merit according to the specifications outlined in these guidelines and the application format. Section C addresses the evaluation procedures for the applications. Applications which are submitted late or are incomplete run the risk of not being considered in the review process.

B. Preparation Instructions – Technical

Page Limitation: Applications should be specific, complete, presented concisely and shall not exceed **12** pages (exclusive of annexes).

Applications submitted in response to this RFA must include the following information:

1. **Project Description:** The applicant must provide a detailed description of the project, specifying its goal, activities and results:
 - i. Full name of the applicant organization as in official registration documents;
 - ii. Brief description of the organization, current activities and past related experience;
 - iii. Proposed grant description: the title, goals, objectives, beneficiaries, activities, results and impact.
2. **Monitoring (Results and Benchmarks):** The applicant should define, to the maximum extent possible at the application stage, results and benchmarks for monitoring the performance towards attainment of program objectives.
3. **Sustainability:** The applicant should describe how the project or its benefits will continue after grant funding ends.
4. **Personnel.** The applicant should propose the personnel who will be involved in implementing the project. Each applicant should provide, as part of its application, detailed curriculum vitae that demonstrate the Key Personnel's ability to perform the duties outlined in the statement of work and in accordance with the evaluation factors found herein. USAID FST will evaluate the CV to determine the individual's knowledge, skills and abilities in the areas listed herein.
5. **Organizational Capability:** Each application shall include information that demonstrates the applicant's expertise and ability to meet or exceed the goals of this program.
6. **Past Performance:** If Applicants have past experience in implementing similar projects, they must present evidence of their past experience. Applicants may include descriptions of projects or other similar activities, as well as three (3) contact persons' names and telephone numbers who will serve as references.
7. **Budget:** All proposals must include a completed budget; see part **C. Preparation Instructions – Financial and Administrative Documentation** for more details.
8. **Cost Sharing Contribution:** Details regarding the proposed cost sharing contribution by your organization, **if applicable**, must be included in the application. In-kind contributions are allowable as cost share, in accordance with 2 CFR 200.306. This includes such things as proportionate shares of management and other employee time, equipment, office supplies, and other costs of program operation. Rates for employee services shall be consistent with those paid for similar work in the recipient's organization. The value of equipment (i.e., computers) shall not exceed the fair market value of equipment of the same age and condition. The basis for determining the valuation of services, equipment and supplies shall be documented in the application. Applications offering cost share or leveraging USAID resources otherwise will be given preference, *ceteris paribus*.
9. **Other material:** Applicants may also want to submit other materials as attachments along with their applications such as letters of reference, newspaper clippings reporting on the organization's activities, brochures or other promotional material. Support letters demonstrating partnerships and cooperation with local government are of particular interest. However, these attachments should be limited to 5 pages and they will not be returned to the applicants.

C. Preparation Instructions – Financial and Administrative Documentation

1. **Completed Budget and Budget Notes.** All budget lines must be clearly linked to specific project activities. See attached **Annex 5** for the budget form. Supporting information in the **Budget Notes** shall be provided, as necessary, in sufficient detail to allow a complete analysis of each line item cost.
2. **Completed Financial Capability Questionnaire**, which includes:
 - a) **Incorporation Papers or Certificate of Registration and Statute;**
 - b) **Organizational chart.**
3. Documentation that the applicant has the ability to comply with the award conditions, taking into account all existing and currently prospective commitments of the applicant. The applicant must demonstrate its ability to segregate funds obtained from the award of a capital grant from other activities of the organization. A separate bank account or subaccount is required should a grant award be made. (Documentation may include certification from the applicant's bank or a summary of previous awards, including type of funding, value, client, etc.)
4. Documentation that the applicant has a satisfactory record of integrity and business ethics. (Documentation may include references from other donors or clients and a summary of previous awards, including type of funding, value, client, etc.)
5. **Data Universal Numbering System (DUNS)** There is a mandatory requirement for the applicant to provide a DUNS number to USAID FST. The Data Universal Numbering System is a system developed and regulated by Dun & Bradstreet (D&B) that assigns a unique numeric identifier, referred to as a "DUNS number" to a single business entity. Without a DUNS number, USAID FST cannot deem an applicant to be "responsible" to conduct business with and therefore, FST will not enter into an agreement with any such organization. The award of a grant resulting from this RFA is contingent upon the winner providing a DUNS number to USAID FST. Organizations who fail to provide a DUNS number will not receive an agreement and FST will select an alternate awardee. FST will provide detailed instructions for obtaining a DUNS number.

All U.S. and foreign organizations which receive a grant with a value of \$25,000 and above **are required** to obtain a DUNS number prior to signing of the agreement. Organizations are exempt from this requirement if the gross income received from all sources in the previous tax year was under \$300,000. USAID FST requires that grant applicants sign the self-certification statement if the applicant claims exemption for this reason.

For those required to obtain a DUNS number, see Annex 8- Instructions for Obtaining a DUNS Number – USAID FST's Vendors, Subcontractors and Grantees.

Section B: Special Grant Requirements

The applicant shall bear in mind the following special requirements for any grants awarded in response to this RFA:

Separate Account: A separate account or subaccount must be established to house all funds provided under the grant, as well as all interest income.

Permitted Uses of Program Income: The Grantee will inform USAID FST of any program income generated under the grant and agrees to follow USAID's disposition requirements for such program income, which is in accordance with 2 CFR 200.307. Program income earned under this agreement shall be applied and used in the following descending order:

1. Added to funds committed by USAID and the recipient to the project or program, and used to further eligible project or program objectives;
2. Used to finance the non-Federal share of the project or program; and
3. Deducted from the total project or program allowable cost in determining the net allowable costs on which the federal share of costs is based.

If the terms and conditions of the award do not specify how program income is to be used, then number 2) shall apply automatically. Grantees who are commercial organizations may not apply Option 1) to their program income.

Use of Funds: Funds provided under any grant awarded shall be used exclusively to conduct the approved grant activities listed in the award and contribute to development/improvement of the Recipient's technical competencies and institutional capacity. Diversion of grant funds to other uses will result in cancellation of award and retrieval of funds disbursed to the grant recipient.

Reporting Procedures: A description of reporting requirements will be included in the Grant Agreements. The types of reporting required, along with the schedule of reporting, will depend on the grant type and project duration. Reporting forms will be provided to grant recipients. Types of reporting will include the following:

- **Program report and/or deliverables** to be submitted during project implementation according to a schedule determined by USAID FST. This report will include a description of project activities and progress towards meeting the project goal; problems in project implementation; actions taken to overcome them; and plans on how the next phase of the project will be implemented.
- **Final Program Report** will describe how the project objectives and goals were reached, results of the project, and problems and solutions during implementation. This information should be presented in a manner suitable for presentation to the public.
- **Financial reports** if applicable will be submitted to USAID FST according to a schedule described in the grant agreements. Types of financial reports, as well as the schedule of reporting, will depend on the type of grant, length of project, and amount of grant funding. Financial reports will be required in order to receive grant installments. These reports will describe the amount of grant funds spent during the previous period, total amount spent to date, and amount remaining in each budget line item. In addition, all grant recipients are required to submit a detailed Final Financial Report.

Issuance of the final installment of grant funds is contingent upon USAID FST's receipt and acceptance of Final Financial and Final Program Reports.

Project Monitoring: USAID FST staff will monitor projects in terms of both programmatic and financial aspects. Grant recipients will be expected to facilitate monitoring by making relevant information available to FST Staff. This may include but not be limited to: collection of additional information, attendance at the Recipient's events, review and approval of publications, personal interviews with the beneficiaries – financial consumers, monitoring visits etc.

Restrictions: The Grant Funds provided under the terms of this Agreement shall not be used to finance any of the following:

1. Goods or services which are to be used primarily to meet military requirements or to support police or other law enforcement activities,
2. Surveillance equipment,
3. Equipment, research and/or services related to involuntary sterilization or the performance of abortion as a method of family planning,
4. Gambling equipment, supplies for gambling facilities or any hotels, casinos or accommodations in which gambling facilities are or are planned to be located,
5. Activities which significantly degrade national parks or similar protected areas or introduce exotic plants or animals into such areas, or
6. Establishment or development of any export processing zone or designated area where the labor, environmental, tax, tariff, and/or safety laws of the country in which such activity takes place would not apply,
7. Pharmaceuticals,
8. Pesticides,
9. Logging equipment,
10. Luxury goods (including alcoholic beverages and jewelry),
11. Establishing or expanding any enterprise that will export raw materials that are likely to be in surplus in world markets at the time such production becomes effective and that are likely to cause substantial injury to U.S. producers,
12. Activities which would result in the loss of forest lands due to livestock rearing, road construction or maintenance, colonization of forest lands or construction of dams or other water control structures,
13. Activities which are likely to have a significant adverse effect on the environment, including any of the following (to the extent such activities are likely to have a significant adverse impact on the environment):
 - i. Activities which may lead to degrading the quality or renewability of natural resources;
 - ii. Activities which may lead to degrading the presence or health of threatened ecosystems or biodiversity;
 - iii. Activities which may lead to degrading long-term viability of agricultural or forestry production (including through use of pesticides);
 - iv. Activities which may lead to degrading community and social systems, including potable water supply, land administration, community health and well-being or social harmony.
14. Activities which are likely to involve the loss of jobs in the United States due to the relocation or expansion outside of the United States of an enterprise located in the United States, or
15. Activities which the Grantee is aware are reasonably likely to contribute to the violation of internationally or locally recognized rights of workers,
16. Activities to support the production of agricultural commodities for export from Malawi when such commodities would directly compete with exports of similar United States agricultural commodities to third countries and have a significant impact on United States exporters.

Branding and Marking: All USAID-sponsored assistance awards are required to adhere to branding policies and revised marking requirements for grants and cooperative agreements in accordance with ADS 320. This includes visibly displaying the USAID Standard Graphic Identity that clearly communicates assistance is, "From the American people" on all programs, projects, activities, publications, public communications, and commodities provided or supported through USAID assistance awards. ADS 320 requires that included in the grant is a branding strategy that describes how the program, project, or activity is named and positioned, how it is promoted and communicated to beneficiaries and cooperating country citizens and identifies all donors and explains how they will be acknowledged. USAID FST will provide a template branding strategy that will be adapted in consultation with the applicant. ADS 320 may be found at the following website:
www.usaid.gov/policy/ads/300/320.pdf.

Environmental Compliance: The Foreign Assistance Act of 1961, as amended, Section 117 requires that the impact of USAID's interventions on the environment be considered and that USAID include environmental sustainability as a central consideration in designing and carrying out its development programs. This mandate is codified in Federal Regulations (22 CFR 216) and in USAID's Automated Directives System (ADS) Parts 201.5.10g and 204 (<http://www.usaid.gov/policy/ads/200/>), which, in part, require that the potential environmental impacts of USAID-financed interventions are identified prior to a final decision to proceed and that appropriate environmental safeguards are adopted for all activities. No intervention funded under this grant will be implemented unless an environmental threshold determination, as defined by 22 CFR 216, has been reached for that activity.

Prior to award, the USAID FST screens all prospective grant interventions for potential environmental and social impacts and strives to incorporate gender and equity issues as a cross-cutting theme in its grant program. If there is a potential for environmental impacts, USAID FST will conduct an Environmental Review in accordance with FST environmental compliance requirements and in coordination with the USAID Mission Environmental Officer (MEO).

In addition, the contractor/recipient must comply with host country environmental regulations unless otherwise directed in writing by USAID. In case of conflict between host country and USAID regulations, the latter will govern.

Other: As mentioned, grants will be made available to eligible organizations listed in Section A – Grant Application Instructions in local currency equivalent of USD grant amounts. Payment will be made according to a monthly or installment schedule, and in no event will more than 90% of the total agreed budget be disbursed prior to receiving and approving the Final Financial and Final Program Report. USAID FST may also choose to award the type of grant under which any required equipment, assets or services will be procured directly by USAID FST and transferred to the grant recipient.

Pursuant to 2 CFR 700.13, it is USAID policy not to award profit under assistance instruments such as grant awards. However, all reasonable, allocable, and allowable expenses, both direct and indirect, which are related to the grant program and are in accordance with applicable cost standards (2 CFR 200 Subpart E for all US-based and for non-US based non-profit organizations, and the Federal Acquisition Regulation (FAR) Part 31 for for-profit organizations), may be paid under the grant.

For non-US organizations, the Standard Provisions for Non-US Nongovernmental Recipients will apply. For US organizations, 2 CFR 200 and the Standard Provisions for U.S. Nongovernmental Recipients will apply. See Annex I for Standard Provisions.

Section C: Selection Process

Within 10 working days of the deadline for submitting applications, a review panel will be convened. The review panel will include USAID FST technical and senior operational staff. FST may also elect to include other subject matter experts from the legal or financial communities, government and/or non-governmental organizations (NGOs). Throughout the evaluation process, FST shall take steps to ensure that members of the review panel do not have any conflicts of interest or the appearance of such with regard to the organizations whose applicants are under review. An individual shall be considered to have the appearance of a conflict of interest if that person, or that person's spouse, partner, child, close friend or relative works for or is negotiating to work for, or has a financial interest (including being an unpaid member of a Board of Directors) in any organization that submitted an application currently under the panel's review. Members of the panel shall neither solicit nor accept gratuities, favors, or anything of monetary value from parties to the awards.

All applications that meet the application requirements will be reviewed by the review panel. Verification of the application submission requirements will be conducted by grants staff of USAID FST.

If suitable applications are received, one or more awards will be made within 30 working days of the review panel meeting provided that the awardee(s) furnish(ed) USAID FST with all the required documentation as itemized in Section A of this RFA.

To the extent necessary (if award is not made based on initial applications), negotiations may be conducted with each applicant whose application, after discussion and negotiation, has a reasonable chance of being selected for award. **Award will be made to responsible applicants whose applications offer the best value.**

Awards will be made based on the ranking of applications by the review panel according to the evaluation criteria and scoring system identified below:

1. Grantee capability, resources and past performance:

- 1.1. Availability of managerial, administrative and financial experience required for implementation of the project;
- 1.2. Availability of qualified and experienced staff for implementation of the proposed project;
- 1.3. Previous experience in free legal counselling, including but not limited to financial services-related issues, and educational activities conduction.

Very good = 20 points; good = 10 points; average = 5 points; poor = 0 points

2. Grant design and technical approach, including cross-cutting issues:

- 2.1. Relevance to the goals of the RFA;
- 2.2. Application meets the needs of target groups;
- 2.3. Quality and feasibility of the project regarding the proposed methodology, efficiency, diversity of approach and clarity;
- 2.4. Clear and realistic implementation plan.

Very good = 30 points; good = 15 points; average = 5 points; poor = 0 points

3. Potential impact on financial awareness level of the project participants and final beneficiaries:

- 3.1. Will the project activities improve knowledge and skills of law tutors and students?;
- 3.2. Will the project contribute to dispute resolution/consumer satisfaction and improved financial awareness of the population, including vulnerable groups?

Very good = 30 points; good = 15 points; average = 5 points; poor = 0 points

4. Cost effectiveness:

- 4.1. Cost/budget reasonableness and effectiveness;
- 4.2. Clearly defined efficient, ethical and economical use of funds.

Very good = 10 points; good = 7 points; average = 5 points; poor = 0 points

5. Potential for sustainability:

- 5.1. Application demonstrates improvement of the organization's sustainability and capacity building activities;
- 5.2. Strategy/steps to ensure that the project activities continue after the project completion;

Very good = 10 points; good = 7 points; average = 5 points; poor = 0 points

USAID and FST reserve the right to fund any or none of the applications received

Signing of Grant Agreements

Upon USAID approval of the applicant, a Grant Agreement will be prepared. After USAID FST and the successful applicant have signed the Grant Agreement, FST will conduct the kick-off meeting with the grantee during which all reporting and agreement obligations will be explained to the grant recipients, as well as procurement procedures, branding and marking plan and monitoring of the project. Before receiving the first grant installment, ***all grant recipients must open a separate bank account*** as this is the only means by which grant funds will be transferred from USAID FST to the grant recipient.

Section D: Program Description

This section provides detailed information on the RFA's objectives, tasks and indicators.

1. Goals

The overall goal of this RFA is to build capacity and develop competencies of staff of higher educational institutions/universities in providing high quality free legal aid to consumers of financial services and raising their awareness of and confidence in financial institutions.

2. Objectives

- assist law students and faculty in their work with select cases (disputes of individuals with entities of the banking and non-banking financial sectors), including consulting and interviewing clients, working with their documentation, formulating positions for giving written responses (consultations) and preparing the necessary litigation documents, inquiries, appeals, etc.;
- ensure that the select cases (disputes of individuals with entities of the banking and non-bank financial sectors) are analyzed and summarized;
- develop a guidance manual for students on how to provide consultations under the selected category of cases upon the project completion;
- improve the quality of free legal aid provided to the vulnerable groups and CSOs
- improve the quality of legal educational activities;
- integrate financial issues into the legal educational activities based on the acquired financial competences.

3. Results

As a result of grant implementation under this RFA the following results will be expected:

- Level of practical knowledge and skills of tutors and students in financial services-related counselling and legal aid improved;
- Technical competencies and institutional capacity of grants' recipients strengthened;
- High quality free legal aid provided to financial consumers, including vulnerable groups (low-income population, veterans, elderly people, teenagers and youth, persons with disabilities, multi-child families etc.);
- Financial services consumers' awareness and confidence in financial institutions enhanced;

4. Indicators:

- Number of free legal consultations provided;
- Number of people educated;
- Educational/methodological materials developed.

Annex 1: Mandatory Standard Provisions

Mandatory Standard Provisions for Non-US Nongovernmental Recipients:

<https://www.usaid.gov/sites/default/files/documents/1868/303mab.pdf>

Annex 2: Certifications, Assurances, Other Statements of the Recipient

In accordance with ADS 303.3.8, USAID FST will require successful grant applicants to submit a signed copy of the following certifications and assurances, as applicable :

Part I – Certifications and Assurances

1. **Assurance of Compliance with Laws and Regulations Governing Non-Discrimination in Federally Assisted Programs** *(Note: This certification applies to Non-U.S. organizations if any part of the program will be undertaken in the United States.)*
2. **Certification Regarding Lobbying** *(This certification applies to grants greater than \$100,000.)*
3. **Prohibition on Assistance to Drug Traffickers for Covered Countries and Individuals (ADS 206)**
4. **Certification Regarding Terrorist Financing, Implementing Executive Order 13224**
5. **Certification of Recipient**

Annex 3: Application Form

APPLICATION TECHNICAL PROPOSAL TEMPLATE

A. GENERAL GRANTEE INFORMATION

1. Type and name of an entity:
2. Date of an entity's registration or start of independent professional activities:
3. Official address:
4. Area and type of activities:
5. Contact information:

Contact details of the authorized signatory and title:	
Mailing post address:	
Mobile:	
Email:	
Office phone (if any):	
Fax (if any):	
Website (if any):	
DUNS Number:	

6. Briefly describe your entity, current activities and past related experience:
7. If applicable, list contact information for three (3) references from previous and/or current donors or organizations that your entity has collaborated with and/or collaborating currently:

Name:			
Job position:			
Contact email:			
Contact phone:			
Name:			
Job position:			
Contact email:			
Contact phone:			
Name:			
Job position:			
Contact email:			
Contact phone:			

B. PROPOSED GRANT DESCRIPTION

8. Title of the proposed grant:
9. Location and anticipated duration of the grant from start to finish. Location and terms of implementation. Overall length (total number of months):
10. Anticipated start date:
11. Problem Statement: What is the issue or problem that given grant activity/intervention will address? Why is it critical to address this issue?
12. The grant aim and objective(s):
13. The grant beneficiaries:

Please describe here who will directly benefit from this sub-activity/intervention. Describe how the grant activities will reach the intended beneficiaries, and how they will benefit from the sub-activity/intervention. Provide planned targets on beneficiaries in the table below.

14. Proposed grant activities to achieve the grants aim and objectives:

15. Anticipated grant direct results (outputs):

Please describe here what short-term results or changes as a result of a sub-activity/intervention will be produced.

16. The grant intervention indicators and targets:

Please list here all possible key indicators that will help to measure the sub-activity/intervention progress. Feel free to add as many relevant indicators as needed.

#	GRANT /INTERVENTION INDICATOR	TARGET, UNITS

17. Anticipated grant /intervention impact (outcomes):

Please describe here anticipated long-term results of a grant activity/intervention.

18. Results and benchmarks for monitoring the performance towards attainment of program objectives:

19. The grant /intervention implementation plan (workplan)

Please describe here key activities under each grant objective and expected results of each

#	Objecti ve	Activitie s	Expecte d result (output)	Locati on	Responsi ble person	Timeline (months)											
						1	2	3	4	5	6	7	8	9	10	11	12

--	--	--	--	--	--	--	--	--	--	--	--	--	--	--	--	--	--

20. List personnel who will be involved in implementing this project:
Please provide CVs for key project personnel and salary history sheets as well.
21. List board members (or founding members if you do not have a formal board of directors) and key staff (president, directors, etc.). If available, please attach an organizational chart.
22. Sustainability: describe how the project or its benefits will continue after grant funding ends.

C. SUMMARY BUDGET

23. Approximate cost of this activity/intervention in UAH: _____

Amount requested from USAID FST: _____

In-kind or other contribution from your organization (if applicable): _____

Other donors or third-party resources (if applicable): _____

Total estimated cost: _____

COST CATEGORIES	TOTAL IN (UAH)
Personnel: Salaries, Wages, and Fringe Benefits	
Travel and Transportation	
Equipment and Materials	
General/Operational Costs	
Activity/Intervention Costs	
Total	

By affixing my signature below, I certify that to the best of my knowledge, the information provided in this application is accurate and correct:

Submitted by (name and title): _____

Signature: _____ Date: _____

Annex 4: Budget and Budget Notes

Budget and Budget Notes will be provided as separate attachments

When the full technical proposal is requested, a cost application will be required as well. The cost application, comprising of two attachments: the Budget and the Budget Notes, should detail all direct costs associated with the implementation and completion of activities. Applicants may request an award with the project life of no longer than 12 months. This amount is subject to revision depending on availability of funds. Further, successful applicants may be asked to scale back portions of their programs to accommodate funding constraints.

The cost application includes specific cost information for this project and additional required information, if requested from the applicant in order for FST Staff to make a determination of responsibility.

The application must also provide evidence that the funds requested are reasonable and would be used in a cost-effective manner. FST will assess whether the overall costs are realistic for the work to be performed, whether the costs reflect that the Applicant understands the requirements, and whether the costs are consistent with the technical application. The application will also be assessed for cost effectiveness, and applications that minimize administrative costs in order to maximize program, outreach, and capacity building activities will generally be considered a better value.

Budget

The budget must be submitted electronically in MS Excel according to the form provided.

Budget Notes

The budget must have accompanying budget notes and justification that details the total costs for implementation of the program an organization is proposing. The budget narrative must be written in the third person. The combination of the cost data and breakdowns specified below and the cost notes must be sufficient to allow a determination of whether the costs estimated are reasonable. The following is provided as guidance on issues involving specific types of costs:

1. Internal Employees: Title of each position, name of employee, percentage of involvement, description of duties, gross salary rate, and justification of salary rate. Gross salaries and wages should be proposed in accordance with the Applicant's personnel policies.
2. State Social Tax on salary for full-time employees 22% as applicable per Ukrainian fiscal legislation.
3. Consultants: Please list all proposed consultants, their scopes of work, duration and rates, explaining how these rates were calculated. Information should be sufficient to determine the reasonableness of the cost of each specific consultant involved or expected to be hired.
4. Materials/Equipment: Specify all equipment to be purchased, including the type of equipment, the manufacturer, the unit cost and the number of units to be purchased. Source and Origin Requirements: Goods and services procured under this award must have their source and origin under principal authorized geographic code 110 (the United States, the independent states of the former Soviet Union, or a developing country, but excluding any country that is a prohibited source). Procurement source and origin requirements under the agreement will be dependent upon the source of funding.
5. General/Operational Costs: Please detail the expenses related to administration of the project, e.g.: office rent, office supplies, communication, copying/duplication, bank fees etc.
6. Activity Costs: Please detail and provide breakdown of the expenses for project activities (seminars, conferences, awareness raising campaigns, research, publications etc.)
7. Program Income (if applicable): The Recipient will account for program income in accordance with 2 CFR 200.307. In accordance with 2 CFR 200.307 (e)(2), program income earned under this award will be added to funds committed by USAID FST and the recipient to the project or program and used to further eligible project or program objectives. Additionally, in

accordance with 2 CFR 200.307(e)(3), program income may be used to finance the non-Federal share of the project or objectives.

8. For-profit applicants should note that DAI policy prohibits the payment of fee/profit to the recipient under grants. Forgone profit does not qualify as cost-sharing or leveraging.

Annex 5: CV Form

Curriculum Vitae

Proposed position in the project:

Name (First, Middle, Last):

Citizenship:

Education:

Name and location of institution	Major(s) or Degree(s) obtained:

Language proficiency – indicate proficiency on a scale of 1 (poor) to 5 (native):

Language	Reading	Speaking	Writing

Membership of NGOs or other professional bodies:

Key skills and qualifications relevant to the project (e.g. computer literacy, etc.):

Employment history:

Position Title	Employer's name and address	Dates of employment		Short description of tasks performed
		From (month, year)	To (month, year)	

Other relevant information: (e.g. publications, seminars/courses etc.):

Annex 6: Financial Capability Questionnaire

Accounting System and Financial Capability Questionnaire for USAID FST Grant Recipients

The main purpose of this questionnaire is to understand the systems adopted by your institution for financial oversight and accounting of grant funds, especially those provided through the U.S. Federal Government. The questionnaire will assist USAID FST program and accounting staff to identify the extent to which your institution's financial systems match the requirements of the U.S. Federal Government. This information will help the program staff work with you and your institution to review any problem areas that may be identified; thereby avoiding any problems or oversights which would be reportable should an audit of the program or institution be required.

The questionnaire should be completed by the financial officer of your institution in collaboration with USAID FST program staff. This questionnaire is informational only, and will not have any bearing on the agreement to support your institution based on the technical merit of the proposal. Therefore, please answer all questions to the best of your knowledge.

While 2 CFR 200 does not cover awards to non-U.S. recipients, USAID FST shall rely on the standards established in that regulation in determining whether potential non-U.S. recipients are responsible to manage Federal funds. A determination shall be made on the potential recipient's ability, or potential ability, to comply with the following USAID and federal-wide policies:

- 1) [2 CFR 200 Subpart D](#) (Financial and Program Management);
 - 1.1.2) [2 CFR 200 Subpart D](#) (Property Standards); Cost/budget reasonableness and effectiveness;
 - 1.2. Clearly defined efficient, ethical and economical use of funds.
- 3) [2 CFR 200 Subpart D](#) (Procurement Standards); and
- 4) [2 CFR 200 Subpart D](#) (Performance and Financial Monitoring and Reporting).

SECTION A: General Information

Please complete this section which provides general information on your institution.

Name of Institution: _____

Name and Title of Financial Contact Person: _____

Name of Person Filling out Questionnaire: _____

Mailing Address: _____

Street Address (if different) _____

Telephone, Fax, Email (if applicable) _____

Enter the beginning and ending dates of your institution's fiscal year:

From: (Month, Day) _____ To: (Month, Day) _____

SECTION B: Internal Controls

Internal controls are procedures which ensure that: 1) financial transactions are approved by an authorized individual and are consistent with applicable laws, regulations and your institution's policies; 2) assets are maintained safely and controlled; and 3) accounting records are complete, accurate and maintained on a consistent basis. Please complete the following questions concerning your institution's internal controls.

1. Does your institution maintain a record of how much time employees spend on different projects or activities?

Yes: ☐

No: ☐

2. If yes, how?

3. Are timesheets kept for each paid employee?

Yes: ☐

No: ☐

4. Do you maintain an employment letter or contract which includes the employee's salary?

Yes: ☐

No: ☐

5. Do you maintain inventory records for your institution's equipment?

Yes: ☐

No: ☐ (if no, explain)

6. How often do you check actual inventory against inventory records?

7. Are all financial transactions approved by an appropriate official?

Yes: ☐

No: ☐

The person responsible for approving financial transactions is: _____

Title: _____

8. Is the person(s) responsible for approving transactions familiar with U.S. Federal Cost principles as described in 2 CFR 200 Subpart E?

Yes: ☐

No: ☐

9. Does your institution use a payment voucher system or some other procedure for the documentation of approval by an appropriate official?

Yes: ☐

No: ☐

10. Does your institution require supporting documentation (such as original receipts) prior to payment for expenditures?

Yes: ☐

No: ☐

11. Does your institution require that such documentation be maintained over a period of time?

Yes: ☐

No: ☐

If yes, how long are such records kept? _____

12. Are different individuals within your institution responsible for approving, disbursing, and accounting of transactions?

Yes: ☐

No: ☐

13. Are the functions of checking the accuracy of your accounts and the daily recording of accounting data performed by different individuals?

Yes: ☐

No: ☐

14. Who would be responsible for financial reports? _____

SECTION C: Fund Control and Accounting Systems

Fund Control essentially means that access to bank accounts and/or other cash assets is limited to authorized individuals. Bank balances should be reconciled periodically to the accounting records. If cash cannot be maintained in a bank, it is very important to have strict controls over its maintenance and disbursement.

An Accounting System accurately records all financial transactions, and ensures that these transactions are supported by documentation. Some institutions may have computerized accounting systems while others use a manual system to record each transaction in a ledger. In all cases, the expenditure of funds provided by the USAID-funded program must be properly authorized, used for the intended purpose, and recorded in an organized and consistent manner.

1. Does your institution maintain separate accounting of funds for different projects by:

Separate bank accounts: ☐

A fund accounting system: ☐

2. Will any cash from the grant funds be maintained outside a bank (in petty cash funds, etc.)?

Yes: ☐

No: ☐

If yes, please explain the amount of funds to be maintained, the purpose and person responsible for safeguarding these funds.

4. If your institution doesn't have a bank account, how do you ensure that cash is maintained safely?

5. Does your institution have written accounting policies and procedures?

Yes: ☐

No: ☐

6. How do you allocate costs that are “shared” by different funding sources, such as rent, utilities, etc.?

7. Are your financial reports prepared on a:

Cash basis: ☐

Accrual basis: ☐

8. Is your institution's accounting system capable of recording transactions, including date, amount, and description?

Yes: ☐

No: ☐

9. Is your institution's accounting system capable of separating the receipts and payments of the grant from the receipts and payments of your institution's other activities?

Yes: ☐

No: ☐

10. Is your institution's accounting system capable of accumulating individual grant transactions according to budget categories in the approved budget?

Yes: ☐

No: ☐

10. Is your institution's accounting system designed to detect errors in a timely manner?

Yes: ☐

No: ☐

11. How will your institution make sure that budget categories and/or overall budget limits for the grant will not be exceeded?

12. Are reconciliations between bank statements and accounting records performed monthly and reviewed by an appropriate individual?

Yes: ☐

No: ☐

13. Briefly describe your institution's system for filing and keeping supporting documentation.

SECTION D: Audit

The grant provisions require recipients to adhere to USAID regulations, including requirements to maintain records for a minimum of three years to make accounting records available for review by appropriate representatives of USAID or FST, and, in some cases, may require an audit to be performed of your accounting records. Please provide the following information on prior audits of your institution.

1. Is someone in your institution familiar with U.S. government regulations concerning costs which can be charged to U.S. grants (2 CFR 200 Subpart E "Cost Principles")?

Yes: ☐

No: ☐

2. Do you anticipate that your institution will have other sources of U.S. government funds during the period of this grant agreement?

Yes: ☐

No: ☐

3. Have external accountants ever performed an audit of your institution's financial statements?

Yes: ☐

No: ☐

If yes, please provide a copy of your most recent report.

4. Does your institution have regular audits?

Yes: ☐

No: ☐

If yes, who performs the audit and how frequently is it performed?

5. If you do not have a current audit of your financial statements, please provide this office with a copy of the following financial statements, if available:

- a. A "Balance Sheet" for the most current and previous year; and
- b. An "Income Statement" for the most current and previous year.

6. Are there any circumstances that would prevent your institution from obtaining an audit?

Yes: ☐

No: ☐

If yes, please provide details:

CHECKLIST AND SIGNATURE PAGE

USAID FST requests that your institution submit a number of documents along with this completed questionnaire. Complete this page to ensure that all requested information has been included.

Complete the checklist:

- ☐ Copy of your organization's most recent audit is attached.
- ☐ If no recent audit, a "Balance Sheet" "Income Statement" for the most current and previous fiscal year.
- ☐ All questions have been fully answered.
- ☐ An authorized individual has signed and dated this page.

Documentation to be attached:

- ☐ Incorporation Papers or Certificate of Registration and Statute is attached.
- ☐ Information describing your institution is attached.

☐ Organizational chart, if available is attached (if applicable).

The Financial Capability Questionnaire must be signed and dated by an authorized person who has either completed or reviewed the form.

Approved by:

Print Name

Signature

Title

Date _____

Annex 7: Instructions for Obtaining a DUNS Number and Registration on www.sam.gov – USAID FST’S Vendors, Subcontractors and Grantees

Instructions will be provided in a separate file

Annex 8: Application Checklist

Before submitting your application, please check to make sure the following are included:

- ☐ The application is submitted in electronic format
- ☐ Applicable certifications and assurances are signed and included (see Annex 2)
- ☐ Budget and Budget Notes are included
- ☐ The CVs are included (Annex 5)
- ☐ The statement of liability is signed and stamped (last page of application form – Annex 3)
- ☐ Completed Financial Capability Questionnaire (Annex 6)
- ☐ Incorporation Papers or Certificate of Registration and Statute
- ☐ Organizational Chart
- ☐ Documentation that the applicant has the ability to comply with the award conditions, taking into account all existing and currently prospective commitments of the applicant. The applicant must demonstrate its ability to segregate funds obtained from the award of a capital grant from other activities of the organization. A separate bank account is required should a grant award be made. (Documentation may include certification from the applicant's bank or a summary of previous awards, including type of funding, value, client, etc.)
- ☐ Documentation that the applicant has a satisfactory record of integrity and business ethics. (Documentation may include references from other donors or clients and a summary of previous awards, including type of funding, value, client, etc.)
- ☐ Evidence of a DUNS Number