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Subject: Request for Applications (RFA) Number RFA-ERA-005
Strengthening economic resilience of the vulnerable population in eastern Ukraine through grant support to non-governmental organizations.

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

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

During periods of economic decline and difficult internal and external relations of the country, vulnerable population groups are even more deprived and ostracized. Difficult life circumstances increase vulnerability and, at the same time, the level of discrimination. In a situation of armed conflict and lack of legislation and protection mechanisms to prevent and counter discrimination, marginalized groups, such as women over the age of 55 / men over the age of 60, veterans of the anti-terrorist operation / joint force operation (hereinafter ATO / JFO veterans), women / single headed household women, people with disabilities, parents of families with many children and/or children with disabilities, individuals, living within the 5-kilometer and 5-20-kilometer buffer zones along the contact line experience social exclusion and lack of state support. And the exclusion of certain groups of society from social life leads to their exclusion from economic processes. Thus, the economy loses profits, society loses its integrity, and vulnerable population groups, in turn, lose support and the opportunity to develop at the appropriate level.

To overcome this complex of interrelated negative aspects, ERA provides grant support to NGOs in the Donetsk and Luhansk Oblasts, as well as those operating in these Oblasts and in the cities of Berdiansk, Melitopol and Henichesk; NGOs from other regions, but which aim to perform activities in the Donetsk and / or Luhansk Oblasts, and / or in the cities of Berdiansk, Melitopol and Henichesk. It is also important to have experience interacting with vulnerable groups in previously implemented programs, partnerships with representatives of local authorities, and close ties with other NGOs in the country. A comprehensive socio-economic approach will be implemented through the model of cooperation with NGOs. This approach will help support and enhance the competencies and capabilities of vulnerable groups. Also, the grants will provide an opportunity for NGOs to obtain financing to increase their capacity. Expenditures on capacity building measures may not exceed 20% of the total budget proposed in a grant application.

In order to promote the economic development of the region and, above all, vulnerable population groups, this RFA aims to solicit applications from NGOs that plan to cooperate with the above categories of the population in terms of economic recovery. As a result of grant implementation under this RFA, the following goals will be met:

- 1) NGOs receive institutional support and professional development through the implementation of the grant;
- 2) Beneficiaries - representatives of vulnerable groups – are supported in the development of personal resources and technical skills to improve their economic situation;

- 3) The economic potential of local communities is enhanced due to new knowledge and skills acquired by the residents.

ERA works to mitigate disruption from the conflict by empowering eastern Ukrainians to rebuild and grow promising enterprises, especially those in targeted sectors, and integrate them into value chains across Ukraine, the European Union, and other international markets. ERA supports the resilience of residents of eastern Ukraine as they look toward a more stable and prosperous future.

Apart from meeting all eligibility criteria and other mandatory requirements, applicants should include the following in their applications:

- 1) Description of vulnerable population groups that will benefit from the project activity, specifically the following groups: women aged 55 and over / men aged 60 and older, ATO and JFO veterans, women/single headed household women, people with disabilities (PWD), parents of families with many children and/or with children with disabilities, persons living within 5 km and 5-20 km buffer zones along the contact line;
- 2) Description of the proposed activities to be implemented using an online format. Due to quarantine restrictions and deterioration of the epidemiological situation in Ukraine, only applications including online activities will be considered;
- 3) The minimum grant value awarded under this RFA will be the UAH equivalent of 20,000 USD, and the maximum will be the UAH equivalent of 100,000 USD;
- 4) Description of the general and economic problems of the referenced vulnerable groups to be addressed through grant support and the reason this group needs support;
- 5) Justification and description of the economic impact that vulnerable groups will receive through their participation in the grant that is potentially awarded to your NGO.

Please refer to Section A - Grant Application Instructions, Section C – Selection Process.

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 all 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. See Annex 1 for Standard Provisions.

The total amount of funding available for the RFA is the Ukrainian Hryvnia equivalent of approximately USD 100,000. The expected duration of DAI support or the period of performance of the grant can be up to 12 months. DAI, as primary implementer of the USAID Economic Resilience Activity, reserves the right to fund any or none 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 – Project description

Annexes:

Annex 1 – Application Form
 Annex 2 – Workplan
 Annex 3 – Budget
 Annex 4 – CV Form
 Annex 5 – Financial Capability Questionnaire
 Annex 6 – List of documents required for financial and legal inspection
 Annex 7 – Application Checklist
 Annex 8 – Mandatory Standard Provisions and Certifications, Assurances, Other Statements of the Recipient and Mandatory Standard Provisions

Applications must be submitted to DAI, implementer of the USAID Economic Resilience Activity via e-mail grants_era@dai.com not later than 11:59 p.m. on 07 August, 2021. Applications and Annexes thereof shall be submitted in PDF (preferred) or other electronic format in Ukrainian and English languages. It is required to write the name of institution, name of the project and number of RFA in the subject of e-mail (application without indicated information will not be participated in evaluation process).

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 5 days prior to the closing date shown above to the ERA grants department, email address grants_era@dai.com (subject: question on ERA-RFA-005).

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

Sincerely,

Michael Pillsbury, Chief of Party

Title of the RFA: Strengthening economic resilience of the vulnerable population in eastern Ukraine through grant support to non-governmental organizations.

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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 the Donetsk and/or Luhansk Oblasts in Ukraine, and/or in the cities of Berdiansk, Melitopol and Henichesk (hereinafter referred to as “target region”) and have their premises and assets based in the aforementioned locations.

Exceptions may be made to those applicants that due to the conflict in eastern Ukraine (i.e. military actions or threat thereof, as well as previous registration within currently non-government controlled area) changed their legal registration address within the territory of Ukraine, other than Donetsk and Luhansk Oblasts, however are actually based in the Donetsk and Luhansk Oblast (for more than one year period prior to the application submission).

Exceptions may be made to those applicants who have their registered office address in oblasts other than the Donetsk and Luhansk Oblasts and the cities of Berdiansk, Melitopol and Henichesk, within the territory of Ukraine, but plan to implement project activities in the abovementioned locations and prove their ability to implement a project in eastern Ukraine.

Grants may be awarded to NGOs:

- 1) that are formed and registered (but not later than 2018) in accordance with the Law of Ukraine "On Public Associations" No. 4572-VI of March 22, 2012 (as amended), acting on the basis of the statute and whose activities are non-profit;
- 2) that provide assistance to vulnerable groups in rural and urban areas most affected by the conflict in the Donetsk and Luhansk Oblasts and in the cities of Berdiansk, Melitopol and Henichesk, such as: women over 55 / men over 60; ATO / JFO veterans; women / single headed household women; people with disabilities; parents of families with many children and/or children with disabilities; persons living within the 5-kilometer and 5-20-kilometer buffer zones along the contact line;
- 3) whose initiatives address the economic problems of vulnerable groups or are aimed at strengthening their economic resilience.

* For the purposes of this RFA, the priority groups of vulnerable population are women over 55 / men over 60; ATO / JFO veterans; women / single headed household women; people with disabilities. Applications that will focus exclusively on these priority groups will be awarded additional points in accordance with the evaluation criteria for proposals set out below.

Grants may not be awarded to:

Organizations excluded from federal procurement and non-procurement programs:

- 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 is not required for eligibility purposes.

Application Submission Requirements

- Applications may be submitted only by e-mail to grants_era@dai.com. It is required to write the official name of the applicant, name of the project and RFA number in the subject of e-mail (application without indicated information will not be participated in evaluation process).
- Applications must include:
 - 1) Completed Application Form (Annex 1).
 - 2) Completed Project Workplan (Annex 2).
 - 3) Projected Grant Budget and Budget Notes (Annex 3).
 - 4) CVs forms of required project team members (Annex 4).
 - 5) Signed statement of liability.
 - 6) Completed Financial Capability Questionnaire (Annex 5).
 - 7) Necessary documents according to Annex 6 "List of documents required for financial and legal inspection".
 - 8) Signed certificates and assurances (Annex 8).

Deadline for submitting questions

All questions related to the RFA “Strengthening economic resilience of the vulnerable population in eastern Ukraine through grant support to non-governmental organizations” can be sent by e-mail to: grants_era@dai.com by 03 August 2021. (subject: question on RFA-ERA-005).

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 or ask questions during the presentation of this RFA.

On 09 July 2021, the USAID ERA staff will hold an online presentation regarding RFA “Strengthening economic resilience of the vulnerable population in eastern Ukraine through grant support to non-governmental organizations” where potential applicants may ask questions and obtain detailed information about this RFA. Please register using this link <https://forms.gle/degtgT76sGAfUF6h7>

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 07 August, 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 requirements

Page Limitation: Applications should be specific, complete, and concise, 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 the NGO:
 - i. Full title of the NGO according to official registration documents and date of establishment;
 - ii. Indicate the name, position and contact details (e-mail, telephone number) of the person responsible for the project;
 - iii. The NGO’s mission statement, purpose, and its main types of activities;
 - iv. NGO’s target audiences;
 - v. Information on current projects or applications submitted in the last two months for new awards;
 - vi. Description and photo of the premises where the NGO is located.

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 other donors (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.

- i. description of vulnerable population groups that will benefit from the project activity, specifically the following groups: women aged 55 and over / men aged 60 and older, ATO and JFO veterans, women/single headed household women, people with disabilities (PWD), parents of families with many children and/or with children with disabilities, persons living within 5 km and 5-20 km buffer zones along the contact line;
- ii. indication of the economic problem of the selected vulnerable group (or several groups) that the applicant plans to address while implementing the grant;
- iii. activities proposed by the applicant with the total number of beneficiaries covered;
- iv. what skills are planned to be improved through the proposed activities or what economic impact the project will have on vulnerable populations;
- v. whether the applicant has any material resources to carry out the proposed activities;
- vi. the reason you think your project will be relevant to the beneficiaries who represent the vulnerable groups;
- vii. provide a description of the project participants selection mechanism, indicating the location, selection criteria and who will be given preference during the selection process;
- viii. describe in which way and where the project promotion activities (e.g. presentations, road shows, online Questions and Answers sessions etc.) will take place, the expected audience coverage, the number of such activities and locations;
- ix. provide information on the advertising that will be used to promote the project and the frequency of the advertising;
- x. adaptability of all proposed activities to COVID-19 related restrictions;
- xi. the list and description of planned online activities: information must include the number of online activities, the purpose of each activity, the number of beneficiaries covered by each activity, results, venue (platform);
- xii. detailed description of each online training. It is necessary to add a preliminary training program, including timing, skills the beneficiaries will gain after the training, who will conduct the training, the trainer's CVs (if identified at the preparation stage), training tools, possible involvement of external experts;
- xiii. expected results after the online activities and the scope of their application, how and why the implemented project will affect the economic sustainability of vulnerable groups.

4. Beneficiaries. The applicant must provide information on the targeted vulnerable population, the estimated number of beneficiaries and describe them by gender and age.

5. Monitoring (Results and Benchmarks): The applicant should define, to the maximum extent possible at the application stage, results (outputs and outcomes) and benchmarks for monitoring the performance towards attainment of program 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 grant implementation (with breakdown according to the vulnerability criteria);
- ii. Percentage of female participants who will get access to productive economic resources (assets, credit, income, or employment) as a result of the grant implementation;
- iii. If grant activities are aimed at MSME beneficiaries: an estimated total amount of new investments which will be secured by MSME participating in grant activities (if possible, to project);
- iv. If grant activities are aimed at MSME beneficiaries: anticipated average monthly USD sales of MSME beneficiaries after a grant completion (if possible, to project);

- 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 individuals participating in activities organized by the applicant that led to their new or better employment. Note that current and prospective employees of applicant NGOs are not counted.
- vi. Number of people trained (e.g. 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 project, or its benefits will continue after grant funding ends.

7. Stakeholders. The applicant must describe the organizations / institutions / groups of people who may be involved in the project, their level of interest in the project, and whether they are interested in its implementation.

8. Schedule and timeline of project activities. The applicant must make up a project workplan using the template provided in Annex 3.

9. Personnel. The applicant should specify the applicant’s primary staff member/s that will be assigned to this project, hereinafter referred to as Key Personnel. Please describe their scope of work and level of involvement in the project, for example, for the Project Manager, or Project Coordinator. 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 and in accordance with the evaluation factors found herein. DAI will evaluate the CVs to determine the individual’s knowledge, skills and abilities in the areas listed herein.

10. Past Performance: If applicant had an experience of implementation of similar projects, please provide supporting information or materials about these interventions. Applicants may include descriptions of previous projects or other similar activities. These references should include three (3) clients/partners/donors’ names and telephone numbers who will serve as references.

11. Budget: All proposals must include a complete budget; see Annex 3 for more details.

12. 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. However, attachments should be limited to 5 pages each.

C. Preparation Instructions – Financial and Administrative Documentation

1. **Completed Budget.** The budget template is included as a separate MS Excel file. All budget lines must be clearly linked to specific project activities. See attached Annex 3 for the budget form. Supporting information shall be provided, as necessary, in sufficient detail to allow a complete analysis of the cost of each line item.
2. **Completed Financial Capability Questionnaire**, which includes:
 - a. Incorporation Papers or Certificate of Registration and Statute
 - b. Organizational chart
 - 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. Depending on size, type, and complexity of the grant, the following may also specifically be requested at this stage:
 - a. Accounting policy
 - b. Operations policies (Human Resources, Inventory, etc.)
 - c. Procurement policies.
5. 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 the type of funding, value, client, etc.)
6. Data Universal Numbering System (DUNS):
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 consider 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 for the economic development of vulnerable groups, through online activities adapted to the quarantine restrictions, and to increase the capacity of the NGO (not more than 20 percent of the budget can be used for capacity building activities). The funds may be used, but not limited to, salaries of NGO's employees directly engaged in the implementation of the project, purchase of new equipment and materials, and the use of experts / consultants / trainers to develop and conduct online activities.

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.

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.

Reporting Procedures: A description of reporting requirements will be included in the Grant Agreements. Reporting forms will be provided to grant recipients. Types of reporting will include the following:

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

Project Monitoring: ERA staff will monitor projects in terms of programmatic aspects and environmental compliance, where applicable. Grant recipients will be expected to facilitate monitoring by making relevant information available to ERA staff and collect evidence for the achieved results by themselves. This may include but not be limited to: beneficiaries data collections via face-to-face interviews, online surveys or surveys via printed forms, key informant interviews with direct and indirect beneficiaries, monitoring visits, collection of additional information, etc.

Restrictions: Unallowable costs are further described in Subpart E-Cost Principles in 2 CFR 200 for non-profit organizations and FAR 31.2 "Cost principles for Commercial Organizations". All costs must be reasonable, allocable, and allowable. ERA grant funds cannot be used for 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. Procure 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: www.usaid.gov/policy/ads/300/320.pdf.

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

A review panel will convene within 30 working days of the application submission deadline. 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 the 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 in conducting projects of a similar nature which includes:

- 1.1. The total period of existence of the NGO and the number of implemented projects (or other similar activities) since its foundation;
- 1.2. General experience of working with donor organizations and evaluation of its experience.
- 1.3. Past experience of working with such vulnerable groups in the Donetsk and / or Luhansk Oblasts and the cities of Berdiansk, Melitopol and Henichesk as women aged 55+ / men aged 60+, ATO / JFO veterans, women / single headed household women, people with disabilities, parents of families with many children and/or children with disabilities, people living within the 5-kilometer and 5-20-kilometer buffer zones along the contact line. Or implementation of projects that were aimed at overcoming the problems of the above-mentioned vulnerable groups;
- 1.4. Total number of beneficiaries covered by previous projects;
- 1.5. Available staff and volunteers of the NGO, their capacity and experience in implementing projects aimed at overcoming economic problems of vulnerable groups;
- 1.6. A list of contact names and their telephone numbers for requesting recommendations.

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

2. Project justification and design

This criterion includes:

- 2.1. Correspondence of the target group of project's beneficiaries with the target groups defined by this RFA (additional points will be given to organizations whose activities are aimed at improving the economic opportunities of the project's priority target groups, namely women over 55 / men over 60, ATO / JFO veterans, women / single headed household women, people with disabilities);
- 2.2. The relevance of the proposed approach and its compliance with specific economic problems vulnerable groups are encountering;
- 2.3. Logic of presentation and detailed description of the proposed approach;
- 2.4. Possibilities of implementing the proposed approach in the online format and its effectiveness.

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

3. Potential impact on workforce market accessibility for grant's beneficiaries:

- 3.1. Is the project likely to improve beneficiaries' practical skills and as a result their employability?
- 3.2. Links to local workforce market (clarification of demand and skills)
- 3.3. Is there a cooperation with local industry which allows additional practical opportunities for the vulnerable groups to apply the acquired skills?

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

4. Cost-effectiveness

- 4.1. Are the budgeted costs reasonable in terms of the expected results?
- 4.2. Demonstration that the applicant's needs (specified in the grant budget) are in line with the proposed approach and are aimed at improving economic opportunities and strengthening the economic resilience of vulnerable populations;

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

5. Potential for sustainability

- 5.1. Are the grant activities or its benefits likely to continue after grant funding ends?
- 5.2. Will implementation of the project lead to the establishment of new links between existing businesses / businesses and grant beneficiaries, creating more opportunities for potential employment?

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

<p>DAI and USAID reserve the right to fund any or none of the applications received</p>
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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 of the project.

Section D – Project description

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

The project should not exceed 12 months from the date of the grant agreement signing.

1. Project objectives

The overall objective of the project is to strengthen the economic resilience of vulnerable populations in eastern Ukraine, namely: women over the age of 55 / men over the age of 60, ATO / JFO veterans, women / single headed household woman, people with disabilities, parents of families with many children and/or with children with disabilities, individuals, living within the 5-kilometer and 5-20-kilometer buffer zones along the contact line by improving their professional and personal skills and competencies, as well as increasing their economic capacity. This, in turn, will contribute to their involvement in the economic life of the community, which will have a positive impact on the development of the community and the region as a whole, as well as to the reduction of discrimination in the society.

Achievement of the main objective of this RFA is seen through the provision of grant support to NGOs, activities of which are aimed at improving the socio-economic capabilities of vulnerable populations in the target region. Taking into account the possibility of including in the grant budget expenditures aimed at strengthening the capacity of the applicants themselves, the project also aims to promote the development of the potential of NGOs operating in the region of eastern Ukraine.

The specific objectives are summarized as follows:

- Development of personal capacity and technical skills of representatives of vulnerable populations in eastern Ukraine to improve their economic situation;
- Institutional support and organizational capacity building of NGOs, the beneficiaries of which represent vulnerable population groups. Under this RFA, ERA uses the following terms:

Organizational capacity building is the process of strengthening internal organizational structures, systems and processes, management, leadership, governance and overall staff capacity to enhance organizational, team and individual performance.

Capacity building is an on-going evidence-driven process to improve the ability of an individual, team, organization, network, sector or community to create measurable and sustainable results.

Capacity is the ability or power of an organization to apply its skills, assets and resources to achieve its goals.

- Promoting more inclusive economic development of vulnerable population through their more active involvement in the economic life of local communities and the region as a whole.

2. Project tasks

The following main tasks, which contribute to the achievement of the above-mentioned objectives, will be performed together with the NGOs which will be selected under this RFA:

Task 1. Identify the main problems and difficulties faced by vulnerable populations in the economic sphere and suggest possible ways to solve them (for example - to identify skills that need improvement).

1.1. Analyze the main problems and obstacles in realizing their economic potential, which the target groups face.

1.2. Identify possible approaches to resolve these problems and find measures to strengthen the economic resilience of the selected vulnerable populations.

1.3. Develop the project plan and identify the necessary resources to implement such activities.

Task 2. Strengthen the institutional capacity of NGOs, whose activities target the vulnerable population in the region of eastern Ukraine.

2.1. Assess the existing institutional capacity of the selected NGOs, as well as identify the existing gaps that can be resolved under this RFA.

2.2. Identify the necessary resources and develop the specific measures aimed at strengthening the capacity of the NGOs and apply these measures to the further interventions.

2.3. Adapt the future activities of the selected NGOs, considering the measures undertaken to strengthen their institutional capacity.

Task 3. Selected NGOs carry out the necessary project activities aimed at solving certain socio-economic problems that will contribute to the realization of the economic potential of the selected vulnerable populations and their more active involvement in the economic life of the region.

3.1. Implement the necessary preparatory measures required for the implementation of activities under the proposed project.

3.2. Carry out planned online activities, aimed at strengthening their economic resilience, in accordance with their workplans.

3.3. Analyze and evaluate the implemented activities, their impact on the target audience, effectiveness and practical relevance.

3. Performance 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 project implementation (with breakdown according to the vulnerability criteria);
 - ii. Percentage of female participants who will get access to productive economic resources (assets, credit, income, or employment) as a result of the grant implementation;
 - iii. If grant activities are aimed at MSME beneficiaries: an estimated total amount of new investments which will be secured by MSME participating in grant activities (if possible to project);
 - iv. If grant activities are aimed at MSME beneficiaries: anticipated average monthly USD sales of MSME beneficiaries after a grant completion (if possible, to project);
 - 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 individuals participating in any kind of activities organized by the applicant that led to their new or better employment. Note that current and prospective employees of applicant NGOs are not counted.
 - vi. Number of people trained (e.g. 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 NGO in accordance with the statutory documents (*also please include acronyms, if any*)
2. Establishment date
3. Contact information

Full name of a contact person, position	
Mobile Telephone of a contact person	
E-mail	
Applicant's official address	
Applicant's mailing address	
Website (or link to a Facebook page, Instagram)	

4. Type of a legal entity (registration form)
5. Date of registration of the legal entity
6. Target groups that the NGO works with (*select from the list below*)

1	Non-educated youth (youth with incomplete secondary and secondary education)		9	IDPs	
2	Youth from NGCA of the Donetsk and Luhansk oblasts enrolled to or graduated from the educational institutions located at GCA of target regions		10	People with disabilities	
3	Parents of families with many children and/or children with disabilities		11	LGBTQI	
4	Ethnic minorities		12	Women 55+	
5	Women		13	Men 60+	
6	Single headed household women		14	Persons living within 5 km buffer zones along the contact line	
7	Unemployed		15	Persons living within 5-20 km buffer zones along the conflict line	
8	ATO/JFO veterans		16	Other:	

7. The goal of creating the NGO and its main types of activities per the statute.
8. Is the NGO currently involved in the implementation of the any other parallel projects? *If so, please indicate the project implementation dates, project objectives and the budget, donor and number of beneficiaries covered.*
9. Has the NGO submitted grant applications to the international donor organizations for the last two months? *If so, please indicate the donor, the amount and the stage of consideration of the application.*
10. Information about NGO's employees

	Women	Men
Officially employed		
Unofficially employed		
Volunteers		

11. Are there any developed procurement procedures that the NGO uses in its work? If so, provide copies in the attachment.

12. Brief information about the premises where the NGO is located (own / rented, square, preferably with a photo)

II. PROJECT INFORMATION

1. Title of proposed project
2. Project duration
3. Location
4. Other donors
5. Budget summary

Amount requested from USAID ERA, UAH	
Other donors or third-party resources, UAH	
Total estimated cost, UAH	

6. Type of costs required to implement the grant (internal employees and short-term consultants, equipment and materials, travel, transportation, and allowances, general/operational costs, activity costs)

III. THE APPLICATION STRUCTURE AND REQUIRED INFORMATION

1. Problem statement (What is the socio-economic problem to be solved? Why is this problem important?).
2. Project goal.
3. Project objectives.
4. Grant expected results (both short- and long-term, quantitative (outputs), qualitative (outcomes)
5. Grant anticipated impact on target community or region (if any).
6. A detailed description of the activities (issues to be addressed in this section listed below) should be provided in the appropriate line:

6.1. activities proposed by the applicant with the total number of beneficiaries covered:
6.2. what skills are planned to be improved through the proposed activities or what economic impact the project will have on vulnerable populations:
6.3. whether the applicant has any material resources to carry out the proposed activities:
6.4. the reason you think your project will be relevant the beneficiaries who represent the vulnerable groups:

6.5. provide a description of the project participants selection mechanism, indicating the location, selection criteria and who will be given preference during the selection process:
6.6. describe in which way and where the project promotion activities (e.g. presentations, road shows, online Q&A session etc.) will take place, the expected audience coverage, the number of such activities and locations;
6.7. provide information on the advertising materials that will be used to promote the project and the frequency of the advertising:
6.8. whether information about the project will be announced on social media sites (if yes - on which), in the media (if yes - in which), approximate number of publications:
6.9. adaptability of all proposed activities to COVID-19 related restrictions:
6.10. the list and description of planned online activities: information must include the number of online activities, the purpose of each activity, the number of beneficiaries covered by each activity, results, venue (platform):
6.11. detailed description of each online training. It is necessary to add a preliminary training program, including timing, skills the beneficiaries will gain after the training, who will conduct the training, the trainer's CV (if identified at the preparation stage), training tools, possible involvement of external experts:
6.12. expected results after the online activities and the scope of their application, how and why the implemented project will affect the economic sustainability of vulnerable groups.

7. Beneficiaries

7.1. How many people will directly benefit from your project? What is the benefit for this group of beneficiaries? Please describe who these beneficiaries will be (e.g. age, gender, and other commonalities).
7.2. Who will be the indirect beneficiaries of your grant? How many people will indirectly benefit from your project? What is the benefit for this group of beneficiaries?
7.3. If applicable, describe whether the proposed activity will engage women over 55 years of age / men over 60 years of age, ATO / JFO veterans, women / single headed household women, people with disabilities,

parents of families with many children and/or children with disabilities, persons living within 5 kilometer and 5-20-kilometer buffer zones along the contact line:

8. Monitoring and evaluation

8.1. Activity outputs: please describe short-term quantitative results expected from the implementation of the proposed program (activity), for example, how many people will receive training, what skills and knowledge they will receive, what business / production processes will be restored or created, to what extent it is planned to increase the level of income of beneficiaries, etc.:

8.2. Activity outcomes: Please describe the long-term qualitative results or changes anticipated as the result of the program (activity) that measure the effectiveness and overall success of the grant. What evidence will you use to prove that the outcomes are achieved?

8.3. What improvements will take place as a result of the project? How will you know that the project has been successfully implemented? What criteria will you use to measure the achievements of the project? How will you measure these criteria? (Please include the tools you will use to monitor project activities and evaluate project results)

8.4. Please provide your numerical projections as to the following indicators for the period starting from project implementation.

Indicator Name	Indicator Number
Number of individual beneficiaries from vulnerable and hard-to-reach populations in the Donetsk and Luhansk Oblasts and in the cities of Berdiansk, Melitopol and Henichesk who will benefit from the project.	
Percentage of female participants in USG-assisted programs designed to increase access to productive economic resources (assets, credit, income, or employment).	
If grant activities are aimed at MSME beneficiaries: an estimated total amount of new investments which will be secured by MSME participating in grant activities (if possible, to project).	
If grant activities are aimed at MSME beneficiaries: anticipated average monthly USD sales of MSME beneficiaries after a grant completion (if possible, to project).	
Number of individuals with new or better employment as a result of USAID assistance*.	
Number of people trained during project implementation.	
Number of beneficiaries utilizing new practices, techniques, or business management skills as a result of project assistance**.	

* - 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.)

** - number of people who report they utilize learned skills in their daily work or life

9. Sustainability. Describe how the activities in your project will be sustained after funding ends.

10. Stakeholders. Describe which local or state level organizations are interested in the project implementation and why.

11. Project activity schedule and timeline (work plan) (Based on the activities listed in section III.4 above, please fill in the work plan using the template provided in Annex 2).

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 5)

<u>No</u>	<u>NAME & SURNAME</u>	<u>POSITION AND ROLE IN THE PROJECT</u>	<u>DESCRIPTION</u>	<u>RELEVANT EXPERIENCE</u>
<u>1</u>				
<u>2</u>				
<u>3</u>				
<u>4</u>				
<u>5</u>				
<u>6</u>				
<u>7</u>				
<u>8</u>				

V. APPLICANT CAPABILITY AND PAST PERFORMANCE

Previously implemented donor funded projects in the Donetsk and Luhansk Oblasts and the cities of Berdiansk, Melitopol and Henichesk. Information should be presented according to the scheme: donor, project implementation dates, number of beneficiaries covered, project goal, brief description of the project, budget, achieved results. No more than three pages.

If applicable, provide contact information of three (3) representatives of donor or other organizations with which your organization has worked or is working.

VI. PROJECT BUDGET

Please provide a detailed budget narrative describing all budgeted costs, using the template provided in Annex 3: Budget.

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.

<u>Name and surname:</u>	
<u>Position:</u>	

<u>Signature & stamp:</u>	
<u>Date:</u>	

Annex 2: 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

Annex 3: Budget

Please provide a detailed budget for the entire project implementation period using the template provided. The budget template is included as a separate Excel File. Explanations to the budget should be provided in a free Word format. The project budget as an attachment should detail all direct costs associated with the implementation and completion of activities/interventions. Each budget category and budget subcategory should be described in detail, including the proposed number of units, the cost and the justification for the budgeted cost, and the rationale for this budget item. The applicant may need to provide relevant documentation to justify the indicated costs and spending efficacy. 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:

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

Please note that it is not necessary to fill in all budget categories. Budget costs should meet the needs of your project.

Budget Narrative

Please indicate all costs in the same order as in the budget!

I. Labor/Salaries.

A. Internal Employees:

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

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

B. Short-term consultants. Person's name. Percentage of involvement. Type of contract (private entrepreneur, individual, etc.). Description of responsibilities. Salary rate. Justification of the salary rate.

II. Materials/equipment. Specify all materials and equipment expected to be purchased, including type, unit cost, number of units and add a link to a website that has this unit for sale. It is important to understand the necessity of this equipment in achieving the project objectives.

III. Travel, Transportation, and Allowances. Detailed list of trips on the project, as well as a description and justification of costs (transportation, accommodation, per diems, etc.).

IV. General/ Operational Costs may include the cost of stationery, stationary equipment, communication costs, % of office / premises rent, etc. Detailed information and justification of costs.

V. Activity/Intervention Costs. Detailed information and justification of costs.

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

1. Indirect Costs: Indirect costs may be included in the budget. The applicant should support the proposed indirect cost rate, if any, with a letter from a cognizant U.S. Government audit agency (i.e. its current Negotiated Indirect Cost Rate Agreement) or with sufficient information for DAI to determine the reasonableness of the rates. For the latter, DAI would need:
 - a. copies of the applicant's financial reports for the previous 3-year period, which have been audited by a certified public accountant or other auditor satisfactory to USAID;
 - b. projected budget, cash flow and organizational chart; and
 - c. a copy of the organization's accounting manual.

Alliance Opportunities: DAI encourages, where appropriate and possible given the subject matter, the creation of alliances. An "alliance," in this sense, is a formal agreement between two or more parties created to jointly define and address a development problem. Alliance partners combine resources, risks and rewards in pursuit of common objectives. Alliance partners make financial and/or in-kind contributions to increase the impact and sustainability of development efforts. Their support may take many forms. Mechanisms for collaboration include parallel financing (with common objectives, clear understanding of roles and separate funding tracks) or pooled resources (with agreed upon and legally binding governance structures and common funding tracks).

Supporting Documentation:

1. Teaming: If the applicant is a consortium, the Cost application must include documents reflecting the legal relationship between the parties. The document/s should include a full discussion of the relationship between the applicants including identity of the applicant which USAID will treat for purposes of Agreement administration, identity of the Applicant which will have accounting responsibility, how Agreement effort will be allocated, and the express agreement of the principals thereto to be held jointly and individually liable for the acts or omissions of the other. If no consortium is involved, the Cost Application should include a complete discussion, if applicable, of the relationship between the Applicant and its partner organizations, how work under the program will be allocated, how work will be organized and managed, and provide copies of any agreements between the partner organizations. In all cases of teaming, the cost information provided in part 2.b of this subsection should indicate the amounts committed to each member of the team. The Budget notes should discuss which team member is bearing a particular cost where appropriate to justify and explain the cost in question.
2. 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 4: CV Form

Key personnel

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 5. Financial Capability Questionnaire

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 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:

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:

8. The person responsible for approving financial transactions is: _____ Title: _____

9. 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:

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

Yes: No:

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

Yes: No:

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

Yes: No:

If yes, how long are such records kept? _____

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

Yes: No:

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

Yes: No:

15. 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.

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

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

Yes:

No:

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

6. Are your financial reports prepared on a:

Cash basis: Accrual basis:

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

Yes:

No:

8. 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:

9. 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:

CHECKLIST AND SIGNATURE PAGE

DAI 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.

Optional:

- 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 6: List of documents required for financial and legal inspection

Along with the project application, applicants must submit the following documents for passing the financial and legal inspection in order to receive grant support.

1. Registration documents:
 - State registration certificate;
 - Minutes of the general meeting;
 - Extract from the United State Register of Legal Entities, Individual Entrepreneurs and Public Organizations;
 - Decision of the State Fiscal Service of Ukraine on the sign of non-profitability;
 - Information from the United State Register of Enterprises and Organizations of Ukraine (State Statistics Service of Ukraine)
2. Information on cooperation with donor organizations and description of previous projects (grant history)
3. Contacts of three people for reference
4. Charter and description of the mission
5. Organizational structure (Organogram)

Annex 7: Application Checklist

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

- The application is submitted in electronic format (Annex 1)
- The workplan is included (Annex 2)
- Budget and Budget Notes are included (Annex 3)
- The CV forms are included (Annex 4)
- The statement of liability is signed and stamped (last page of application form – Annex 1)
- Completed Financial Capability Questionnaire (Annex 5)
- 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 a 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 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

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 Л. 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 відповідає 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 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

manner pursuant to an agreement with the authority responsible for collecting the tax liability.

не були сплачені вчасно згідно з договором з організацією, що відповідальна за збір податків

Applicant

Заявник

Name of Organization:

Назва організації:

Name and Title of Authorized Representative:

Ім'я та посада уповноваженого Представника:

Signature:

Підпис:

Date:

Дата:

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

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

(a) Definitions.

(a) Визначення.

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

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

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

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

«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.

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

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

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

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

(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 представнику Федерального відомства чи органу, уповноваженому отримувати таку інформацію.

(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

(c) Заборона, передбачена пунктом (b) цього положення, не суперечить вимогам, що застосовуються до Стандартної форми 312 (Угода про нерозголошення конфіденційної інформації),

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).

Applicant

Name of Organization:

Name and Title of Authorized Representative:

Signature:

Date:

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).

Заявник

Назва організації:

Ім'я та посада уповноваженого Представника:

Підпис:

Дата: