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Subject: Request for Applications (RFA) Number RFA-ERA-004
Development and support of the tourism sphere of Henichesk and Kakhovka Raions in the Kherson Oblast

Reference: Issued Under USAID Economic Resilience Activity USAID Contract No. 72012118C00004

DAI Global LLC implements Economic Resilience Activity (ERA), a six-year program (2018-2024) that supports the development of a resilient, inclusive, growth-oriented economy in eastern Ukraine by strengthening both market systems and social networks. Interventions funded by ERA are implemented in partnership with local civil society organization (CSO), government, and private sector actors. Interventions under the Activity contribute to the economic stabilization of the region by supporting vulnerable populations' participation in the economy, and by providing relevant resources and training to improve human capital. ERA also facilitates co-investments with small and medium enterprises (MSMEs) to build technical skills, reach new markets, and grow through sustainable and inclusive business models.

The armed conflict in Donbas had and continues to have a significant effect on the tourist sector of the Sea of Azov region. The region completely lost its traditional customer markets who used to travel here until 2014 from Donetsk and Luhansk, as well as Russia and Belarus, and enormous efforts were put into replacing them. Although many tourists from other regions of Ukraine and Belarus who had previously traveled to Crimea, started to choose the Sea of Azov region as their new holiday destination, they along with the new customers who replaced the traditional markets mainly belong to the low income/budget level segment. The clientele under this segment is characterized by a short length of stay and a low purchasing power.

In order to increase engagement of businesses and CSOs practicing tourism, this RFA aims at soliciting applications from local authorities, civil society organizations including business associations that plan to launch tourism, and private entrepreneurs, small and medium-sized businesses that already have experience with tourism. The geographic focus of this RFA is an area in the Kherson Oblast (Henichesk Raion and Kakhovka Raion).

As a result of grants implemented under this RFA, the following goals will be met:

- Development of new tourism products to extend the season or attract new categories of tourists to the Kherson Oblast area (Azov Sea region of Henichesk Raion and secondary destination of Kakhovka Raion);
- Enhancement of cultural, historical, ethnic, and festival tourism objects and events in the Kherson Oblast area (Azov Sea region of Henichesk Raion and secondary destination of Kakhovka Raion);
- Support for development of tourism industry associations and partnerships in the Kherson Oblast area (Azov Sea region of Henichesk Raion and secondary destination of Kakhovka Raion).

Please refer to the Program Description for a complete statement of goals and expected results.

Pursuant to 22 CFR 226.81, 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 (22 CFR 226, OMB Circular A-122 for non-profit organization, OMB Circular A-21 for universities, and the Federal Acquisition Regulation (FAR) Part 31 for-profit organizations), may be paid under the grant.

For non-US organizations, the Standard Provisions for Non-US Nongovernmental Recipients will apply. See Annex 8 for Standard Provisions.

Grant awards will generally range from USD 25,000 to USD 150,000 in the UAH equivalent. The expected duration of DAI support or the period of performance is up to 18 months. Longer durations may be considered on a case-by-case basis. The total amount of funding available for the RFA is the Ukrainian Hryvnia equivalent of approximately USD 350,000. DAI may choose to incrementally or fully fund the selected application(s) under this RFA. The number of awards and amount of available funding is subject to change, and DAI reserves the right to (1) fully fund a grant; (2) partially fund a grant or (3) decline to award a grant at any stage of the RFA process for programmatic, environmental, or compliance reasons.

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

- Annex 1 – Application Form
- Annex 2 – Project Workplan
- Annex 3 – Detailed description of proposed business activity (Business plan for MSMEs)
- Annex 4 – Project Budget and Budget Notes
- Annex 5 – Financial Capability Questionnaire and attachments
- Annex 6 – CV Form
- Annex 7 – Application Checklist
- Annex 8 – Mandatory Standard Provisions and Certifications, Assurances, Other Statements of the Recipient

Applications must be submitted to DAI, implementer of the USAID Economic Resilience Activity via e-mail to grants_era@dai.com not later than 11:59 pm on August 6, 2021. Applications and modifications thereof shall be submitted in pdf (preferred) or other electronic format in Ukrainian or English. It is required to write name of institution, name of the project and number of RFA in the subject of e-mail (application without indicated information will not be considered under the evaluation process).

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

Issuance of this RFA does not constitute an award commitment on the part of DAI, nor does it commit DAI to pay for costs incurred in the preparation and submission of an application. Further, DAI 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 10 days prior to the closing date shown above to email address grants_era@dai.com (subject: question on RFA-ERA-004).

Thank you for your interest in the USAID Economic Resilience Activity.

Sincerely,

Michael Pillsbury, Chief of Party

Development and support of the tourism sphere of Henichesk and Kakhovka Raions in the Kherson Oblast

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Section A – Grant Application Instructions

1. Application Procedure

A. Completion and submission of applications

Eligibility Requirements

This RFA is issued as a public notice to ensure that all interested and qualified applicants have a fair opportunity to submit applications for funding. All applicants must be legally registered in Ukraine and have their premises and assets located in the Henichesk and Kakhovka Raions of the Kherson Oblast (hereinafter referred to as “target region”). All project activities by the applicants that are financed by ERA shall be implemented within the target region.

Grants may be awarded to:

A. Micro, small and medium enterprises (MSMEs) that have already demonstrated their commitments in sphere of tourism including:

- (1) industry of hospitality (accommodation, dining);
- (2) providers of excursions and tours, active tourism, gastro tourism, green tourism, ethnic tourism, and other kinds of tourism activities;
- (3) spa and health tourism;
- (4) entertainment and tourist attractions;
- (5) tour operators and tour agents;
- (6) providers of business and event tourism;
- (7) souvenir manufacturers;
- (8) museums;
- (9) tourist information organizations;
- (10) digital services and filming in sphere of tourism.

When evaluating applications, preference may be given to businesses whose owners, employees or direct beneficiaries are members of the vulnerable and hard-to-reach populations. For the purposes of this RFA, the following groups and categories are considered as vulnerable and hard-to-reach populations (hereinafter referred to as ‘**ERA vulnerable and hard-to-reach populations**’):

- 1) People with disabilities (PWD);
- 2) Single headed household women;
- 3) ATO and JFO veterans;
- 4) Elderly women of 55+ years old;
- 5) Elderly men of 60+ years old;
- 6) Disadvantaged ethnic minority groups including Roma people, Greek, and others as self-identified;
- 7) Gender-based violence (GBV) survivors and people at risk of GBV;
- 8) IDPs, including both officially registered (ones who have certificate (“dovidka”) and non-registered;
- 9) Returnees;
- 10) Non-educated youth (youth with incomplete secondary and secondary education);
- 11) Women;
- 12) LGBTI community (for safety and security we will not openly query this disaggregation, but if people would like to self-identify confidentially, they will be welcome to and information security protocols will be strict);
- 13) Laid-off workers who lost their jobs since the conflict beginning in 2014;
- 14) Youth from NGCAs enrolled to the educational institutions located at GCAs of target regions;
- 15) Graduates (youth) of educational institutions located at GCAs, who lived at NGCA before study;
- 16) Parents of families with many children and/or children with disabilities;

- 17) People living within 5 km buffer zone along conflict line (GCA);
- 18) People living within 5-20 km buffer zone along conflict line (GCA);
- 19) IDP hosting community members.

B. Local Ukrainian civil society organizations (CSOs) and charitable foundations that work in sphere of tourism support and development and have been officially registered as non-governmental organizations for not less than one year prior to submission of their applications, **and**

- (1) proved to be sustainable as an organization and demonstrated sustainability approaches regarding existing or proposed grant interventions, **and**
- (2) have a clear and properly documented staff structure with indication of positions, appointed employees, duration of employment within these positions, as well as form of such employment (labor agreement or civil law contract), **and**
- (3) presented a well-developed technical approach to existing or proposed grant interventions on tourism.

When evaluating applications, preference may be given to organizations whose owners, employees or direct beneficiaries are members of the vulnerable and hard-to-reach populations. All vulnerable and hard-to-reach categories are listed above under the title “ERA vulnerable and hard-to-reach populations”.

C. Government entities only if it is an In-Kind type of a grant.

Organizations excluded from participating in this RFA are as follows:

- Any entity whose name appears with an Active Exclusion on www.sam.gov;
- Any entity whose name appears on the Specially Designated Nationals and Blocked Persons List (SDN) on www.sanctionssearch.ofac.treas.gov
- Any entity whose name appears on the United Nations Consolidated (Al-Qaida, etc.) List on www.scsanctions.un.org;
- Any “Public International Organization” (PIO);
- Any entity affiliated with DAI Global LLC or any of its directors, officers, or employees.

Grantee Contribution:

Grantee Contribution represents the portion of a funded project that the grantee must contribute in order to share the costs of meeting the objectives of the intervention outlined in the grant agreement. This contribution may be in cash, goods, or services. For instance, the contribution may be in the form of funds from other (non-US Government) donors; it may be the labor of grantee employees or volunteers; or it may be the use of a grantee’s meeting room to hold a workshop for the grant project. Contribution can also include the use of the applicant’s existing facilities or vehicles.

- A contribution of at least 15% is expected from micro and small enterprises, unless there is a compelling reason related to the vulnerability of the applicant.
- Contributions by medium enterprises of no less than 50% are expected unless there is a compelling reason related to the vulnerability of the applicant.
- Contributions by NGOs, public institutions, educational institutions, etc. are encouraged but not required.

Application Submission Requirements

Applications may be submitted only by e-mail to grants_era@dai.com. The official name of the applicant, name of the project and number of RFA should be included in the subject line of the e-mail (application without indicated information will not participate in evaluation process). Applications must include:

- Completed Application Form (Annex 1);
- Completed Project Workplan (Annex 2);
- Detailed description of proposed business activity (Business plan), only for MSMEs (Annex 3);
- Cost application including budget, budget narrative, and supporting documentation (Annex 4);
- Completed Financial Capability Questionnaire and attachments (Annex 5);
- CVs forms of required project team members (Annex 6);
- Signed copies of certifications, assurances, other statements of the recipient (Annex 8);
- Statement of liability (part of application form – Annex 1);
- Registration documents and Statute, if any.

Sub-Granting

A sub-grant means a financial assistance award in the form of money, or property in lieu of money, made by a grantee to a third-party organization or individual. Sub-granting by an ERA grantee will not be permitted under this RFA.

Deadline for submitting questions

All questions related to the RFA “Development and support of the tourism sphere of Henichesk and Kakhovka Raions in the Kherson Oblast” can be sent by e-mail to: grants_era@dai.com by July 27, 2021 (subject: question on RFA-ERA-004). Verbal explanations or instructions given before the award of a grant will not be binding. Any potential respondent wishing to receive information regarding this RFA should request such information in writing by the above deadline.

Deadline for applications

Applications must be sent to: grants_era@dai.com no later than 45 days after the date of issue of the RFA (by August 6, 2021). Applications must be submitted in pdf format (preferably) or another electronic format.

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 15 pages (exclusive of annexes).

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

- 1. Information about the applicant.** The applicant must provide general information about its organization.
 - i. Full title of the applicant according to official registration documents;
 - ii. Brief description of the applicant’s history (date of foundation, location, including changes thereof, major development milestones, etc.);
- 2. Project Information:** The applicant must provide general information on the future project, indicating the name of the project, the timing and location of its implementation, the amount requested from USAID ERA and cost contribution / leverage (if any).

3. The application structure and required information. The applicant must provide a detailed description of the project, specifying its goal, activities and results.

- a) **Project summary and problem statement** (explanation of the problem that the applicant wishes to overcome and the necessity of the grant support to accomplish this task);
- b) **Project goal, activities, and results**
 - i. Clear demonstration of relevance of the proposed project to existing tourism sphere demand in the Kherson Oblast (Henichesk Raion and Kakhovka Raion);
 - ii. Project goal and objectives;
 - iii. Detailed description of the technical approach/proposed intervention (A detailed description should demonstrate the applicant's technical competency to implement the proposed activities. If the applicant is applying for support of business activity, he or she should demonstrate the knowledge of the market dynamics and business climate in the pertinent sector. In this section, applicants explain how they will achieve their objectives. Activities should be numbered and listed clearly. Applications related to new technologies, investments and technical assistance will be evaluated on the clarity of the specifications and requirements provided and the strength of analysis. Applications for granting training and capacity building activities should include detailed information in terms of the proposed location, process, methodology, way of delivery, etc.). Applicant may provide detailed list and description of the equipment or other material resources using in this project that are needed for improvement of the tourism sphere. Please also provide information as to existing or prospective (possible) cooperation between applicant and relevant local industries.
 - iv. Expected results. Please describe the short-term quantitative results (outputs) and long-term qualitative results (outcomes) of the proposed intervention. Please describe what major changes as a result of this project will be produced, e.g. how many persons will be trained, what skills they will gain, what business/production processes will be restored or installed, what increase in beneficiaries' incomes is planned, etc. In contrast to the outputs, outcomes are qualitative results which might not be fully evaluated during the grant implementation. Outcomes are the certain, often non-numerical changes helping to measure the effectiveness and overall success of the grant, e.g. "grant participants will receive better employment opportunities due to the grant implementation".

4. Direct and indirect beneficiaries. Please describe 1) who will directly benefit from this project and 2) who will be indirect beneficiaries. Describe how the project activities will reach the intended beneficiaries, and how they will benefit directly and indirectly from project. Direct beneficiary, sometimes called a primary beneficiary, is someone who is directly involved with your project and benefits from it. Indirect beneficiary, sometimes called a secondary beneficiary, is someone who is not directly connected with the project but will still benefit from it.

5. Monitoring and evaluation: The applicant should define, to the maximum extent possible at the application stage, results and benchmarks for monitoring the performance towards attainment of grant objectives. The following indicators shall be considered and projected while preparing an application under this RFA. Applicants are free to include the tools they will use to monitor project activities and evaluate project results.

- i. Number of individual beneficiaries from ERA vulnerable and hard-to-reach populations in the target region directly covered during the project implementation (with breakdown according to the vulnerability criteria);
- ii. Percentage of female participants who will get an access to productive economic resources (assets, credit, income, or employment) as a result of the project implementation.
- iii. Total amount of new investments, which will be secured by the MSME as a result of the grant implementation (applicable if the applicant is MSME or a CSO whose project is focused on providing

- assistance to MSMEs, if the latter the applicant should provide an estimated amount of investments of MSMEs who will be supported through the grant).
- iv. Anticipated annual USD sales of the MSME after the grant completion (applicable if the applicant is MSME or a CSO whose project is focused on providing assistance to MSMEs, if the latter the applicant should provide an estimated amount of annual sales of MSMEs who will be supported through the grant).
 - v. Number of individuals with new or better employment opportunities as a result of grant implementation; here “new employment” means change of employment status from “unemployed” to “employed” and “better employment” means all cases when beneficiaries self-report about any kind of improvements in their employment (which can include but not be limited to: salaries increase, improvement of working conditions, better office location, etc.); The beneficiaries can include employees of tourism enterprises whose employment was improved or initiated as a result of participation in this program as well as individuals participating in training activities organized by these tourism enterprises, i.e. end clients.
 - vi. Number of people trained (i.e. a number of employees trained to use new equipment, beneficiaries attended training courses etc.) during implementation of grant;
 - vii. Number of beneficiaries utilizing new practices, techniques, or business management skills as a result of grant implementation (which means a number of people who report they utilize learned skills in their daily work or life).
- 6. Sustainability:** The applicant should describe how the grant or its benefits will continue after grant funding ends.
- 7. Schedule and timeline of project activities.** The applicant must make up a grant workplan using the template provided in Annex 2.
- 8. Personnel.** The applicant should indicate staff member/s that would be assigned for this grant as main implementer/s from applicant’s side referred to as Key Personnel, for example, Project Manager that also may be a **focal point** for these grant activities: name, title and contact details (e-mail, phone as a must) of the person who is responsible for this grant must be indicated. Each applicant should also provide, as part of their application, detailed curriculum vitae that demonstrate the Key Personnel’s ability to perform the duties outlined in the statement of work.
- 9. Applicant’s Capability and Past Performance:** Each application shall include information that demonstrates the applicant’s expertise and ability to meet or exceed the goals of this program. Applicants must present evidence of their past experience in tourism. Applicants may include descriptions of previous tourism projects or other similar activities. These references should include three (3) clients/partners/donors` names and telephone numbers who will serve as references.
- 10. Budget:** All proposals must include a completed budget; see Annex 4 for more details.
- 11. Other material:** Applicants may also want to submit other material 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.
- 12. Adaptability of all proposed activities to COVID-19 related restrictions.** The applicant should describe how the proposed activities will be possible to implement in the framework of current limitations imposed by the Government of Ukraine and local authorities as a result of COVID-19 pandemic. Will those activities be on-line or in-person, what precaution measures will be applied to meet the sanitary requirements, etc.?

C. Preparation Instructions – Financial and Administrative Documentation

1. Completed Budget. All budget lines must be clearly linked to specific project activities. See attached Annex 4 for the budget form. Supporting information 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, if any;
 - c. Completed Financial Capability Questionnaire (Annex 5).
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.
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. Depending on size, type, and complexity of the grant, the following may also specifically be requested at this stage:
 - 1) Accounting policy;
 - 2) Operations policies (Human Resources, Inventory, etc.);
 - 3) Procurement policies.
6. Universal Identifier and System of Award Management

There is a mandatory requirement for the finalists to provide a DUNS number to DAI (when applicable). 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, DAI cannot deem an applicant to be "responsible" to conduct business with and therefore, DAI 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 DAI. Organizations who fail to provide a DUNS number will not receive an agreement and DAI will select an alternate awardee.

The organizations that 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. DAI requires that grant applicants sign the self-certification statement if the applicant claims exemption for this reason.

DUNS number submission is not required as part of the application process, but, if required, will need to be provided before DAI will sign a grant agreement. DUNS number submission is not required under in-kind grants.

For those required to obtain a DUNS number, be informed that ERA grant staff will assist successfully Approved Grant Applicants with the following provisions prior to Grant Award.

Section B - Special Grant Requirements

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

Use of Funds: Funds provided under any grant awarded shall be used exclusively to successful application implementation and current activities under the grant. Use of funds may include, but not limited to and depending on the grant type award, purchase of new equipment, and/or materials, engaging experts for training program co-development and implementation, as well as for implementation of other activities provided by the applicants and agreed by ERA.

Award Type: DAI anticipates awarding multiple grants (hereafter called Agreements) to fund successful applications submitted in response to this RFA.

The ERA team completes a pre-award determination process to determine the value, duration, and type of a grant based on the nature of the grant activities and the financial and management capacity of the applicant. The following grant types may be used:

- 1) In-kind – ERA procures the goods and services and provides them to the grantee. No cash is given to the grantee. Goods must be tracked until final property title/ownership transfer approval is received.
- 2) Fixed Amount Award (FAA) - Payments are made based upon the completion and acceptance of program milestones rather than on receipts. The grantee must present a payment voucher, milestone certificate and evidence of completion for payment.
- 3) Standard / Simplified - Reimbursement of actual costs based on receipts and financial report. Appropriate for grantees with strong financial controls.
- 4) Blended Grants - A blended grant is a type of grant issued when an applicant submits a proposal and is selected to receive two different grant types for programmatic reasons (e.g., a determination that project objectives will be advanced through the provision of cash support to an applicant with a highly responsive proposal which will also require the addition of in-kind contributions to ensure overall success), and the two grant types are blended into one. The only two grant types that DAI allows to be blended are a Fixed Amount Award (FAA) and an In-Kind grant.

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:

- i. **Program report** to be submitted during grant implementation according to a schedule determined by DAI. This report will include a description of grant activities and progress towards meeting the grant goal and performance indicators including environmental compliance where applicable; problems in grant implementation; actions taken to overcome them; lessons learned; success stories and plans on how the next phase of the grant will be implemented.
- ii. **Final program report** will describe how the grant objectives and goals were reached, results of the grant including achievement of performance indicators including environmental compliance where applicable, and problems and solutions during implementation; lessons learned; success stories.
- iii. **Financial report** (depending on the grant type) will describe formal records of the financial activities.

Grant Monitoring: ERA staff will monitor grants in terms of programmatic aspects and environmental compliance, where applicable. Grant recipients will be expected to facilitate monitoring by making relevant information available to DAI staff. This may include but not be limited to: beneficiaries data collections via face-

to-face interviews, online surveys or surveys via printed or electronic forms, key informant interviews with beneficiaries, monitoring visits, collection of additional information, 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. Logging equipment,
9. Luxury goods (including alcoholic beverages and jewelry),
10. Procurement IT goods and services from Kaspersky, Huawei, and ZTE with the USG funds. Procurement of public safety or surveillance applications produced by Hytera Communications Corporation, Dahua Technology Company, or Hangzhou Hikvision Digital Technology Company (or any subsidiary or affiliate of such entities,
11. Establishing or expanding an 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 is 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;
 - 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 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.
17. Activities that:
 - normally have a significant effect on the environment under §216.2(d)(1) [See http://www.usaid.gov/our_work/environment/compliance/regulations.html] (except construction and rehabilitation);
 - Affect endangered species;
 - Provide support to extractive industries (e.g. mining and quarrying);
 - Promote timber harvesting;
 - Provide support for regulatory permitting;
 - Result in privatization of industrial facilities or infrastructure with heavily polluted property;
 - Assist the procurement (including payment in kind, donations, guarantees of credit) or use (including handling, transport, fuel for transport, storage, mixing, loading, application, clean-up of spray equipment, and disposal) of pesticides or activities involving procurement, transport, use, storage, or disposal of toxic materials--pesticides cover all insecticides, fungicides, rodenticides, etc. covered under the Federal Insecticide, Fungicide, and Rodenticide Act; and/or
 - Procure or use genetically modified organisms.
18. Any construction or refurbishment activities. "Construction" means construction, alteration, or repair (including dredging, excavating, and painting) of buildings, structures, or other real property. For purposes of this definition, the terms "buildings, structures, or other real property" include, but are not limited to, improvements of all types, such as bridges, dams, plants, highways, parkways, streets, subways, tunnels, sewers, mains, power lines, cemeteries, pumping stations, railways, airport facilities, terminals, docks, piers, wharves, ways, lighthouses, buoys, jetties, breakwaters, levees, canals, and channels.

Other: Under given RFA, DAI will decide on a type of grant in each particular case, considering the application specifics, budgeting and potential grantee's capabilities.

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. DAI will provide a template branding strategy that will be adapted in consultation with the applicant. ADS 320 may be found at the following website: <https://www.usaid.gov/ads/policy/300/320>.

Environmental Procedures

1. The Foreign Assistance Act of 1961, as amended, Section 117 requires that the impact of USAID's activities 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 activities are identified prior to a final decision to proceed and that appropriate environmental safeguards are adopted for all activities. i.e.: environmental compliance obligations under these regulations and procedures are specified in the following paragraphs of this RFA.
2. The applicant must comply with Ukrainian environmental regulations unless otherwise directed in writing by USAID. In case of conflict between Ukrainian and USAID regulations, USAID regulations will govern.
3. Environmental requirements of this RFA are governed by the USAID ERA Initial Environmental Examination (IEE) DCN: 2018-UKR-031 dated April 13, 2018 and amendments DCN: 2020-UKR-031 dated December 30, 2020, and DCN: 2021-UKR-001 dated January 21, 2021. Compliance with this IEE and its amendments is required to fund and implement grant activities, as described below.
4. No activity funded under the grant will be implemented unless an environmental threshold determination, as defined by 22 CFR 216, has been reached for that grant activity.

Environmental threshold determinations include:

- a. Categorical Exclusion (CE).
- b. Negative Determination with Conditions (NDC).
- c. Positive Determination.

For activities that fall under NDC, grantees will be requested to provide documents listed in item 5 below which are necessary for preparation of the USAID E&E Small-Scale Procurement Environmental Review Form (ERF) or Environmental Review Checklist and Environmental Monitoring and Mitigation Plan (ERC/EMMP).

5. Facilities used for grant implementation shall comply with the laws of Ukraine. To verify legally permitted facilities/buildings, where applicable and according to nature and purpose of the grant, successful applicants will be asked to submit the documents listed below but not limited to:
 - a. Lease agreement or Extract from the Government Registry of Rights of Real Estate.
 - b. Declaration of Fire Safety from the State Service of Ukraine for Emergencies.
 - c. Technical Passport from the Bureau of Technical Inventarization (BTI), including added marked premises for grant activity on the plan.
 - d. Declaration of Readiness for Operation from the State Agency of Architectural and Construction Inspection (when available).
 - e. Results of a Technical Inspection Report in compliance with Cabinet of Ministers of Ukraine decree Number 257 dated 12 April 2017 (If Declaration of Readiness is not available).
 - f. Contract for waste disposal (including contract for recyclable waste).
 - g. Air pollutant permit (if the production facility produces air pollutants emissions).
 - h. Provide the staff with potable water and access to sanitary facilities.

Section C - Selection Process

After the deadline for submitting applications, a review panel will convene to score and select the applications for funding. Throughout the evaluation process, DAI 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 the USAID Economic Resilience Activity grants staff.

The applications will be evaluated according to the evaluation criteria set forth below. 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.

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. Past performance and capability;

The applicant's past experience and institutional capacity will be assessed.

- 1.1. The applicant should demonstrate the ability to carry out the proposed activity based on education, prior experience in the proposed activity or an equivalent activity;
- 1.2. The applicant should demonstrate availability of material and human resources needed for the implementation of the grant;
- 1.3. The applicant should demonstrate competency necessary to achieve the results indicated in the application.

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

2. Project justification and design;

The applicant should provide:

- 2.1. Clear identification of the tourism problem(s) or concern(s) which applicant aims to address through project activities;
- 2.2. Measurable impact of the activities under the grant;
- 2.3. Comprehensive description of the proposed tourism business model and related aspects, such as expected revenues and sales, clients and suppliers, etc.;
- 2.4. Clear structure of the project: description of the activities and their relevance for the tourism sector

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

3. Potential impact on tourism sphere;

- 3.1. Is the project likely to improve tourism sphere?
- 3.2. The applicant should clearly identify the grant short-term results and outcomes.
- 3.3. It will be assessed whether the proposed project activities are practically feasible.

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

4. Cost effectiveness;

- 4.1. Is the cost reasonable in terms of the expected results? The project budget will be assessed from the perspective of relevancy and feasibility of expenditures.

4.2. The applicant should demonstrate that the applicant's needs (specified in the grant budget) are in line with the proposed approach.

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

5. Potential for sustainability

5.1. Is the project or its benefits likely to continue after grant funding ends? The applicant should demonstrate how the proposed activity will be self-sustaining (in the example of MSMEs, the activity breaks even or becomes lucrative) or will draw on other funding sources if necessary, to maintain the activity after the completion of the USAID ERA grant.

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

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

Following selection of an awardee, DAI will inform the successful applicant concerning the award. DAI will notify successful applicants electronically via e-mail.

DAI also will notify unsuccessful applicants concerning their status after selection has been made.

Signing of Grant Agreements

Upon USAID concurrence of the applicant, a Grant Agreement will be prepared. After DAI and the successful applicant have signed the Grant Agreement, DAI 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, environmental compliance and monitoring plan of the project.

Section D - Program Description

This section provides detailed information as to RFA's objectives, tasks and indicators.

1. Objectives

The overall goal is to increase engagement of businesses and CSOs as well as local authorities to the tourism sphere development in Henichesk and Kakhovka Raions of the Kherson Oblast.

Specific objectives are summarized as follows:

- 1) Development of new tourism products to lengthen the tourist season and/or attract new categories of tourists to the Kherson Oblast area (Azov Sea region of Henichesk Raion and secondary destination of Kakhovka Raion);
- 2) Enhancement of cultural, historical, ethnic, and festival tourism objects and events in the Kherson Oblast area (Azov Sea region of Henichesk Raion and secondary destination of Kakhovka Raion);
- 3) Support development of tourism industry associations and partnerships in the Kherson Oblast area (Azov Sea region of Henichesk Raion and secondary destination of Kakhovka Raion).

2. Tasks

The following main tasks that contribute to reaching objectives identified above will be performed organizations, local authorities and local MSMEs which work in the tourism sphere:

Task 1. Identify new tourism products that can extend the tourist season and/or attract new categories of tourists by:

- 1.1. analyzing existing and new tourism products in the region, their relevance to current market needs and standards, identifying critical improvement needs and possible solutions for such improvements;
- 1.2. assessing available material capacity (equipment, tools, machinery and other relevant assets) used in the tourism sphere as well as identifying existing gaps in material capacity which could be solved by this RFA;
- 1.3. assessing present institutional capacity, i.e. the level of practical skills that tourism stakeholders have, and the relevance of existing and new tourism products they use.

Task 2. Develop projects for improvement and enhancement of cultural, historical, ethnic, and festival tourism objects and events and commence implementation thereof by:

- 2.1. identifying specific material capacity improvements that are crucial for heritage tourism development (e.g. upgrade, replacement or new purchase of equipment);
- 2.2. identifying specific applicant's skills and/or methodology improvements and the ways they can be achieved (e.g. through short-terms courses, engaging consultants or study tours, etc.);
- 2.3. drafting implementation plan and start implementation as determined by such plan.

Task 3. Identify active tourism industry associations and partnerships that can significantly affect the development of tourism in the region by:

- 3.1. finding new ways to manage tourist destinations;
- 3.2. strengthening the dialogue between business and government;
- 3.3. development of social and public-private partnership in the field of tourism;
- 3.4. training of entrepreneurs and representatives of local authorities in order to improve the quality of service and introduce new ways of developing tourism in the region.

3. Indicators

The following indicators will be measured throughout and after grant implementation:

- i. Number of individual beneficiaries from ERA vulnerable and hard-to-reach populations in the target region directly covered during the grant implementation (with breakdown according to the vulnerability criteria);
- ii. Percentage of female participants who will get an access to productive economic resources (assets, credit, income, or employment) as a result of the grant implementation.
- iii. Total amount of new investments, which will be secured by the MSME as a result of the grant implementation (applicable if the applicant is MSME or a CSO whose project is focused on providing assistance to MSMEs, if the latter the applicant should provide an estimated amount of investments of MSMEs who will be supported through the grant).
- iv. Anticipated annual USD sales of the MSME after the grant completion (applicable if the applicant is MSME or a CSO whose project is focused on providing assistance to MSMEs, if the latter the applicant should provide an estimated amount of annual sales of MSMEs who will be supported through the grant).
- v. Number of individuals with new or better employment opportunities as a result of grant implementation; here "new employment" means change of employment status from "unemployed" to "employed" and "better employment" means all cases when beneficiaries self-report about any kind of improvements in their employment (which can include but not be limited to: salaries increase, improvement of working conditions, better office location, etc.); The beneficiaries can include employees of tourism enterprises whose employment was

improved or initiated as a result of participation in this program as well as individuals participating in training activities organized by these tourism enterprises, i.e. end clients.

- vi. Number of people trained (i.e. a number of employees trained to use new equipment, beneficiaries attended training courses etc.) during implementation of grant;
- vii. Number of beneficiaries utilizing new practices, techniques, or business management skills as a result of grant implementation (which means a number of people who report they utilize learned skills in their daily work or life).

Annex 1: Application Form

I. THE APPLICANT	
1. Name of the applicant <i>(also please include acronyms, if any)</i>	
2. Address of the applicant <i>(please include the official address as well as the postal address)</i>	
Official address:	
Postal address:	
Telephone	
E-mail	
Web site	
Contact person	
Mobile Telephone and e-mail of a contact person	
3. Brief description of the applicant's history (date of foundation, location, including changes thereof, major development milestones, etc.)	
II. PROJECT INFORMATION	
1. Title of proposed project	
2. Location and proposed duration	
Location: _____ [city / commune], _____ [county]	
Duration: _____ months, from _____ [month] _____ [year] to _____ [month] _____ [year]	

3. Summary Budget
Approximate cost of this activity/intervention in UAH:
Amount requested from USAID ERA:
Grantee contribution/ leverage or third-party resources (if applicable):
Total estimated cost:
III. THE APPLICATION STRUCTURE AND REQUIRED INFORMATION
1. Project Summary <i>(Please provide a brief summary of the project and any necessary background information; the summary should clearly address what your project will accomplish, in addition to why and how it will be implemented. Please explain the problem that you wish to overcome and the necessity of the grant support to accomplish this task)</i>
2. Project goal, activities, and results <i>(Please provide accurate and detailed information)</i>
a) How will the project promote and support <ul style="list-style-type: none"> • Development of new tourism products to lengthen the season or attract new categories of tourists to the Kherson Oblast area (Azov Sea region of Henichesk Raion and secondary destination of Kakhovka Raion); or • Improvement of cultural, historical, ethnic, and festival tourism objects and events in the Kherson Oblast area (Azov Sea region of Henichesk Raion and secondary destination of Kakhovka Raion); or • Development of tourism industry associations and partnerships in the Kherson Oblast area (Azov Sea region of Henichesk Raion and secondary destination of Kakhovka Raion)?
b) Project goal and objectives.
c) What are the specific activities that you will undertake? Please describe the proposed activities, specifications and requirements.
d) What are the specific short-term and long-term expected <u>results</u> (both quantitative and qualitative) that your project will bring about?

e) What is the overall anticipated impact of your project on community or targeted region?
3. Beneficiaries
a) How many people will directly and indirectly benefit from your project? Please describe who these beneficiaries will be (e.g. age, gender, what vulnerability group they represent, and other commonalities). How will they benefit from your project?
b) What vulnerable and hard-to-reach groups' needs will the project serve? (the whole list of vulnerable and hard-to-reach groups may be found in Section A – Grant Application Instructions. 1. Application Procedure A. Completion and submission of applications – under the title “ERA vulnerable and hard-to-reach populations”) Please describe how namely these needs will be covered.
c) If applicable, describe how you plan to increase economic opportunities for population in general or grant target groups in Henichesk and Kakhovka Raions in tourism sector?
4. Monitoring and evaluation
<p>Please provide your numerical projections as to the performance indicators described below to be achieved during the grant implementation:</p> <ul style="list-style-type: none"> a) Number of individual beneficiaries from ERA vulnerable and hard-to-reach populations in the target region directly covered during the grant implementation (with breakdown according to the vulnerability criteria); b) Percentage of female participants who will get an access to productive economic resources (assets, credit, income, or employment) as a result of the grant implementation. c) Total amount of new investments, which will be secured by the MSME as a result of the grant implementation (applicable if the applicant is MSME or a CSO whose project is focused on providing assistance to MSMEs, if the latter the applicant should provide an estimated amount of investments of MSMEs who will be supported through the grant). d) Anticipated annual USD sales of the MSME after the grant completion (applicable if the applicant is MSME or a CSO whose project is focused on providing assistance to MSMEs, if the latter the applicant should provide an estimated amount of annual sales of MSMEs who will be supported through the grant). e) Number of individuals with new or better employment opportunities as a result of grant implementation; here “new employment” means change of employment status from “unemployed” to “employed” and “better employment” means all cases when beneficiaries self-report about any kind of improvements in their employment (which can include but not be limited to: salaries increase, improvement of working conditions, better office location, etc.); The beneficiaries can include employees of tourism enterprises whose employment was improved or initiated as a result of participation in this program as well as individuals participating in training activities organized by these tourism enterprises, i.e. end clients.

f)	Number of people trained (i.e. a number of employees trained to use new equipment, beneficiaries attended training courses etc.) during implementation of grant;
g)	Number of beneficiaries utilizing new practices, techniques, or business management skills as a result of grant implementation (which means a number of people who report they utilize learned skills in their daily work or life).
5. Sustainability	
Describe how the activities in your project will be sustained after funding ends. How will the activities or results of your grant continue?	
6. Project activity schedule and timeline (work plan)	
<i>(Based on the activities listed in section III.2 above, please fill in the work plan using the template provided in Annex 2)</i>	

IV. PROJECT TEAM

Please list all project team members, including their position, role in the project and a short description of their assigned responsibilities. *(Insert as many lines as necessary).*

(Please attach CVs for key personnel involved in the project, using the template provided in Annex 6)

NO	NAME & SURNAME	POSITION	ROLE IN THE PROJECT	DESCRIPTION
1				
2				
3				
4				
5				
6				
7				
8				

V. APPLICANT CAPABILITY AND PAST PERFORMANCE

1. Organizational capability and resources

Please describe the various resources at the disposal of your organization such as: equipment, offices etc. Please present evidence of their past experience in tourism. Please include descriptions of previous tourism projects or other similar activities. Please indicate if you received any grants previously. Please indicate the donor organization, the grant dates, the amount and the grant type. Provide your answer below.

VI. PROJECT BUDGET

Please provide a detailed budget and budget narrative describing the all budgeted costs, using the template provided in Annex 4: Project Budget and Budget Notes

VII. STATEMENT OF LIABILITY

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

Name and surname:	
Position:	
Signature & stamp:	
Date:	

Annex 2: Project Workplan

(You can fill in the information in a separate Excel document)

#	Objective	Activities	Expected result (output)	Location	Responsible person	Timeline (months)																		
						1	2	3	4	5	6	7	8	9	10	11	12	13	14	15	16	17	18	

Annex 3: Detailed description of proposed business activity (Business plan for MSMEs)

Executive summary
It may include a table of contents, company background, market opportunity, management overviews, competitive advantages, and financial highlights. It's probably easiest to write the detailed sections first and then extract the cream to create the executive summary. Try to keep it to just a couple of pages.
Business description and structure
This is where you explain why you're in business and what you're selling. If you sell products, describe your manufacturing process, availability of materials, how you handle inventory and fulfillment, and other operational details. If you provide services, describe them and their value proposition to customers. Include other details such as strategic relationships, administrative issues, intellectual property you may own, expenses, and the legal structure of your company.
Market research and strategies
Spell out your market analysis and describe your marketing strategy, including sales forecasts, deadlines and milestones, advertising, public relations and how you stack up against your competition. If you can't produce a lot of data analysis, you can provide testimonials from existing customers.
Financial Plan
<ul style="list-style-type: none"> • Financing scheme (own investment and grant part) • Capital expenses • Costs of preparatory period • Fixed operating costs • Employee costs • Variable costs • Income part • Sales plans • Cash-flow forecast for at least 3 years
Efficiency Assessment of the Grant
<ul style="list-style-type: none"> • Breakeven point • Margin of safety • Inventory of financial durability

Annex 4: Project Budget and Budget Notes

Please provide a detailed budget for the entire duration of the project, using the template provided.

The budget template is included as a separate Excel File. The Budget Narrative may be provided in a free format in Word.

The project budget as an attachment should detail all direct costs associated with the implementation and completion of the proposed intervention. Certain documents may be required to be submitted by an applicant to show that the funds requested are reasonable and would be used in a cost-effective manner. DAI 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.

Project Budget

The following is provided as guidance on issues involving specific types of costs:

1. Salaries and honoraria. You can budget salaries and honoraria of the staff involved into the project implementation. Please include name of the person, position, and salary/honoraria rate.
2. Materials/Equipment: Specify all materials and equipment expected to be purchased, including type, unit cost, and number of units.
3. Travel, Transportation, and Allowances. You may include travel and accommodation costs of the project staff and training participants.
4. General/Operational Costs. You may include rent, communication costs, etc. if these expenses are directly related to project implementation.
5. Activity Costs. These costs are directly related to activities performed during the project (e.g. trainings, surveys, workshops or others, including all expenses for it implementation).

Please note that you don't have to fill in all budget categories. The budgeted expenses should correspond your project needs.

Budget Narrative

The budget must have an accompanying detailed budget narrative and justification that provides in detail the total costs for implementation of the program your organization is proposing. The combination of the cost data and breakdowns specified above and the cost notes must be sufficient to allow a determination of whether the costs estimated are reasonable.

Please, list all costs in the same order as in the project budget!

I. Labor/Salaries

A. Internal Employees:

Position 1. Name of person. Percentage of involvement. Description of duties. Salary rate. Justification of salary rate.

State Social Tax on salary for full-time employees 22%.

B. Short-term consultants. Name of person. Percentage of involvement. Type of contract (private entrepreneur, natural person, etc.). Description of duties. Salary rate. Justification of salary rate.

II. Materials/Equipment. Specify all materials and equipment expected to be purchased, including type, unit cost, and number of units. It's important to understand why given equipment is needed to achieve project objectives.

III. Travel, Transportation, and Allowances. Detailed list of project travel and description and justification of costs (transportation, accommodation, per diems, etc.)

IV. General/Operational Costs may include supplies, stationary, commination costs, % of the office/premises rent, etc. Details and justification of costs.

V. Activity Costs. Details and justification of costs.

Depending on the nature of the activity the budget may also include the following costs:

1. Grantee contribution or “leverage”: In addition to USAID funds, applicants are encouraged to contribute resources from their own private or local sources for the implementation of this program where feasible. Contributions can be either cash or in-kind and can include contributions from applicant, local counterpart organizations, project clients, the relevant Government(s), and other donors (but not other USG funding sources). The budget must provide a breakdown of the financial or in-kind contributions, if any. The contribution should be discussed in the Budget Narrative to the extent necessary to realistically access these sources and funds and the feasibility of the applicant’s contribution plan.

Supporting Documentation:

1. Applicants must submit any additional documentation that DAI may require at pre-award stage. The information submitted must substantiate that the Applicant:
 - a. has the ability to comply with the award conditions;
 - b. has a satisfactory record of integrity and business ethics.

The Applicant is reminded that U.S. Executive Orders and U.S. law prohibits transactions with, and the provision of resources and support to, individuals and organizations associated with terrorism. It is the legal responsibility of the Applicant/Recipient to ensure compliance with these Executive Orders and laws.

Annex 5. Financial Capability Questionnaire and attachments

Accounting System and Financial Capability Questionnaire

For DAI 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 DAI 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 DAI 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, DAI 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);
- 2) [2 CFR 200 Subpart D](#) (Property Standards);
- 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, 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 U.S. 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:

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

Yes: No: (if no, explain)

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

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

Yes: No:

7. 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 DAI, 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:

Annex 6: CV Form

Key personal

Curriculum Vitae

Position:

Name (First, Middle, Last):

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

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 7: Application Checklist

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

- The application is completed (Annex 1)
- The workplan is included (Annex 2)
- Detailed description of proposed business activity (only applicable for MSMEs) (Annex 3)
- Budget and Budget Notes are included (Annex 4)
- Completed Financial Capability Questionnaire (Annex 5)
- The statement of liability is signed and stamped (last page of application form – Annex 1)
- The CV forms are included (Annex 6)
- Applicable certifications and assurances are signed and included (see Annex 8)
- 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. Documentation may include information about previous awards, including type of funding, value, donor, etc.)
- Documentation that the applicant has a satisfactory record of integrity and business ethics. (Documentation may include references from other donors, partner organizations)

Annex 8: Mandatory Standard Provisions and Certifications, Assurances, Other Statements of the Recipient

Mandatory Standard Provisions for Non-US Nongovernmental Recipients are available at:

<https://www.usaid.gov/ads/policy/300/303mab>

The certifications and representations, that must be submitted as a part of the application:

1. Representation by Organization Regarding a Delinquent Tax Liability or a Felony Criminal Conviction
2. Prohibition on Providing Federal Assistance to Entities that Require Certain Internal Confidentiality Agreements – Representation

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

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 Support to Terrorists
5. Certification of Recipient

In addition, the following two certifications will be included only as required per ADS 206 for Key Individuals or Covered Participants in covered countries:

Part II – Key Individual Certification Narcotics Offenses and Drug Trafficking

Part III – Participant Certification Narcotics Offenses and Drug Trafficking

Instructions for obtaining an Unique Entity Identifier and maintaining a current registration in the System of Award Management (SAM) or Self Certification for Exemption from Unique Entity Identifier Requirement will be provided to the successful candidates.

Representation by Organization Regarding a Delinquent Tax Liability or a Felony Criminal Conviction

(a) As required by sections 744 and 745 of Division E of the Consolidated and Further Continuing Appropriations Act, 2015 (Pub. L. 113-235), and similar provisions, if contained in subsequent appropriations acts, none of the funds made available by that Act may be used to enter into an assistance award with any organization that –

(1) “Was convicted of a felony criminal violation under any Federal law within the preceding 24 months, where the awarding agency has direct knowledge of the conviction, unless the agency has considered, in accordance with its procedures, that this further action is not necessary to protect the interests of the Government”; or

(2) “Has any unpaid Federal tax liability that has been assessed for which all judicial and administrative remedies have been exhausted or have lapsed, and that is not being paid in a timely manner pursuant to an agreement with the authority responsible for collecting the tax liability, where the awarding agency has direct knowledge of the unpaid tax liability, unless the Federal agency has considered, in accordance with its procedures, that this further action is not necessary to protect the interests of the Government”.

It is USAID’s policy that no award may be made to any organization covered by (1) or (2) above, unless the M/MPBP Compliance Division has made a determination that suspension or debarment is not necessary to protect the interests of the Government.

(b) Applicant Representation:

1. The Applicant represents that it is [] is not [] an organization that was convicted of a felony

Завірення організацією щодо відповідальності за несплачені податки чи засудження за скоєння кримінального злочину

(a) Як це вимагається положеннями параграфів 744 і 745 Розділу Е Консолідованого і продовженого Закону «Про порядок затвердження бюджетних асигнувань» від 2015 року (Опубліковано в L. 113-235) і подібними положеннями в разі їх включення до наступних законів про порядок затвердження бюджетних асигнувань, жодні кошти, які надаються за цим Законом, не можуть бути використані для укладення угоди про надання гранту з будь-якою організацією, яка -

(1) «Була визнана винною у вчиненні особливо тяжкого кримінального правопорушення згідно з будь-яким федеральним законом протягом попередніх 24 місяців, якщо організація, що надає допомогу, точно знала про таке визнання винним, окрім випадку, якщо ця організація вирішила у відповідності до своїх процедур, що такі наступні дії не є необхідними для захисту інтересів Уряду»; чи

(2) «Має будь-які зобов’язання з несплачених федеральних податків, які були оцінені як такі, щодо яких було вжито усіх можливих судових і адміністративних засобів правового захисту, і які не були сплачені вчасно згідно з договором з організацією, що відповідальна за збір податків, якщо організація, що надає допомогу, точно знала про таке зобов’язання щодо несплачених податків, окрім випадку, якщо федеральне агентство вирішило у відповідності до своїх процедур, що такі дії не є необхідними для захисту інтересів уряду».

Політика USAID встановлює, що жоден грант не може бути наданий організації, до якої застосовуються пункти (1) чи (2) вище, окрім випадків, коли підрозділ М/MPBP із забезпечення дотримання вимог вирішить, що припинення чи відсторонення не є необхідними для захисту інтересів уряду.

(b) Завірення заявника:

1. Заявник завіряє, що є [] не є [] організацією, яку було визнано винною у вчиненні

criminal violation under a Federal law within the preceding 24 months.

2. The Applicant represents that it is [] is not [] an organization that has any unpaid Federal tax liability that has been assessed for which all judicial and administrative remedies have been exhausted or have lapsed, and that is not being paid in a timely manner pursuant to an agreement with the authority responsible for collecting the tax liability.

Applicant

Name of Organization:

Name and Title of Authorized Representative:

Signature:

Date:

кримінального злочину згідно з федеральним законодавством протягом попередніх 24 місяців.

2. Заявник завіряє, що є [] не є [] організацією, яка має будь-які зобов'язання з несплачених федеральних податків, які були оцінені як такі, щодо яких було вжито усіх можливих судових і адміністративних засобів правового захисту, і які не були сплачені вчасно згідно з договором з організацією, що відповідальна за збір податків

Заявник

Назва організації:

Ім'я та посада уповноваженого Представника:

Підпис:

Дата:

Prohibition on Providing Federal Assistance to Entities that Require Certain Internal Confidentiality Agreements – Representation (May 2017)

(a) Definitions.

“Contract” has the meaning given in 2 CFR Part 200.

“Contractor” means an entity that receives a contract as defined in 2 CFR Part 200.

“Internal confidentiality agreement or statement” means a confidentiality agreement or any other written statement that the recipient requires any of its employees or subrecipients to sign regarding nondisclosure of recipient information, except that it does not include confidentiality agreements arising out of civil litigation or confidentiality agreements that recipient employees or subrecipients sign at the behest of a Federal agency.

“Subaward” has the meaning given in 2 CFR Part 200.

“Subrecipient” has the meaning given in 2 CFR Part 200.

(b) In accordance with section 743 of Division E, Title VII, of the Consolidated and Further Continuing Appropriations Act, 2015 (Pub. L. 113-235) and its successor provisions in subsequent appropriations acts (and as extended in continuing resolutions), Government agencies are not permitted to use funds appropriated (or otherwise made available) for federal assistance to a non-Federal entity that requires its employees, subrecipients, or contractors seeking to report waste, fraud, or abuse to sign internal confidentiality agreements or statements that prohibit or otherwise restrict its employees, subrecipients, or contractors from lawfully reporting such waste, fraud, or abuse to a designated investigative or law enforcement representative of a Federal department or agency authorized to receive such information.

Заборона надання федеральної допомоги організаціям, які вимагають укладення певних внутрішніх договорів про конфіденційність – Заява (травень 2017 року)

(a) Визначення.

«Контракт» має значення, наведене у 2 CFR, Частина 200.

«Підрядник» – суб'єкт господарювання, який отримує контракт відповідно до визначення у 2 CFR, Частина 200.

«Внутрішня угода або заява про конфіденційність» – угода або будь-яка заява про конфіденційність у письмовій формі стосовно того, що реципієнт вимагає від своїх працівників або субреципієнтів підписати угоду про нерозголошення інформації про реципієнта, окрім угод про конфіденційність, що впливають із цивільних судових спорів, або угод про конфіденційність, які працівники або субреципієнти реципієнта підписують на вимогу Федеральної установи.

«Присудження субконтракту» має значення, наведене у 2 CFR, Частина 200.

«Субреципієнт» має значення, наведене у 2 CFR, частина 200.

(b) Відповідно до пункту 743 Розділу E, Глава VII Закону про консолідовані та подовжені асигнування, 2015 р. (Публічне право 113-235) та положень, що його заміщують, у наступних законах про асигнування (зі змінами та доповненнями), Урядовим установам не дозволяється використовувати кошти, виділені (або надані іншим чином) для надання федеральної допомоги Нефедеральним суб'єктам господарювання, які вимагають від своїх працівників, субреципієнтів або підрядників, які прагнуть повідомити про марнотратство, шахрайство чи зловживання, підписувати внутрішні угоди або заяви про конфіденційність, що забороняють або іншим чином обмежують законне право їх працівників, субреципієнтів або підрядників на повідомлення про таке марнотратство, шахрайство чи зловживання призначеному слідчому чи правоохоронному

(c) The prohibition in paragraph (b) of this provision does not contravene requirements applicable to Standard Form 312, (Classified Information Nondisclosure Agreement), Form 4414 (Sensitive Compartmented Information Nondisclosure Agreement), or any other form issued by a Federal department or agency governing the nondisclosure of classified information.

(d) Representation. By submission of its application, the prospective recipient represents that it will not require its employees, subrecipients, or contractors to sign or comply with internal confidentiality agreements or statements prohibiting or otherwise restricting its employees, subrecipients, or contractors from lawfully reporting waste, fraud, or abuse related to the performance of a Federal award to a designated investigative or law enforcement representative of a Federal department or agency authorized to receive such information (for example, the Agency Office of the Inspector General).

представнику Федерального відомства чи органу, уповноваженому отримувати таку інформацію.

(c) Заборона, передбачена пунктом (b) цього положення, не суперечить вимогам, що застосовуються до Стандартної форми 312 (Угода про нерозголошення конфіденційної інформації), Форми 4414 (Угода про нерозголошення секретної інформації з особливим режимом зберігання) або будь-якої іншої форми, виданої Федеральним відомством або установою, що регулює нерозголошення конфіденційної інформації.

(d) Заява. Подаючи свою заявку, потенційний реципієнт заявляє, що не вимагатиме від своїх працівників, субреципієнтів або підрядників підписувати або виконувати умови внутрішніх угод або заяв про конфіденційність, що забороняють або іншим чином обмежують законне право їх працівників, субреципієнтів або підрядників на повідомлення про таке марнотратство, шахрайство чи зловживання призначеному слідчому чи правоохоронному представнику Федерального відомства чи органу, уповноваженому отримувати таку інформацію (наприклад, Управління Генерального інспектора).

Applicant

Name of Organization:

Name and Title of Authorized Representative:

Signature:

Date:

Заявник

Назва організації:

Ім'я та посада уповноваженого Представника:

Підпис:

Дата: