



# USAID | UKRAINE

FROM THE AMERICAN PEOPLE

**Issuance Date:** June 19, 2008  
**Deadline for Questions:** July 7, 2008, 05:00PM Kyiv, Ukraine local time  
**Closing Date and Time:** August 4, 2008, 05:00PM Kyiv, Ukraine local time

**Subject:** Request for Applications (RFA) Number USAID-Ukraine-121-08-005-RFA  
**Title:** Strengthening Civil Society in Ukraine (SCSU)

The United States Agency for International Development (USAID), is seeking applications (proposals for funding) from U.S. or non-U.S. non-profit or for-profit nongovernmental organizations (NGOs), and other qualified non-USG organizations to implement the Strengthening Civil Society program in Ukraine (SCSU). Please refer to the Program Description (RFA section C) for a complete statement of goals and expected results. The authority for this RFA is found in the Foreign Assistance Act of 1961, as amended.

Subject to the availability of funds, USAID plans to provide a maximum of \$10,000,000 to be allocated over a five-year period. USAID intends to award a single cooperative agreement as a result of this solicitation. Cost sharing is required at 5%.

Pursuant to 22 CFR 226.81, it is USAID policy not to award profit under assistance instruments. However, all reasonable, allocable, and allowable expenses, both direct and indirect, which are related to the program and are in accordance with applicable cost standards (22 CFR 226, plus OMB Circular A-122 for non-profit organizations, OMB Circular A-21 for universities, and the Federal Acquisition Regulation Part 31 for for-profit organizations), may be paid under the award. USAID/Ukraine 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:

1. Section A - Application Format;
2. Section B - Selection Criteria;
3. Section C - Program Description;
4. Section D - Certifications, Assurances, and Other Statements of Applicant/Recipient; and
5. Section E - Annexes (List of Analytical Resources)

To be eligible for award, the applicant must provide all required information in its application, including the requirements found in any attachments to this [www.grants.gov](http://www.grants.gov) opportunity. Any future amendments to this RFA can be downloaded from [www.grants.gov](http://www.grants.gov). It is the responsibility of the recipient of the application document to ensure that it has been received from [www.grants.gov](http://www.grants.gov) in its entirety.

If you decide to submit an application, it must be received by the closing date and time indicated at the top of this cover letter at the place designated for receipt of applications. See RFA Section A.I.b regarding late applications. Applicants should take account of the expected delivery time required by the application transmission methods, and are responsible to ensure that proposals are received at USAID in Kyiv by the due date and time specified above.

Applicants shall confirm with the undersigned that their submissions were successfully received by the required due date and time. Applicants are requested to submit the technical and cost portions of their applications in separate volumes so that they may be reviewed separately. Applicants should retain for their records one copy of all enclosures which accompany their application.

Award will be made to that responsible applicant(s) whose application(s) best meets the requirements of this RFA and the selection criteria contained herein. Issuance of this RFA does not constitute an award commitment on the part of USAID, nor does it commit USAID to pay for costs incurred in the preparation and submission of an application. Further, USAID reserves the right to reject any or all applications received. In addition, final award of any resultant cooperative agreement cannot be made until funds have been fully appropriated, allocated, and committed through internal USAID procedures. While it is anticipated that these procedures will be successfully completed, potential applicants are hereby notified of these requirements and conditions for award. Applications are submitted at the risk of the applicant, and all preparation and submission costs are at the applicant's expense.

In the event of any inconsistency between the sections comprising this RFA, it shall be resolved by the following order of precedence:

- (a) Section B - Selection Criteria;
- (b) Section A - Grant Application Format;
- (c) Section C - The Program Description; and
- (d) This Cover Letter.

Applicants shall upload applications to [www.grants.gov](http://www.grants.gov) and shall also submit hard copies.

**1. Hard copy submission:** Applications and modifications thereof shall be submitted in envelopes with the name and address of the applicant and the RFA number (referenced above) inscribed thereon, to:

(By U.S. Mail)

Marina Orlova, Acquisition and Assistance Specialist  
USAID/RCO  
Dept. of State  
5850 Kiev Place  
Washington, D.C. 20521-5850

(By All Other Means of Delivery)

Marina Orlova, Acquisition and Assistance Specialist  
U.S. Agency for International Development  
19 Nizhny Val Street  
04071 Kyiv  
Ukraine

**2. Electronic submission through [www.grants.gov](http://www.grants.gov):** Complete Application packages shall be submitted electronically through [www.grants.gov](http://www.grants.gov). Applications shall be submitted in two separate parts: (a) technical and (b) cost or business application. Both the technical and cost portions of the application shall have a cover page which includes the point of contact for the organization, including name, title, address, phone and fax numbers and e-mail address. An electronic copy must be in **MS Word** format in

Font size 11 with 1" margins on top, bottom, left and right. Budget spreadsheets **must** be in **Excel** format, signed pages in Word or PDF format.

**Faxed applications** are not acceptable.

Any questions concerning this RFA should be submitted in writing to the Acquisition and Assistance Specialist Ms. Marina Orlova, via email at [morlova@usaid.gov](mailto:morlova@usaid.gov). The deadline for submitting questions is July 7, 2008, 5 p.m. Kyiv time.

Thank you for your interest in USAID programs.

Sincerely,

A handwritten signature in black ink, appearing to read 'K. Kolstrom', written in a cursive style.

Karin Kolstrom  
Regional Agreement Officer  
USAID Regional Mission for Ukraine,  
Moldova and Belarus

<b>TABLE OF CONTENTS</b>	<b>Page</b>
<b>SECTION A – APPLICATION FORMAT .....</b>	<b>5</b>
I. PREPARATION AND SUBMISSION GUIDELINES .....	5
II. TECHNICAL APPLICATION FORMAT .....	6
III. COST APPLICATION FORMAT .....	10
IV. COOPERATIVE AGREEMENT AWARD.....	12
V. AUTHORITY TO OBLIGATE THE GOVERNMENT .....	13
VI. APPLICABLE REGULATIONS & REFERENCES .....	13
<b>SECTION B – SELECTION CRITERIA .....</b>	<b>14</b>
<b>SECTION C – PROGRAM DESCRIPTION .....</b>	<b>16</b>
<b>SECTION D.....</b>	<b>32</b>
PART I - CERTIFICATIONS AND ASSURANCES.....	32
PART II - OTHER STATEMENTS OF RECIPIENT.....	37
<b>SECTION E - ANNEXES.....</b>	<b>40</b>
LIST OF ANALYTICAL RESOURCES .....	40
ENVIRONMENTAL COMPLIANCE FACESHEET (ATTACHED) .....	41

## SECTION A - APPLICATION FORMAT

### I. PREPARATION AND SUBMISSION GUIDELINES

a. All applications received by the deadline will be reviewed for responsiveness and programmatic merit in accordance with the guidelines herein. Section B addresses the evaluation procedures for the applications. Applications shall be submitted in two separate parts: (a) technical, and (b) cost or business application. In addition to electronic submission via [www.grants.gov](http://www.grants.gov), an original and two (2) hard copies of the technical application and an original and two (2) hard copies of the cost application shall be submitted as described in the cover letter of this RFA. Both the technical and cost portions of the application shall have a cover page which includes the point of contact for the organization, including name, title, address, phone and fax numbers and e-mail address.

b. Applications which are received late or are incomplete run the risk of not being considered in the review process. Such late or incomplete applications will be considered in USAID's sole discretion depending on the status of USAID's application review process as of the time of receipt and/or the quality of other applications received.

c. Applications should be prepared according to the structural format set forth below. Technical applications should be specific, complete and presented concisely. A lengthy application does not in and of itself constitute a well thought out proposal. Applications shall demonstrate the applicant's capabilities and expertise with respect to achieving the goals of this program. Applications should take into account the evaluation criteria found in Section B.

d. To facilitate the competitive review of the applications, applications should conform to the format prescribed below.

#### e. Preparation of Applications

1. Applicants are expected to review, understand, and comply with all aspects of this RFA. Failure to do so will be at the applicant's risk.
2. Each applicant shall furnish the information required by this RFA. On the hard copies of applications, the applicant shall sign the application and certifications and print or type its name on the cover page of the technical and cost applications. Erasures or other changes must be initialed by the person signing the application. Applications signed by an agent shall be accompanied by evidence of that agent's authority, unless that evidence has been previously furnished to the issuing office.
3. Applicants which include data that they do not want disclosed to the public for any purpose or used by the U.S. Government except for evaluation purposes should:

(i) Mark the title page with the following legend:

"This application includes data that shall not be disclosed outside the U.S. Government and shall not be duplicated, used, or disclosed - in whole or in part - for any purpose

other than to evaluate this application. If, however, a grant is awarded to this applicant as a result of - or in connection with - the submission of this data, the U.S. Government shall have the right to duplicate, use, or disclose the data to the extent provided in the resulting grant. This restriction does not limit the U.S. Government's right to use information contained in this data if it is obtained from another source without restriction. The data subject to this restriction are contained in pages\_\_\_\_"; and

(ii) Mark each sheet of data it wishes to restrict with the following legend:

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

Applicants shall acknowledge receipt of any amendment to this RFA by signing and returning the amendment. The Government must receive the acknowledgement by the time specified for receipt of applications.

#### Explanation to Prospective Applicants

Any prospective applicant desiring an explanation or interpretation of this RFA must request it in writing not later than July 7, 2008 to allow a reply to reach all prospective applicants before the submission of their applications. Oral explanations or instructions given before award of an Agreement will not be binding. Any information given to a prospective applicant concerning this RFA will be furnished promptly to all other prospective applicants as an amendment of this RFA, if that information is necessary in submitting applications or if the lack of it would be prejudicial to any other prospective applicants.

## **II. TECHNICAL APPLICATION FORMAT**

The technical application will be the most important item of consideration in selection for award of the proposed cooperative agreement. Therefore, it should be specific, complete and concise. The technical application should be divided into nine sections as presented below and separated by tabs, and should not exceed 40 pages in length, exclusive of resumes, past performance references and other appendices. Elaborate art work, expensive paper and bindings, and expensive visual and other presentation aids are neither necessary nor wanted.

- a. Technical Approach
- b. Gender Statement
- c. Implementation Plan
- d. Staffing Plan
- e. Performance Monitoring and Evaluation Plan (PMEP)
- f. Institutional Capability
- g. Past Performance References
- h. Branding Strategy and Marking Plan
- i. Environmental Compliance
- j. Annexes

a. Technical Approach

The technical approach must set forth in detail the conceptual approach, methodology and techniques for the accomplishment of the stated objectives, taking into consideration the special considerations stated in this RFA. The rationale for the appropriateness of the suggested approach in Ukraine should be provided. The technical approach must clearly demonstrate the application of innovative tools and lessons learned from other programs. It must also clearly demonstrate plans to build Ukrainian capacity, e.g. local NGOs and organizations, to implement activities.

b. Gender Statement

It is important to note that USAID is committed to gender equality. The application should outline the most significant gender issues related to civil society in Ukraine by reflecting on the following questions: (i) are men and women involved or affected differently by the context or work to be undertaken? (ii) If so, how will this difference be addressed during program implementation?

c. Implementation Plan

Applicants shall submit a draft implementation plan for the entire period of performance which should clearly outline links between the proposed results, conceptual approach, performance milestones, and a realistic timeline for achieving the semi-annual, annual, and end-of-program results. The implementation plan serves several purposes including a guide to program implementation, a demonstration of links between activities, strategic objectives and intended results, a basis for budget estimates and the foundation for the monitoring and evaluation plan.

The implementation plan, at a minimum, shall include:

- Brief situation analysis in the context of what other donors and implementing partners and host-country governments are contributing;
- Life-of-program results;
- Milestones (or benchmarks) toward achieving those results over the duration of the program;
- Partner involvement and contributions to achieving the results;
- Timeline.

d. Staffing Plan

Applicants must submit a detailed Staffing Plan for USAID's review. Staffing Plans must, as a minimum, address the following:

- Placement of the program team within the larger organization(s); Program organizational charts with linkages to the key staff's parent organization are recommended.
- Identification of key personnel and long-term staff, including their technical and managerial roles and responsibilities and qualifications and abilities of proposed key personnel relevant to successful implementation of the proposed technical approach. Note: only the Chief of Party and Deputy Chief of Party will be designated as Key Personnel under the resulting award.
- A clear chain of authority on the project/program team, including subawardee staff;

- A clear line of communication and reporting which allows for early identification and proposed resolution of problems by the prime awardee and provision of related information to USAID;
- A clear, regular, and concrete means of communication between program staff in the field and their backstop officers in the headquarters office that functions without creating unnecessary overlap;
- A clear, regular, and concrete means of communication between the prime recipient and its subawardees which ensures a cohesive working relationship and achievement of results;
- A use of both international and Ukrainian expertise, with attention to gender balance, and the development of indigenous Ukrainian capacity.
- The method of identifying sub awardees, and the tasks/functions they will be performing. Applicants shall state whether or not they have existing relationships with these other organizations and the nature of the relationship (e.g., subgrantee, subcontractor, partnership. etc) and shall discuss the technical resources and expertise of proposed subcontract/subrecipient organizations.
- A regular means of informal communication with the Cognizant Technical Officer (CTO), in addition to the required programmatic and financial reporting.

e. Performance Monitoring and Evaluation Plan (PMEP)

The application shall contain an illustrative Performance Monitoring and Evaluation Plan (PMEP) for the indicators proposed in Section IV. B. Objectives and Expected Results of the Program Description (several indicators are listed). Applicants are encouraged to propose other indicators which will assist in managing project performance. The PMEP shall contain project objectives and results, performance indicators, data sources and collection methods, baseline information or a timeline for collecting it, targets, and names of responsible individuals. Performance indicators should comply with the following criteria: direct, objective, practical, adequate, and useful in managing for results. PMEP data should be based on fiscal year calendar.

The PMEP will have the following suggested structure:

- List of key project objectives, expected results and project outputs (output is a count of services delivered or items produced) as well as brief description of the linkages between the project outputs and its expected results.
- Definition and detailed description of the performance indicators to be tracked including: unit of measure and disaggregation by gender, as appropriate and feasible; justification/management utility; annual baselines/targets; schedule for data collection; individual responsibility for data collection and availability of data at USAID; and, detailed plans for data analysis, review and reporting.

f. Institutional Capability

Applicants must provide evidence of their technical and managerial resources and expertise (or their ability to obtain such) in program management, grants management and training, as well as their experience in managing similar programs in the past. Information in this section should include (but is not limited to) the following:

- Brief description of organizational history/expertise;
- Past experience and examples of accomplishments in developing and implementing similar programs;
- Relevant experience with proposed approaches;
- Institutional strength as represented by breadth and depth of experienced personnel in project relevant disciplines/areas;
- Sub-awardee or subcontractor capabilities and expertise; and
- Financial controls.

g. Past Performance References

Applicants must describe all contracts, grants and cooperative agreements which the organization, both the primary applicant as well as any substantive sub-grantees, has implemented involving similar or related programs over the past three years. Please include the following: name and address of the organization for which the work was performed; current telephone number and e-mail address of responsible representative of the organization for which the work was performed; contract/grant name and number (if any), and beginning and ending dates; brief description of the project/assistance activity.

h. Branding Strategy and Marking Plan

USAID's framework legislation, the Foreign Assistance Act of 1961, as amended, section 641, requires that all programs under the Foreign Assistance Act be identified appropriately overseas as "American Aid." Applicants are required to submit a branding strategy and marking plan. Agency branding and marking guidance can be found at <http://www.usaid.gov/branding/> and at <http://www.usaid.gov/policy/ads/300/320.pdf>.

i. Environmental Compliance

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. Applicant's environmental compliance obligations under these regulations and procedures are specified in the following paragraphs of this RFA.

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

3) No activity funded under this award will be implemented unless an environmental threshold determination, as defined by 22 CFR 216, has been reached for that activity, as documented in a Request for Categorical Exclusion (RCE), Initial Environmental Examination (IEE), or Environmental Assessment (EA) duly signed by the Bureau Environmental Officer (BEO). (Hereinafter, such documents are described as "approved Regulation 216 environmental documentation.")

4) An Initial Environmental Examination (IEE) [Attached. See Section E] has been approved for this program funding this RFA. The IEE covers activities expected to be implemented under this award. USAID has determined that a Negative Determination with conditions applies to one or more of the proposed activities. This indicates that if these activities are implemented subject to the specified conditions, they are expected to have no significant adverse effect on the environment. The Applicant shall be responsible for implementing all IEE conditions pertaining to activities to be funded under this solicitation.

5) As part of its initial Implementation Plan, and all Annual Implementation Plans thereafter, the Recipient, in collaboration with the USAID Cognizant Technical Officer and Mission Environmental Officer or Bureau Environmental Officer, as appropriate, shall review all ongoing and planned activities under this award to determine if they are within the scope of the approved Regulation 216 environmental documentation.

6) If the Recipient plans any new activities outside the scope of the approved Regulation 216 environmental documentation, it shall prepare an amendment to the documentation for USAID review and approval. No such new activities shall be undertaken prior to receiving written USAID approval of environmental documentation amendments.

7) Any ongoing activities found to be outside the scope of the approved Regulation 216 environmental documentation shall be halted until an amendment to the documentation is submitted and written approval is received from USAID.

j. Annexes

In the annex the applicant shall include resumes for all key personnel candidates. Resumes may not exceed three pages in length and shall be in chronological order starting with most recent experience. Each resume shall be accompanied by a SIGNED letter of commitment from each candidate indicating his/her: (a) availability to serve in the stated position, in terms of days after award; (b) intention to serve for a stated term of the service; and (c) agreement to the compensation levels which correspond to the levels set forth in the cost application. As references may be checked for all proposed long-term personnel, a minimum of four references for each proposed long-term person is required. Applicants should provide current phone, fax and email address for each reference contact. Applicants shall also include signed letters of commitment for sub awardees and any partners that will have significant role in the implementation of the proposed project.

### **III. COST APPLICATION FORMAT**

The cost or business application is to be submitted under separate volume from the technical application. Certain documents are required to be submitted by an applicant in order for an Agreement Officer to make a determination of responsibility. However, it is USAID policy not to burden applicants with undue reporting requirements if that information is readily available through other sources. While there is no page limit for this portion, applicants are encouraged to be as concise as possible while providing the necessary detail for USAID to make an informed decision. The following sections describe the documentation that applicants for assistance awards must submit to USAID prior to award.

a. Budget

The budget should include an accompanying budget narrative which provides in detail the total costs for implementation of the program your organization is proposing. The budget should be submitted using Standard Forms 424, 424A and 424B which can be downloaded from the USAID web site at: [http://www.grants.gov/agencies/aapproved\\_standard\\_forms.jsp#1](http://www.grants.gov/agencies/aapproved_standard_forms.jsp#1), and accompanied by a spreadsheet showing the components of each element of cost, and a narrative providing support for the proposed costs. At a minimum the budget and supporting documentation should include:

- The breakdown of all costs according to each partner organization (or sub-awardee) involved in the program, in the format described herein.
- The costs associated with home office, expatriate, and local in-country labor, ie identification of positions, daily or hourly compensation, hours/days to be worked, etc.
- A breakdown of all other direct costs to include cost elements (communications, office supplies, equipment, vehicles, office rent, subcontracting, etc.), unit of measure (monthly estimate, cost per unit), number of units, basis of the estimate and programmatic need for the expenditure. [Note: the authorized geographic code for procurement of goods and services under this award will be 000 and 110 – see Section C.VIII. Title of property shall vest in the recipient.]
- Details of travel, per diem and other transportation expenses to include number of international trips, expected itineraries, cost of travel, number of per diem days and per diem rates.
- Indication of the amount of funds to be set aside for small grants to Ukrainian organizations (if applicable).
- Support for any indirect costs and fringe benefits charged by the prime and all sub partners.
- Support for proposed cost sharing contributions, documented in accordance with 22 CFR 226.23.
- Applicants will be expected to cost-share a minimum of 5% of the program's cost.

b. Other Required Documents

In addition to the requirements for the budget described above, the business or cost application submission should also include the following:

- A current Negotiated Indirect Cost Rate Agreement (NICRA).
- Any required certifications and representations (as attached).
- Certificate of Compliance: Please submit a copy of your Certificate of Compliance if your organization's systems have been certified by USAID/Washington's Office of Acquisition and Assistance.

Applicants who have never received a grant, cooperative agreement or contract from the U.S. Government shall also submit the following information:

- 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;
- A projected annual budget, annual cash flow projection and organizational chart;
- A copy of the organization's accounting manual.

Applicants should also submit any additional evidence of responsibility deemed necessary for the Agreement Officer to make a determination of responsibility. The information submitted should substantiate that the Applicant:

- Has adequate financial resources or the ability to obtain such resources as required during the performance of the award;
- Has the ability to comply with the award conditions, taking into account all existing and currently prospective commitments of the applicant, nongovernmental and governmental;
- Has a satisfactory record of performance. Past relevant unsatisfactory performance is ordinarily sufficient to justify a finding of non-responsibility, unless there is clear evidence of subsequent satisfactory performance;
- Has a satisfactory record of integrity and business ethics; and
- Is otherwise qualified and eligible to receive a grant under applicable laws and regulations (e.g., EEO).

#### **IV. COOPERATIVE AGREEMENT AWARD**

The Government may award the resulting cooperative agreement on the basis of initial applications received, without discussions or negotiations. Therefore, each initial application should contain the applicant's best terms from a cost and technical standpoint. As part of its evaluation process, however, USAID may elect to discuss technical, cost or other pre-award issues with one or more applicants. Alternatively, USAID may proceed with award selection based on its evaluation of initial applications received and/or commence negotiations solely with one applicant.

A written award mailed or otherwise furnished to the successful applicant(s) within the time for acceptance specified either in the application(s) or in this RFA (whichever is later) shall result in a binding cooperative agreement without further action by either party. Before the application's specified expiration time, if any, the Government may accept an application, whether or not there are negotiations after its receipt, unless a written notice of withdrawal is received before award. Negotiations or discussions conducted after receipt of an application do not constitute a rejection or counteroffer by the Government. Neither financial data submitted with an application nor representations concerning facilities or financing, will form a part of the resulting cooperative agreement unless explicitly stated otherwise in the agreement.

To be eligible for award of a cooperative agreement, in addition to other conditions of this RFA, organizations must have a politically neutral humanitarian mandate, a commitment to non-discrimination with respect to beneficiaries and adherence to equal opportunity employment practices. Non-discrimination includes equal treatment without regard to race, religion, ethnicity, gender, age, and political affiliation.

Applicants are 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 recipient to ensure compliance with these Executive Orders and laws. This provision must be included in all subcontracts/subawards issued under this contract/agreement.

## **V. AUTHORITY TO OBLIGATE THE GOVERNMENT**

The Agreement Officer is the only individual who may legally commit the Government to the expenditure of public funds. No costs chargeable to the proposed agreement may be incurred before receipt of either a fully executed Agreement or a specific written authorization from the Agreement Officer.

## **VI. APPLICABLE REGULATIONS & REFERENCES**

Mandatory Standard Provisions for U.S., Nongovernmental Recipients

<http://www.usaid.gov/pubs/ads/300/303maa.pdf>

22 CFR 226 ([http://www.access.gpo.gov/nara/cfr/waisidx\\_02/22cfr226\\_02.html](http://www.access.gpo.gov/nara/cfr/waisidx_02/22cfr226_02.html))

OMB Circular A-122

OMB Circular A-110

Federal Grants and Cooperative Agreement Act

ADS Series 300 Acquisition and Assistance (<http://www.usaid.gov/pubs/ads/>)

AAPD 02-10 ([http://www.usaid.gov/procurement\\_bus\\_opp/procurement/cib/](http://www.usaid.gov/procurement_bus_opp/procurement/cib/))

## SECTION B - SELECTION CRITERIA

The criteria presented below have been tailored to the requirements of this RFA. The Applicant should note that these criteria serve to identify the significant issues that Applicants should address in their applications, and to set standards against which all applications will be evaluated.

Applications will be evaluated in accordance with the evaluation criteria set forth below:

- Technical merits of the applications;
- Cost effectiveness and cost realism of the application;
- Past performance of the applicant.

### I. TECHNICAL EVALUATION CRITERIA

#### Technical Approach (50 points)

- A. Extent to which the proposed approach is well-conceived, clear, detailed, technically sound and ambitious, yet feasible in achieving all the objectives and special considerations identified in this RFA, demonstrating the applicant's understanding of the objectives and the democratization issues facing Ukraine;
- B. Extent to which the applicant demonstrates knowledge and understanding of the issues and problems faced by Ukrainian civil society organizations (CSOs) and the appropriateness of the suggested approach(es) to the Ukrainian context in accomplishing program objectives;
- C. Extent to which innovative approaches and lessons learned from programs elsewhere are identified and effectively included in the proposed approach;
- D. Extent to which gender and gender issues are meaningfully identified and addressed, including plans to ensure attention to such issues during implementation of the award;
- E. Extent to which the proposal demonstrates a clear plan for an effective rapid launch of project activities; and,
- F. Extent of clarity, appropriateness and soundness of an illustrative Performance Monitoring and Evaluation Plan (PMEP) for identification of expected intermediate and final results of the program, including suggested indicators of program impact and a plan for collecting base-line and follow-on actual data.

#### Project Team (30 points)

- A. Experience and performance of the key personnel in managing complex civil society programs, particularly in transitional countries; their experience in building and effectively supervising a diverse team of employees; their expertise in political analysis, democratization, and democracy programming at large; demonstrated effective interpersonal skills, creative problem-solving and

ethical management; and prior experience in working with USAID and/or other international donors in Ukraine, CEE and NIS; and

- B. Appropriateness of the composition and organizational structure of the project team (including home office support). That is, the extent to which the proposal provides a clear, sound and appropriate staffing pattern with responsibilities among different staff positions adequately delineated.

**Institutional Capacity and Past Performance (20 points)**

- A. Demonstrated organizational knowledge, capability and past performance of the applicant in managing similar civil society programs;
- B. Demonstrated organizational knowledge, capability and past performance of the proposed implementing partners (i.e. proposed sub-grantees and sub-contractors) in successfully managing similar programs;
- C. Demonstrated organizational knowledge, capability and past performance of the applicant in successfully supporting personnel in complex field operations; and
- D. Demonstrated organizational knowledge, capability and past performance of the applicant in quickly yet effectively staffing a project and launching program activities.

USAID reserves the right to obtain past performance information from other sources beyond those named in the application

**Total (Technical Evaluation Criteria)**

**100 Points**

**II. COST EVALUATION**

Cost has not been assigned a score but will be evaluated for cost reasonableness, allocability, allowability, cost effectiveness and realism, adequacy of budget detail and financial feasibility and cost sharing. While cost may be a determining factor in the final award(s) decision, especially between closely ranked applicants, the technical merit of applications is substantially more important under this RFA. The percentage of funds spent on programming versus administrative costs will be taken into consideration, i.e. the cost of staff salaries, equipment, and facilities vs. costs of field activities and interventions that directly impact the target beneficiaries.

The minimum requested cost sharing for this award is 5%. Applicants that do not meet this requirement will not be considered for this award.

## **SECTION C – PROGRAM DESCRIPTION**

### **I. EXECUTIVE SUMMARY**

USAID/Ukraine will provide up to \$10 million, subject to availability of funds, for the five-year *Strengthening Civil Society in Ukraine* (SCSU) program.

A robust and vibrant civil society is an essential element for keeping government honest and accountable, citizens engaged, and reforms on track. The proposed effort is a “next generation” civil society program that will engage local organizations as equal partners in the implementation of all program activities. The primary goal of SCSU will be to strengthen and assist leading pro-reform Ukrainian non-governmental organizations (NGOs) to sustain and consolidate democratic gains. The program will address systemic sector-wide challenges to civil society as well as support NGO monitoring and advocacy initiatives from various spheres of public life which are essential in advancing Ukraine’s reform process.

Compared to previous USAID/Ukraine civil society support programs, SCSU will award relatively fewer, larger grants to a core group of leading NGOs. Recipient organizations may include, in no particular order: (1) NGO legal centers that improve the NGO legal environment and harmonize existing laws with European standards; (2) intermediary support organizations (ISOs) that conduct organizational development and advocacy training for NGOs; (3) local foundations that provide financial resources to NGOs; (4) professional associations that lobby for structural changes from the bottom up; (5) analytical centers and/or think tanks that conduct rigorous policy analysis and propose corresponding policy changes to policy-making bodies; and (6) public information, civic education, and/or watchdog organizations that conduct monitoring, advocacy, and oversight of government and/or the public arena.

### **II. LINK TO USAID’S STRATEGIC FRAMEWORK**

Program Objective: 2.0 – Governing Justly and Democratically (GJD)

Program Area: 2.4 – Civil Society

Program Element: 2.4.1 – Civic Participation

A key United States Government (USG) foreign assistance priority in Ukraine is to strengthen sustainable and accountable democratic institutions to support Ukraine’s Euro-Atlantic integration. While it is conceivable that the Government of Ukraine (GOU) alone will sufficiently drive the country’s reform agenda towards approximation with Euro-Atlantic structures, it is likely that a vibrant and active civil society sector will be a major determinant of the pace and extent of reforms. Therefore, USAID/Ukraine will maintain support to civil society as a central tenet of USG assistance in Ukraine.

### **III. DEVELOPMENT CONTEXT**

#### **A. Overview**

Despite recent significant advances, Ukraine’s democratic development is not yet consolidated. At worst, this means the country remains at risk of backsliding. At best, it means the country is years away

from achieving a level of democratic development that will set it firmly upon an unambiguous path to European integration and that will eliminate dependence on foreign assistance. Even with clear political will at the highest levels for serious economic and democratic reforms, there are significant internal and external factors that could obstruct and derail a reform agenda.

Ukraine's civil society should play a leading role in promoting and facilitating the country's democratic consolidation and European integration, but its potential for doing so is not yet fully realized. Citizens and civic organizations are active and engage government officials, but for a variety of reasons their influence is quite restricted. This limitation on the part of civil society to influence the policy process is a serious development challenge that constrains the third sector's ability to advance the country's reform agenda. Furthermore, civic organizations still rely mostly on international donors, which threatens the long-term institutional sustainability of non-governmental organizations and their work.

### **B. Third Sector Analytical Summary**

The civil society sector in Ukraine has matured significantly since the initial blossoming of independent NGOs under the Gorbachev-era policy of *glasnost*. Some observers credit environmental and public interest NGOs in Ukraine with pushing the boundaries of *glasnost* and paving the way for many civic movements and NGOs in the early 1990s, and when Ukraine declared independence from the USSR in 1991, the number of independent NGOs climbed even further as the concept of citizen participation began to take root. By the mid-1990s, more than 2,000 NGOs had been registered in Ukraine. However, even as civil society organizations (CSOs) became more effective watchdogs and advocates for citizens' interests and overcame multiple organizational challenges, they were confronted with new problems and obstacles to success. Growth and achievements were often overshadowed by public cynicism, financial difficulties, official harassment, and lack of progress on improving the legal enabling environment for NGOs and CSOs.

Nonetheless, today civil society is widely recognized as a significant force in Ukraine. Civic activism during the Orange Revolution marked a turning point in perceptions about the power of ordinary citizens and civic groups. Civil society organizations also have become widely acknowledged as effective advocates for the interests of disadvantaged persons, stewards of the environment, watchdogs for consumers, experts in public policies, and providers of charitable and public services. Despite these remarkable achievements, however, Ukraine's civil society still underperforms significantly when compared to its European counterparts. One reason for this is the increasing public apathy and cynicism that have become commonplace in the wake of the euphoria of the Orange Revolution. Furthermore, the ability of civil society to realize its potential depends not insignificantly on factors outside its control, such as the level of economic development in the country, the willingness of government officials to accept and promote citizen participation in decision-making, and the enduring impact of cultural and historical legacies. In sum: although civil society figures to play a prominent role in the pace and breadth of reforms in Ukraine, civil society actors are not yet fulfilling their potential, and many NGOs continue to rely too heavily on international donors.

## **IV. PROGRAM DESCRIPTION**

Ukraine's civil society has significant potential to drive the country's democratic development course, but focused and highly targeted assistance is still needed to help it do so effectively. While international

assistance programs may have relatively modest ability to halt and reverse widespread public apathy and disillusionment, appropriately targeted aid can help civil society shape the country's policy agenda and help fortify the foundations for the sector's future growth.

The list of civil society assistance needs is long and unlikely to be met by any single donor; requirements also vary by region and issue. Several linked and inter-related priorities emerge from the civil society analysis. First, Ukrainian civil society organizations need support, encouragement, and resources to champion key policy issues and focus policy-makers' attention. Second, in order to be effective in this process, organizations should be expertly managed, competent, and well-run. Third, the legal and regulatory framework for the sector should therefore encourage and motivate civil society organizations to professionalize, innovate, and improve performance. Finally, as Ukraine's economy and philanthropic activity continue to grow and as international assistance declines, support is needed to help civil society build knowledge about and expand its local resource base, as well as to assist local philanthropy to improve linkages to civil society groups.

- A. **Project Purpose:** To help consolidate democratic governance in Ukraine by strengthening and developing a more vibrant civil society and more robust NGOs.

**B. Objectives, Expected Results, and Distribution of Resources by Objectives**

**Objective 1: NGOs better represent citizen interests and drive reform agenda through more effective advocacy, monitoring and activism (50%).**

**Indicators:**

- Ukraine's score on the "advocacy" component of USAID's Europe and Eurasia (E&E) NGO Sustainability Index (NGO SI) improved from 3.0 ("near consolidation") in 2006 to 1.9 ("consolidation") in 2013
- Number of NGO-promoted policy reforms introduced into the legislative agenda
- Number of NGO-promoted policy reforms adopted (at national or local level)

**Objective 2: The relevant legislative framework for civil society approaches European standards (5%).**

**Indicators:**

- Ukraine's score on the "legal environment" component of the E&E NGO Sustainability Index improved from 3.6 ("mid-transition") in 2006 to 2.6 ("consolidation") in 2013
- Number of positive legal modifications made to enabling legislation/regulation of civil society and related third sector topics, such as charitable giving

**Objective 3: NGOs are transparently governed and capably managed (20%).**

**Indicators:**

- Ukraine's score on the "organizational capacity" component of the E&E NGO Sustainability Index improved from 3.7 ("mid-transition") in 2006 to 2.9 ("consolidation") in 2013
- Ukraine's score on the "public image" component of the E&E NGO Sustainability Index improved from 4.0 ("mid-transition") in 2006 to 2.9 ("consolidation") in 2013
- Percentage of partner NGOs that are "international audit-ready"

- Percentage of partner NGOs with well-designed sustainability/business plans
- Percentage of partner NGOs administering sub-grants to other local organizations.

**Objective 4: Civil society organizations are more financially sustainable and less dependent on foreign donors (25%).**

*Indicators:*

- Ukraine's score on the "financial viability" component of the E&E NGO Sustainability Index improved from 4.3 ("mid-transition") in 2006 to 3.5 ("late transition/near consolidation") in 2013
- Percentage of partner NGOs with diversified sources of income
- Number and dollar amount of corporate, private, or Ukrainian government grants received by partner NGOs.

**C. Illustrative Activities**

To address the core challenges to civil society development in Ukraine and to achieve its program objectives, SCSU shall focus on a set of mutually reinforcing activities that will largely be implemented by Ukrainian partner NGOs via sub-awards. Competition is encouraged as a way of awarding sub grants. Grant resources should be distributed equitably. Grant sums will vary depending on the type of project and the size and capacity of the grantee with the maximum annual amount of \$300,000 for one organization. As an element of substantial involvement, the USAID Cognizant Technical Officer (CTO) will approve all sub grants, including those awarded by pass-through organizations, as described under Objective 1.

Applicants should consider the legacy of USAID/Ukraine's substantial investments in the third sector made under previous awards. Many indigenous organizations have benefited from USAID/Ukraine's assistance and have become important civil society actors across a range of issues and functions. As such, it is anticipated that the program will utilize the services of those Ukrainian NGOs that are best equipped to assume a greater role in localized assistance, such as (for illustrative purposes) some of those currently participating in one-year intensive organizational development effort under USAID's Ukraine Citizen Action Project (UCAN). These organizations and others are able to provide comprehensive, sector-wide support and services in such areas as advocacy, organizational strengthening of formative NGOs, sector-wide legislative work, and grant-making.

Applicants should make every effort to incorporate lessons learned from previous USAID and other donor-funded civil society programs. For example, the Millennium Challenge Corporation (MCC) - funded civil society anti-corruption activity has confirmed the need for more training and technical assistance on institutional development, since the organizational capacity of NGOs across the board, especially in regions outside Kyiv and other major urban centers, remains weak.

Illustrative activities, by objective, are listed below.

**Objective 1: NGOs better represent citizen interests and drive reform agenda through more effective advocacy, monitoring and activism (50%).**

A central focus of the new program should be to support Ukrainian NGOs working to promote democratic reforms, either directly (such as through advocacy for specific policy reforms) or indirectly (such as through efforts to help citizens hold government accountable). The SCSU program should therefore include two sub-grants components (at the national and local level) that will support the work of those NGOs actively engaged in policy reform, democracy promotion, human rights, watchdog and monitoring functions, and advocacy.

**1.A.** At the national level, SCSU will likely support NGOs addressing broader democracy and reform issues such as anti-corruption, government accountability, citizen participation, press freedom, and sector-wide reform policies (e.g. in sectors such as land, energy, financial sector, business development, investment promotion, health, administrative/territorial reform and others).

**1.B.** Additionally, another SCSU sub-grants component should offer grants for local level advocacy work. Grant competitions should be held that invite applications from NGOs from all sectors (e.g. environmental, health, business, consumer, etc.) proposing to undertake advocacy work that attempts to influence public policy, protect citizens rights, and/or hold government more accountable at the local level.

Whenever appropriate, Ukrainian grant-making organizations should be utilized to deliver and administer advocacy-support and other types of sub-grants.

**Objective 2: the relevant legislative framework for civil society approaches European standards (5%).**

SCSU should support efforts by NGOs to improve legislation, regulations, and policies that affect the sector. Small and local NGOs still report a need for pro bono legal assistance to defend against legal harassment, to overcome regulatory hurdles, and/or to provide advice on legal restrictions. The new program should offer some legal assistance support, but overall efforts should focus on targeted improvements to the legal environment that will have significant impact as well as a reasonable chance of adoption or amendment by the legislature. This may include activities that support the adoption of or positive modification to:

- Laws pertaining to NGOs and their activities, such as laws on associations;
- Legislation on Philanthropy;
- Tax laws and related legislation pertaining to corporate and individual income taxes, deductions for charitable giving, revenue-generation by non-profits, etc.;
- Legislation on state procurement and law on social services in relation to NGOs;
- Law on access to information by citizens.

In order to move positive modifications forward, SCSU and partners should make every effort to facilitate joint work of NGOs (through effective coalitions), Parliament and government by fostering public debate about key issues and building consensus.

Applicants should note that although the approximate level of funding for this objective is estimated at 5% of total allocation, Objective 2 activities are critical for the overall success of the SCSU program. Appropriate attention to planning for and implementing these activities should be paid.

**Objective 3: NGOs are transparently governed and capably managed (20%).**

Under this program, support to all NGO partners will consist of project-specific as well as capacity-building assistance. Sub-grants for specific projects should be complemented by training and technical assistance on building organizational capacity and long-term institutional development.

The recipient should develop and implement organizational strengthening activities for partner NGOs that shall focus on increasing the sustainability of these organizations. This organizational development effort should be custom tailored both for well-established as well as formative NGOs. Thus the recipient will provide “basic” and “advanced” institutional strengthening programs.

Applicant proposals shall detail a strategy and a plan to achieve the tasks specified above as well as the high-level program objective of transparently governed and capably managed NGOs.

The recipient will assess and prioritize institutional capacity strengthening needs of both more developed and nascent civil society groups. Applicants may use capacity-assessment tools presented in USAID’s paper entitled “*Recent Practices in Monitoring and Evaluation Tip. Measuring Institutional Capacity*,” which can be found at:

[http://dec.usaid.gov/index.cfm?p=search.getSqlResults&CFID=89906&CFTOKEN=56710520&p\\_searchtype=detailed&q\\_titleSx=Recent%20practices%20in%20monitoring%20and%20evaluation%20TIPS](http://dec.usaid.gov/index.cfm?p=search.getSqlResults&CFID=89906&CFTOKEN=56710520&p_searchtype=detailed&q_titleSx=Recent%20practices%20in%20monitoring%20and%20evaluation%20TIPS)

**3.A. Basic Capacity Development Program** shall include, but is not limited to the following components:

**Administrative Support and Functions**

- Administrative procedure and managements systems
- Financial management (budgeting, including pricing of services and indirect costs; accounting; fundraising)
- Human resource management (staff recruitment, placement, support)
- Management of other resources (information, equipment, infrastructure)

**Technical/Program Functions**

- Service delivery system
- Program planning
- Program monitoring and evaluation
- Use and management of technical knowledge and skills

**Structure and Culture**

- Organizational identity and culture
- Vision and purpose
- Leadership capacity and style
- Organizational values
- Governance approach
- External relations

**Resources**

- Human
- Financial
- Other

**3.B. Advanced Capacity Development Program/Creation of National Leaders**

In Ukraine, at the national level, a relatively small number of NGOs continue to be leaders in affecting public policy. Unfortunately, many of these NGOs rely almost entirely on the work of one or two key staff members and are lacking in terms of strategic planning, public outreach and public image, fundraising, and/or staff development. The recipient shall identify these key policy, analytical, watchdog, and advocacy NGOs among its partner organizations and will provide targeted advanced technical assistance and training on organizational development so that by the end of the program, they demonstrate capability in several key institutional development areas, including:

- Democratic management structures and practices;
- Institutionalized strategic planning and program development;
- Financial and program accountability, including compliance with international audit requirements;
- Capacity to fundraise, including mobilizing public and private resources;
- Developed membership base with membership services, where appropriate;
- Capacity to serve as a mentor/leader to other NGOs working in the same area;
- Ability to lead cooperation among NGOs working in the same area;
- Capacity to provide services and administer grants to other local organizations, as appropriate;
- Effective public relations skills; and
- Capacity to influence policy through effective advocacy and lobbying techniques.

As part of the program, the implementing partner will ensure that many of these NGOs are “international audit-ready,” which may increase opportunities to receive direct funding from the USG and EU, and other international donors.

Each organization is to have a Sustainability/Business Plan which will include:

- Identified market niche for future services (non-profit or profit, as appropriate);
- Plan for attracting potential clients;
- Plan for diversification of funding sources; and
- Strategic plan for long-term organizational development.

The implementing partner will provide most of this support through Ukrainian NGO(s), when appropriate, for the purpose of cost-savings, maximizing the use of local expertise, and advancing the USAID/Ukraine strategy of enhanced localization in assistance delivery.

Resources permitting, the recipient may provide organizational development training to NGOs not receiving sub-grants from SCSU, which would be beneficial for the sector in general.

**Objective 4: Civil society organizations are more financially sustainable and less dependent on foreign donors (25%).**

Financial sustainability remains perhaps the biggest obstacle facing the sector, and certain types of NGOs are more likely than others to continue to depend on donors. SCSU should address financial sustainability through several types of activities (listed below) while simultaneously working with national level NGOs to advocate for new laws pertaining to these concepts, whose passage will make it easier for NGOs to diversify funding sources.

- *Public-private partnerships.* In recognition of the many changes in today's development assistance environment, and in the context of USAID's new Global Development Alliance (GDA), USAID strongly encourages the formation of public-private alliances in the implementation of this program (more information on GDAs is in Section F below).
- *Training for businesses and government.* Many corporations, businessmen, and local governments are increasingly eager to donate to NGOs, but the process is typically opaque, uncompetitive, and ineffective. This program should undertake activities to rectify these problems while also attempting to increase corporate and government grant-making.
- *Corporate matching grants in Ukraine.* Depending on demand, need, and involvement of other donors, SCSU should play a role in the further development of corporate social responsibility (CSR), social entrepreneurship, community foundations, local government grants, membership dues, etc., in Ukraine.
- *Training for NGOs.* Basic training for NGOs on financial management and fundraising was *de rigueur* in most donor programs for years. Despite its definite need since many new NGOs continue to be established and older NGOs have had high staff turnover, especially after 2004, limited and insufficient financial management and fundraising training assistance is offered to Ukrainian NGOs. It is anticipated, however, that such training for NGOs will be implemented mainly under Objective 3 as part of the overall organizational strengthening effort.

**D. Programmatic Approaches**

The level of civil society development throughout Ukraine varies and is influenced by an assortment of factors, including historical legacies, level of economic development, agendas of local political leaders, and other socio-economic and cultural attributes. This program should assess at the outset regional differences in civil society development and the underlying reasons for them, and thereafter propose for USAID's approval ways in which the program might focus its activities as a result.

Applicants are encouraged to discuss how their program approach and assistance delivery will evolve over the life of the five-year program, consistent with the overall goals and objectives of the program.

Because there are few outlets for young people to get involved in public policy and activism, and because pundits claim that cynicism and apathy have increased over the past two years, SCSU should

include a focus on youth. The program should devise innovative ways to provide more avenues for youth participation in civic, democratic, and economic processes.

### **E. Collaboration**

Since this program will support NGO advocacy initiatives from various spheres of public life (economic, health, agriculture, energy, etc), collaboration with all Mission projects is strongly encouraged, including those in the non-democracy and governance sector portfolio (e.g. economic growth, health etc). A list of USAID/Ukraine-supported projects, partners and other donor activities can be found under the program and links sections respectively of the Mission's website: <http://ukraine.usaid.gov>

The selected recipient will be expected to be familiar with the entire USAID portfolio to identify complementarities, synergies and possibilities for collaboration. The most obvious linkages will be with the media strengthening program. In some cases, the advocacy objectives of media NGOs will overlap with general civil society objectives, (e.g., improving citizen access to information), so coordination will obviously be needed. Efforts to overcome misunderstandings between the two sectors and to raise media and public awareness of NGO activities will be very important. Other programs that SCSU should take advantage of include (but not limited to) the following:

- The USAID/Ukraine local governance programs, including efforts to increase levels of citizen participation and engagement with local officials;
- The USAID/Ukraine anti-corruption programs and elements of the USAID/Ukraine rule of law program dealing with administrative law reform, especially given the role of administrative courts as the nexus for resolving disputes between citizens and government; and
- The USAID/Ukraine Parliamentary Development Program (PDP) to spur civil society participation in the legislative drafting process, as well as to monitor legislation implementation.

Furthermore, the recipient should be knowledgeable about and collaborate with other relevant international and local donors, such as: the US Embassy Democracy Commission, American Chamber of Commerce, European Union, Council of Europe, OSCE, the Dutch Embassy, Canadian CIDA, Swedish SIDA, Westminster Foundation, the UN Global Fund, W/NIS Enterprise Fund, Black Sea Trust, Mott Foundation, Bill and Melinda Gates Foundation, International Renaissance Foundation (IRF), Pinchuk Foundation, Foundation for the Development of Ukraine and others.

Coordination with the US Embassy/Democracy Commission should be strengthened. The Democracy Commission can provide additional project resources to the recipient's partner NGOs, thus allowing for more USAID's funds to be used for organizational development. Also, the implementing partner may want to explore mutually beneficial arrangements with the new EU donor countries (such as Poland, Hungary, Latvia etc) that are new to Ukraine yet offer unique contributions due to their proximity and similar historical legacies. Finally, given the large number of donors working in this area, the implementing partner may need to initiate regular (e.g., bi/monthly) donor coordination meetings.

### **F. Mandatory Factors**

Gender – USAID’s commitment to advance gender equality and pursue gender as a key development issue should be fully reflected in this program. In developing its program, USAID/Ukraine seeks to ensure that gender considerations are incorporated into all aspects of its planned program. Gender considerations should be integrated into the project activities, ensuring that men and women both benefit from USAID support and that gender awareness is a build-in component of the project activities. After the award is made, the implementer and USAID will also determine an appropriate minimum percentage for participation of women in the project activities.

USAID recognizes that although women’s participation in the third sector tends to be high, this does not necessarily reflect the role of women in society at large. Furthermore, despite women’s high participation in the civil society activities, they are often underrepresented in the leadership of NGOs. A review of USAID-funded UCAN project data indicates that 61% of participants in UCAN conferences and trainings were women, 50% of all participants competitively selected for international fellowships to the Advocacy and Leadership Center in Washington, DC were also women. At the same time, leadership of NGOs supported by UCAN shows that approximately 40% of organizations were led by women, with a higher percentage (46%) for Kyiv city-based organizations and lower (33%) for organizations outside of the capital.

The partner shall place considerable focus on the integration of gender considerations throughout the entire project implementation, ensuring that men and women are equally supported through USAID-funded activities and that gender awareness and gender dynamics are taken into consideration in all project activities. The program shall ensure that 1) women and men have the same opportunities and are treated identically and without discrimination; 2) resources are fairly distributed, taking into account the different needs of women and men; 3) the wide-ranging societal, political and economic effects of differences in gender roles is taken into account. The partner shall determine an appropriate percentage for participation of women and men at all project levels.

Applicants should ensure that the monitoring and performance management system of the project acknowledge the impact of gender relations on project results and the impact of program activities on gender relations. The social impact of this project should be assessed through appropriate performance indicators. Data collected for project performance indicators must be disaggregated by gender as appropriate and feasible.

Applicants should demonstrate their prior experience in working with different gender groups and bringing such groups together to reach consensus; applicants’ technical capacity to address gender issues; and the ability to develop innovative approaches to implement the project including gender.

USAID will evaluate the appropriateness of the applicants’ proposed activities, staff and budget with regard to gender integration. The areas or aspects of the project in which gender is relevant shall be clearly indicated, and the applications should specifically show how gender issues will be addressed; how results will be determined taking gender into account; and what resources will be provided to do this.

Anti-Corruption – USAID’s Anti-Corruption Strategy, dated June 2005, emphasizes that “fighting the scourge of corruption is fundamental to advancing US foreign policy interests.” This Strategy charges Missions with incorporating anti-corruption goals into all programs. Consequently, the implementing partner should identify and incorporate appropriate anti-corruption elements in its proposal.

Global Development Alliance (GDA) – In recognition of the many changes in today’s development assistance environment, USAID strongly encourages the formation of public-private alliances in the implementation of this program, as appropriate. Partnerships leverage resources, encourage broad participation and ownership, and improve the probabilities for sustainability. More information at [http://www.usaid.gov/our\\_work/global\\_partnerships/gda/index.html](http://www.usaid.gov/our_work/global_partnerships/gda/index.html)

Official US Government assistance now accounts for only a minority share of the flow of resources from the US to developing and transitional countries. Foundations, private companies, non-governmental organizations and other entities have become increasingly active in financing development efforts in former CIS countries and elsewhere, and they are often looking for synergies with other similar programs. Promoting public-private alliances is both an Agency and a USAID/Ukraine-specific priority.

Partners are encouraged to think innovatively and creatively about ways to draw forth significant non-federal resources, be they in cash or in kind, in order to more fully address the development challenges outlined in this statement of work, and to incorporate commitments to such resources in proposals to USAID. One criteria used to define a public-private alliance is a minimum of one-to-one leveraging of USAID’s resources with additional non-federal resources. While it is not possible to apply this standard to all activities, it is preferable whenever possible.

Public-private alliances are expected to bring together a coalition of organizations and individuals who will jointly define a problem, situation and solution, thereby capitalizing on the combined knowledge, skills and expertise of all partners. There are many opportunities for innovative partnering with a wide range of groups not normally brought into the world of development assistance (e.g. volunteer groups, international NGOs, high-net worth individuals, private or family foundations, multinationals, local organizations and businesses etc). Areas of particular interest may include, but are not limited to, alliances which support capacity building, experiential learning, technical exchanges and/or internships. They may also address the professional, academic and business community in their interactions with the third sector.

## **V. PROGRAM REPORTING**

The Recipient will provide the following reports to the USAID Cognizant Technical Officer (CTO) and the Agreement Officer, as specified below, in accordance with 22 CFR 226.51 and 226.52.

### **a. Initial Implementation Plan**

Within 60 days of the signing of Cooperative Agreement, the Recipient will present an annual implementation plan to the USAID/Kyiv CTO for review and approval (two hard copies and an electronic copy). The CTO must provide written comments on the draft plan within 30 days of receipt and when the plan is finalized, the CTO will provide written approval.

The implementation plan should include a list of the tasks to be completed during the year, grouped under the objective that they seek to support. For each task, the awardee should 1) explain in brief its connection to the objective; 2) define the necessary steps to complete the tasks; 3) assign responsibilities for completing those steps; 4) provide any quantitative or qualitative targets (e.g. number of grants to be

awarded, number of NGOs to be trained); and 5) a timeline for the implementation of the task. The plan should indicate the legal/regulatory issues that the awardee will target for that year.

The initial implementation plan must include the recipient's proposed **Performance Monitoring and Evaluation Plan (PMEP)**, which must establish specific impact indicators, targets, progress benchmarks for the life of the award, and the date by which all baseline data will be established. All people-level indicators must be dis-aggregated by gender.

60 days after the award is made, the recipient will submit the Final PMEP to USAID together with the Annual Implementation Plan. The recipient and USAID will agree upon the final choice of performance indicators useful for timely management decisions and credibly reflecting the actual performance of the project. Recipient should explain how the PMEP will be implemented. PMEP data should meet reasonable quality criteria of validity, reliability, timeliness, precision and integrity, and disaggregated by gender whenever possible. In designing the PMEP, the recipient should also weigh human and financial resources necessary to implement it.

The PMEP is subject to final approval by USAID and is separate from the regular financial and other reports required by the standard contract provisions.

USAID reserves the right to propose the recipient to integrate into the PMEP a number of indicators to help USAID measure the immediate program results. PMEP should include standard indicators from the Foreign Assistance Framework (FAF), Objective Governing Justly and Democratically (GJD – 2), Program Area Civil Society (2.4), Program Element Civic Participation (2.4.1). The recipient shall set up annual targets, collect actual data and report on the following FAF standard indicators based on fiscal year calendar:

- Number of CSOs using USG assistance to improve organizational capacity;
- Number of USG assisted CSOs that engage in advocacy and watchdog functions;
- Number of CSO advocacy campaigns supported by USG;
- Number of policies that have been influenced by CSOs;
- Number of positive modifications to enabling legislation/regulation for civil society accomplished with USG assistance.

All information collected for the PMEP shall be compiled and submitted to USAID with the SCSU annual and final reports. Annual reports shall be due by the end of the fiscal year – by September 30 of each year. Additionally, the progress in meeting the expected program results will be monitored through semi-annual reports and Implementation Plans. The recipient will also be expected to gather data for USAID's annual NGO Sustainability Index for Europe and Eurasia.

At the mid-point of this activity, USAID will organize and carry out an independent evaluation of this project. The evaluation may be formative, summative, or impact-based. It is expected that the implementing partner(s) will cooperate fully with USAID and the evaluation team to ensure that the evaluation accurately reflects program processes, results, outcomes, and/or impacts.

#### **b. Annual Implementation Plans**

Annual implementation plans for subsequent years are due to the CTO 60 days before the end of the preceding award year (two hard copies and an electronic copy). Annual implementation plans should

include all the sections as the initial implementation plan discussed above. In addition, the subsequent annual Implementation Plans shall review the activities of the year that is ending, the activities that were implemented, the results achieved, and problems that existed and how they were resolved. These subsequent annual plans shall propose program adjustments to reflect any lessons learned. As with the first annual plan, the CTO will review the plan and provide comments and recommendations for changes no later than 30 days after receipt of the draft. The recipient shall incorporate CTO comments and recommendations into the final version of Implementation Plan and submit two hard copies and one diskette copy for CTO written approval within 15 days. In addition, all substantial changes in Implementation Plan require prior written approval of the CTO.

**c. Monthly Activity Schedule**

USAID also expects the awardee to submit (electronically) to the CTO by the 25<sup>th</sup> calendar day of each month, a calendar of planned events for the upcoming month. USAID will post events on the Mission's website, as appropriate, and use the monthly calendar to plan site visits in a timely manner.

**d. Quarterly Financial Reports**

Pursuant to 22 CFR 226.52, USAID intends to require quarterly financial reporting [unless the conditions described in 22 CFR 226.52(iv) exist]. The financial reporting forms to be used by the recipient will be specified in the award.

**e. Semi-annual Performance Reports**

Pursuant to 22 CFR 226.51, the Recipient shall submit semi-annual performance reports (two hard copies and an electronic copy) to the CTO. These reports must summarize the outcomes of the Recipient's activities during the particular reporting period, document any program accomplishments or progress towards results during the reporting period, compare those results to the planned tasks in the Implementation Plan and Performance Monitoring and Evaluation Plan, and discuss any potential constraints that might prevent the Recipient from meeting agreed upon targets and benchmarks. Reports should also contain, as an attachment, a list of all subgrants issued under the award during the reporting period. The list should contain the name and contact information for each subgrantee, the title and duration of the project, the amount of the award, and a brief description of the project.

The second semi-annual report of each award year will provide USAID *annual* data on the agreed upon performance indicators as well as any additional qualitative results information the awardee would like to include to demonstrate the results achieved vis-à-vis the project's objectives during that particular reporting period. The second semi-annual reports shall be due by the end of the fiscal year – by September 30 of each year.

**f. Final Report**

Pursuant to 22 CFR 226.51(b), a final performance report (two hard copies and one electronic) will be required under this award. USAID will review and comment within 30 days of receipt. The final performance report will:

- Contain an overall description of the activities under the Program during the period of this Cooperative Agreement, and the significance of these activities;
- Describe the methods of assistance used and the pros and cons of these methods;
- Present life-of-project results towards achieving the project objectives and the performance indicators, as well as an analysis of how the indicators illustrate the project's impact on the development of civil society in Ukraine;
- Summarize the program's accomplishments related to the strengthening the development of civil society in Ukraine, as well as any unmet targets and the reasons for them;
- Elaborate the issues and problems that emerged during program implementation and the lessons learned in dealing with them; and
- Provide comments and recommendations regarding unfinished work and/or future needs and directions for further strengthening civil society in Ukraine as well as recommendations for what issues no longer require donor assistance.

## **VI. KEY PERSONNEL**

Key personnel are those considered to be essential to the work being performed under this cooperative agreement. Key personnel and changes to key personnel are subject to approval by the USAID CTO prior to their employment under this award. USAID has determined that key personnel positions under this award will include:

Chief of Party  
Deputy Chief of Party

The Chief of Party will provide leadership, vision and direction for the implementation of all program components - training, technical assistance, grant-giving - and ensure that all proposed program objectives and targets are achieved. Will manage and develop local staff, including all long and short-term domestic/ international trainers, consultants and subcontractors. Will provide training and technical assistance in discrete topics related to the civil society development. Will develop and monitor program implementation plans, performance monitoring plans and all required reports. Will provide briefings and analysis to USAID on sectoral issues. Will maintain effective relations and coordination with other donors, local and international partners. Will collaborate with implementing partners to coordinate efforts and share results. Will serve as primary liaison with USAID and Ukrainian counterparts.

The Deputy Chief of Party will assist the Chief of Party in managing and monitoring all program components - training, technical assistance, and grant-giving. Will provide management oversight of all local staff and assist in managing office operations. Will support the Chief of Party in overseeing the quality, cost effectiveness, and timeliness of performance of all work to ensure that the project is meeting proposed objectives and targets. Will collaborate with implementing partners to coordinate efforts and share results. Will represent the program to USAID and other constituents, as needed.

Candidates must be well organized, able to work independently, skilled at handling multiple tasks, diplomatic, and able to adhere to deadlines. Specific qualifications include: English-language fluency; specific experience working in civil society development or related fields, particularly in an international context; successful management of or experience working on donor-funded technical assistance projects

for civil society development, with preference for USG funded donor experience; demonstrated understanding of the political and economic situation in Ukraine; excellent interpersonal skills and the ability to work on a multi-national team; experience living and/or working in Ukraine a plus; and Master's degree or equivalent work experience.

At least one and preferably both of the proposed Key Personnel should possess a sufficiently high level of linguistic, cultural and professional understanding in order to optimize program efficiency and accomplishments.

## **VII. SUBSTANTIAL INVOLVEMENT**

USAID/Ukraine considers collaboration with the awardee crucial for the successful implementation of this program. Substantial involvement under the proposed award shall include the following:

- a) Approval of the initial and annual implementation plans, including the Performance Monitoring and Evaluation Plan. Any significant changes to the approved work-plan or the performance monitoring plan will require additional approval by the CTO;
- b) Approval of key personnel; and
- c) Approval of sub grants including extensions and sub-grants awarded by pass-through organizations.

## **VIII. ADDITIONAL CONSIDERATIONS**

In responding to this RFA, potential applicants should bear in mind the following considerations:

### **a. Need for Coordination and Substantive Collaboration**

As this project will likely involve cross-cutting issues and multidisciplinary partners, coordination and team work are of paramount importance. Issues to be considered include: collaboration among local and international partners; what relationships in terms of delegation of authority and accountability does the applicant foresee between its office in Kyiv and partners outside of the capital, how the applicant envisions its role in working with partners (local and international) in planning, developing, implementing, monitoring and evaluating intervention activities; and how the applicant envisions its interrelations with other USAID implementing partners in Ukraine.

### **b. Authorized Geographic Code**

The authorized Geographic Codes for procurement of goods and services under the proposed award are 000 (United States) and 110 (NIS). The countries of Eastern Europe are not included in these Geographic Codes.

As provided for in 22 CFR 228.02, the criteria for source and origin waivers for assistance provided under the FREEDOM Support Act are stated in section 498B(h)(2) of the Foreign Assistance Act of 1961, subject to any further restrictions imposed by agreement or regulation. The basic criteria in section 498B(h)(2) are: (A) the provision of the assistance requires commodities or services of a type that are not produced in and available for purchase in any country specified in the authorized

Geographic Codes; or (B) that procurement in another country is necessary to meet unforeseen circumstances -- such as emergency situations -- where it is important to permit procurement in a country not specified in the authorized Geographic Codes, or to promote efficiency in the use of United States foreign assistance resources, including to avoid impairment of foreign assistance objectives. An additional requirement for waivers of type (A) to countries in Code 935 is that the commodities or services are also of a type that are not produced in and available for purchase in any country specified in Code 941.

c. Third Country Participant Training

A limited blanket waiver signed by the Mission Director is in effect through February 14, 2010 which allows participant training to take place in all countries included in Geographic Code 110 (Newly Independent States) and in all Eastern European countries, specifically: Lithuania, Latvia, Estonia, Poland, the Czech Republic, the Slovak Republic, Croatia, Slovenia, Romania, Albania, Serbia, Bosnia and Herzegovina, Bulgaria, Macedonia, Montenegro and Hungary when a training event meets the three criteria contained in the waiver. Any training not covered by the limited blanket waiver, i.e., training in Western Europe, will require a waiver.

d. Prohibition on Support to Organizations Associated With Terrorism

The Recipient is reminded that U.S. Executive Orders and U.S. law prohibit transactions with, and the provision of resources and support to, individuals and organizations associated with terrorism. It is the legal responsibility of the Recipient to ensure compliance with these Executive Orders and laws. This provision must be included in all subcontracts/subawards issued under this agreement.

The names of individuals and entities designated as being associated with terrorism can be found at the web site of the Office of Foreign Assets Control within the Department of Treasury at: <http://treasury.gov/ofac>.

## **SECTION D - CERTIFICATIONS, ASSURANCES OF APPLICANTS**

### **U.S. AGENCY FOR INTERNATIONAL DEVELOPMENT**

#### **CERTIFICATIONS, ASSURANCES, AND OTHER STATEMENTS OF APPLICANTS [1][2]**

[To be submitted as part of an Applicant's cost proposal. To be signed by an authorized agent of the applicant at the end of this Section D.]

#### **PART I - CERTIFICATIONS AND ASSURANCES**

##### **1. ASSURANCE OF COMPLIANCE WITH LAWS AND REGULATIONS GOVERNING NON-DISCRIMINATION IN FEDERALLY ASSISTED PROGRAMS**

(a) The recipient hereby assures that no person in the United States shall, on the bases set forth below, be excluded from participation in, be denied the benefits of, or be otherwise subjected to discrimination under, any program or activity receiving financial assistance from USAID, and that with respect to the grant for which application is being made, it will comply with the requirements of:

(1) Title VI of the Civil Rights Act of 1964 (Pub. L. 88-352, 42 U.S.C. 2000-d), which prohibits discrimination on the basis of race, color or national origin, in programs and activities receiving Federal financial assistance;

(2) Section 504 of the Rehabilitation Act of 1973 (29 U.S.C. 794), which prohibits discrimination on the basis of handicap in programs and activities receiving Federal financial assistance;

(3) The Age Discrimination Act of 1975, as amended (Pub. L. 95-478), which prohibits discrimination based on age in the delivery of services and benefits supported with Federal funds;

(4) Title IX of the Education Amendments of 1972 (20 U.S.C. 1681, et seq.), which prohibits discrimination on the basis of sex in education programs and activities receiving Federal financial assistance (whether or not the programs or activities are offered or sponsored by an educational institution); and

(5) USAID regulations implementing the above nondiscrimination laws, set forth in Chapter II of Title 22 of the Code of Federal Regulations.

(b) If the recipient is an institution of higher education, the Assurances given herein extend to admission practices and to all other practices relating to the treatment of students or clients of the institution, or relating to the opportunity to participate in the provision of services or other benefits to such individuals, and shall be applicable to the entire institution unless the recipient establishes to the satisfaction of the USAID Administrator that the institution's practices in designated parts or

programs of the institution will in no way affect its practices in the program of the institution for which financial assistance is sought, or the beneficiaries of, or participants in, such programs.

(c) This assurance is given in consideration of and for the purpose of obtaining any and all Federal grants, loans, contracts, property, discounts, or other Federal financial assistance extended after the date hereof to the recipient by the Agency, including installment payments after such date on account of applications for Federal financial assistance which were approved before such date. The recipient recognizes and agrees that such Federal financial assistance will be extended in reliance on the representations and agreements made in this Assurance, and that the United States shall have the right to seek judicial enforcement of this Assurance. This Assurance is binding on the recipient, its successors, transferees, and assignees, and the person or persons whose signatures appear below are authorized to sign this Assurance on behalf of the recipient.

## **2. CERTIFICATION REGARDING LOBBYING**

The undersigned certifies, to the best of his or her knowledge and belief, that:

(1) No Federal appropriated funds have been paid or will be paid, by or on behalf of the undersigned, to any person for influencing or attempting to influence an officer or employee of any agency, a Member of Congress, an officer or employee of Congress, or an employee of a Member of Congress in connection with the awarding of any Federal contract, the making of any Federal grant, the making of any Federal loan, the entering into of any cooperative agreement, and the extension, continuation, renewal, amendment or modification of any Federal contract, grant, loan, or cooperative agreement.

(2) If any funds other than Federal appropriated funds have been paid or will be paid to any person for influencing or attempting to influence an officer or employee of any agency, a Member of Congress, an officer or employee of Congress, or an employee of a Member of Congress in connection with this Federal contract, grant, loan, or cooperative agreement, the undersigned shall complete and submit Standard Form-LLL, "Disclosure of Lobbying Activities," in accordance with its instructions.

(3) The undersigned shall require that the language of this certification be included in the award documents for all subawards at all tiers (including subcontracts, subgrants, and contracts under grants, loans, and cooperative agreements) and that all subrecipients shall certify and disclose accordingly.

This certification is a material representation of fact upon which reliance was placed when this transaction was made or entered into. Submission of this certification is a prerequisite for making or entering into this transaction imposed by section 1352, title 31, United States Code. Any person who fails to file the required certification shall be subject to a civil penalty of not less than \$10,000 and not more than \$100,000 for each such failure.

Statement for Loan Guarantees and Loan Insurance

The undersigned states, to the best of his or her knowledge and belief, that: If any funds have been paid or will be paid to any person for influencing or attempting to influence an officer or employee

of any agency, a Member of Congress, an officer or employee of Congress, or an employee of a Member of Congress in connection with this commitment providing for the United States to insure or guarantee a loan, the undersigned shall complete and submit Standard Form-LLL, "Disclosure Form to Report Lobbying," in accordance with its instructions. Submission of this statement is a prerequisite for making or entering into this transaction imposed by section 1352, title 31, U.S. Code. Any person who fails to file the required statement shall be subject to a civil penalty of not less than \$10,000 and not more than \$100,000 for each such failure.

### **3. KEY INDIVIDUAL CERTIFICATION NARCOTICS OFFENSES AND DRUG TRAFFICKING**

I hereby certify that within the last ten years:

1. I have not been convicted of a violation of, or a conspiracy to violate, any law or regulation of the United States or any other country concerning narcotic or psychotropic drugs or other controlled substances.
2. I am not and have not been an illicit trafficker in any such drug or controlled substance.
3. I am not and have not been a knowing assistor, abettor, conspirator, or colluder with others in the illicit trafficking in any such drug or substance.

Signature: \_\_\_\_\_

Date: \_\_\_\_\_

Name: \_\_\_\_\_

Title/Position: \_\_\_\_\_

Organization: \_\_\_\_\_

Address: \_\_\_\_\_

Date of Birth: \_\_\_\_\_

NOTICE:

1. You are required to sign this Certification under the provisions of 22 CFR Part 140, Prohibition on Assistance to Drug Traffickers. These regulations were issued by the Department of State and require that certain key individuals of organizations must sign this Certification.

2. If you make a false Certification you are subject to U.S. criminal prosecution under 18 U.S.C. 1001.

#### 4. CERTIFICATION REGARDING TERRORIST FINANCING

By signing and submitting this application, the prospective recipient provides the certification set out below:

1. The Recipient, to the best of its current knowledge, did not provide, within the previous ten years, and will take all reasonable steps to ensure that it does not and will not knowingly provide, material support or resources to any individual or entity that commits, attempts to commit, advocates, facilitates, or participates in terrorist acts, or has committed, attempted to commit, facilitated, or participated in terrorist acts, as that term is defined in paragraph 3.

2. The following steps may enable the Recipient to comply with its obligations under paragraph 1:

a. Before providing any material support or resources to an individual or entity, the Recipient will verify that the individual or entity does not (i) appear on the master list of Specially Designated Nationals and Blocked Persons, which list is maintained by the U.S. Treasury's Office of Foreign Assets Control (OFAC) and is available online at OFAC's website: <http://www.treas.gov/offices/eotffc/ofac/sdn/t11sdn.pdf>, or (ii) is not included in any supplementary information concerning prohibited individuals or entities that may be provided by USAID to the Recipient.

b. Before providing any material support or resources to an individual or entity, the Recipient also will verify that the individual or entity has not been designated by the United Nations Security (UNSC) sanctions committee established under UNSC Resolution 1267 (1999) (the "1267 Committee") [individuals and entities linked to the Taliban, Usama bin Laden, or the Al Qaida Organization]. To determine whether there has been a published designation of an individual or entity by the 1267 Committee, the Recipient should refer to the consolidated list available online at the Committee's website: <http://www.un.org/Docs/sc/committees/1267/1267ListEng.htm>.

c. Before providing any material support or resources to an individual or entity, the Recipient will consider all information about that individual or entity of which it is aware and all public information that is reasonably available to it or of which it should be aware.

d. The Recipient also will implement reasonable monitoring and oversight procedures to safeguard against assistance being diverted to support terrorist activity.

3. For purposes of this Certification-

a. "Material support and resources" means currency or monetary instruments or financial securities, financial services, lodging, training, expert advice or assistance, safehouses, false documentation or identification, communications equipment, facilities, weapons, lethal substances, explosives, personnel, transportation, and other physical assets, except medicine or religious materials."

b. "Terrorist act" means-

(i) an act prohibited pursuant to one of the 12 United Nations Conventions and Protocols related to terrorism (see UN terrorism conventions Internet site: <http://untreaty.un.org/English/Terrorism.asp>); or

(ii) an act of premeditated, politically motivated violence perpetrated against noncombatant targets by subnational groups or clandestine agents; or

(iii) any other act intended to cause death or serious bodily injury to a civilian, or to any other person not taking an active part in hostilities in a situation of armed conflict, when the purpose of such act, by its nature or context, is to intimidate a population, or to compel a government or an international organization to do or to abstain from doing any act.

c. "Entity" means a partnership, association, corporation, or other organization, group or subgroup.

d. References in this Certification to the provision of material support and resources shall not be deemed to include the furnishing of USAID funds or USAID-financed commodities to the ultimate beneficiaries of USAID assistance, such as recipients of food, medical care, micro-enterprise loans, shelter, etc., unless the Recipient has reason to believe that one or more of these beneficiaries commits, attempts to commit, advocates, facilitates, or participates in terrorist acts, or has committed, attempted to commit, facilitated or participated in terrorist acts.

e. The Recipient's obligations under paragraph 1 are not applicable to the procurement of goods and/or services by the Recipient that are acquired in the ordinary course of business through contract or purchase, e.g., utilities, rents, office supplies, gasoline, etc., unless the Recipient has reason to believe that a vendor or supplier of such goods and services commits, attempts to commit, advocates, facilitates, or participates in terrorist acts, or has committed, attempted to commit, facilitated or participated in terrorist acts.

This Certification is an express term and condition of any agreement issued as a result of this application, and any violation of it shall be grounds for unilateral termination of the agreement by USAID prior to the end of its term.

Signed: \_\_\_\_\_

Name and Title: \_\_\_\_\_

Name of Organization: \_\_\_\_\_

Date: \_\_\_\_\_

## 5. SURVEY ON ENSURING EQUAL OPPORTUNITY FOR APPLICANTS

<http://www.usaid.gov/forms/surveyeo.doc> contains a survey on ensuring equal opportunity for applicants. The applicant's completion of the survey is voluntary. The absence of a completed survey in an application may not be a basis upon which the application is determined incomplete or non-responsive. Applicants who volunteer to complete and submit the survey under a competitive or non-competitive action are instructed within the text of the survey to submit it as part of the application process; applicants who chose to submit the survey shall include it in the technical application in the "annexes" section.

**PART II - OTHER STATEMENTS OF RECIPIENT****1. AUTHORIZED INDIVIDUALS**

The recipient represents that the following persons are authorized to negotiate on its behalf with the Government and to bind the recipient in connection with this application or grant:

Name	Title	Telephone No.	Facsimile No.	Email Address
<hr/>				
<hr/>				
<hr/>				

**2. TAXPAYER IDENTIFICATION NUMBER (TIN)**

If the recipient is a U.S. organization, or a foreign organization which has income effectively connected with the conduct of activities in the U.S. or has an office or a place of business or a fiscal paying agent in the U.S., please indicate the recipient's TIN:

TIN: \_\_\_\_\_

**3. CONTRACTOR IDENTIFICATION NUMBER - DATA UNIVERSAL NUMBERING SYSTEM (DUNS) NUMBER**

(a) In the space provided at the end of this provision, the recipient should supply the Data Universal Numbering System (DUNS) number applicable to that name and address. Recipients should take care to report the the number that identifies the recipient's name and address exactly as stated in the proposal.

(b) The DUNS is a 9-digit number assigned by Dun and Bradstreet Information Services. If the recipient does not have a DUNS number, the recipient should call Dun and Bradstreet directly at 1-800-333-0505. A DUNS number will be provided immediately by telephone at no charge to the recipient. The recipient should be prepared to provide the following information:

- (1) Recipient's name.
- (2) Recipient's address.
- (3) Recipient's telephone number.
- (4) Line of business.
- (5) Chief executive officer/key manager.
- (6) Date the organization was started.
- (7) Number of people employed by the recipient.
- (8) Company affiliation.

(c) Recipients located outside the United States may obtain the location and phone number of the local Dun and Bradstreet Information Services office from the Internet Home Page at <http://www.dbisna.com/dbis/customer/custlist.htm>. If an offeror is unable to locate a local service center, it may send an e-mail to Dun and Bradstreet at [globalinfo@dbisma.com](mailto:globalinfo@dbisma.com).

The DUNS system is distinct from the Federal Taxpayer Identification Number (TIN) system.

DUNS: \_\_\_\_\_

#### 4. LETTER OF CREDIT (LOC) NUMBER

If the recipient has an existing Letter of Credit (LOC) with USAID or another US federal agency, please indicate the LOC number:

LOC: \_\_\_\_\_

#### 5. PROCUREMENT INFORMATION

(a) **Applicability.** This applies to the procurement of goods and services planned by the recipient (i.e., contracts, purchase orders, etc.) from a supplier of goods or services for the direct use or benefit of the recipient in conducting the program supported by the grant, and not to assistance provided by the recipient (i.e., a subgrant or subagreement) to a subgrantee's sub Recipient or subrecipient in support of the subgrantee's sub Recipient's or subrecipient's program. Provision by the recipient of the requested information does not, in and of itself, constitute USAID approval.

(b) **Amount of Procurement.** Please indicate the total estimated dollar amount of goods and services which the recipient plans to purchase under the grant

\$ \_\_\_\_\_

(c) **Nonexpendable Property.** If the recipient plans to purchase nonexpendable equipment which would require the approval of the Agreement Officer, please indicate below (using a continuation page, as necessary) the types, quantities of each, and estimated unit costs. [Note that the authorized geographic code under the resulting award will be 000:]

Nonexpendable equipment for which the Agreement Officer's approval to purchase is required is any article of nonexpendable tangible personal property charged directly to the grant, having a useful life of more than one year and an acquisition cost of \$5,000 or more per unit.

TYPE/DESCRIPTION(Generic)	QUANTITY	ESTIMATED UNIT COST
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#### 6. TYPE OF ORGANIZATION

The recipient, by checking the applicable box, represents that -

(a) If the recipient is a U.S. entity, it operates as  a corporation incorporated under the laws of the State of \_\_\_\_\_,  an individual,  a partnership,  a nongovernmental nonprofit organization,  a state or local governmental organization,  a private college or university,  a public college or university,  an international organization, or  a joint venture; or

- a. If the recipient is a non-U.S. entity, it operates as  a corporation organized under the laws of \_\_\_\_\_ (country),  an individual,  a partnership,  a nongovernmental nonprofit organization,  a nongovernmental educational institution,  a governmental organization,  an international organization, or  a joint venture.

7. CERTIFICATION OF RECIPIENT

The recipient certifies that it has reviewed and is familiar with the proposed cooperative agreement format (included in section E as attachment 2) and the regulations applicable thereto, and that it agrees to comply with all such regulations.

Solicitation (RFA) No. \_\_\_\_\_

Application/Proposal No. \_\_\_\_\_

Date of Application/Proposal \_\_\_\_\_

Name of Recipient \_\_\_\_\_

Typed Name and Title \_\_\_\_\_

\_\_\_\_\_  
Signature \_\_\_\_\_ Date \_\_\_\_\_

## SECTION E - ANNEXES

### **LIST OF ANALYTICAL RESOURCES**

Links to the following documents are provided to prospective applicants as reference only. None of the information contained in these documents should be viewed as an official endorsement of a particular approach or strategy in responding to this RFA.

1. Strategic Plan: Fiscal Years 2007-2012. Transformational Diplomacy. U.S. Department of State. U.S. Agency for International Development  
[http://www.usaid.gov/policy/coordination/stratplan\\_fy07-12.html](http://www.usaid.gov/policy/coordination/stratplan_fy07-12.html)
2. EU Country Strategy Paper (CSP) and National Indicative Program (NIP) for Ukraine 2007-2013  
<http://www.enpi-programming.eu/wcm/content/category/8/134/178/en/>
3. EU-Ukraine Action Plan [http://www.ieac.org.ua/pics/content/15/1109931048\\_ans.doc](http://www.ieac.org.ua/pics/content/15/1109931048_ans.doc)
4. 2007 Freedom House's Nations in Transit Report  
[http://www.freedomhouse.hu/index.php?option=com\\_content&task=view&id=84](http://www.freedomhouse.hu/index.php?option=com_content&task=view&id=84)
5. 2006 NGO Sustainability Index Report  
[http://www.usaid.gov/locations/europe\\_eurasia/dem\\_gov/ngoindex/2006/index.htm](http://www.usaid.gov/locations/europe_eurasia/dem_gov/ngoindex/2006/index.htm)
6. 2006 Media Sustainability Index Report [http://www.irex.org/programs/MSI\\_EUR/2006/ukraine.asp](http://www.irex.org/programs/MSI_EUR/2006/ukraine.asp)
7. 2006 Human Rights Report for Ukraine <http://www.state.gov/g/drl/rls/hrrpt/2006/78846.htm>
8. Supporting Human Rights and Democracy: The U.S. Record 2006.  
<http://www.state.gov/g/drl/rls/shrd/2006/>

**ENVIRONMENTAL COMPLIANCE FACESHEET – (ATTACHED)**



## ENVIRONMENTAL COMPLIANCE FACESHEET & REQUEST FOR CATEGORICAL EXCLUSION

**Program Objective/Area:** Governing Justly and Democratically/Civil Society  
**Program Element:** Civic Participation  
**Title of Activity:** Strengthening Civil Society in Ukraine Program

**Country/Region:** Ukraine  
**Funding Period:** September 2008 – October 2013  
**Resource Levels/Amount(s):** \$10,000,000

**Statement Prepared by:** Victoria Marchenko, Project Management Specialist  
May 27, 2008

**IEE Amendment?** Yes  No  **DCN of Original IEE:** N/A

**Environmental Media and/or Human Health Potentially Impacted** (check all that apply):  
Air  Water  Land  Biodiversity  Human health  Other  None

**Environmental Action(s) Recommended** (check all that apply):

1. *Categorical Exclusion(s)*

2. Initial Environmental Examination:

*Conditional Negative Determination: procurement, storage, transportation, and use of any equipment shall be done in an environmentally sound manner. USAID Contracting Officer will specify this wording in USAID grant agreements. The implementer will provide USAID with evidence that the recipient organization followed all applicable environmental laws.*

### 1. Summary of Findings:

This IEE will cover a new civil society project planned to consolidate democratic governance in Ukraine through more vibrant civil society. Project implementation will lead to the following results: (a) NGOs are able to better represent citizen interests and drive the country’s reform agenda through more effective advocacy, monitoring and activism; (b) legislative framework for civil society and local philanthropy more closely resembles European standards; (c) NGOs are transparently governed and capably managed; and (d) civil society organizations are more financially sustainable and less dependent on foreign donors.

USAID technical assistance will be provided in the form of consultations, training seminars, workshops and grants. USAID funds will be used to finance salaries of technical and administrative staff, travel expenses, and costs of production and dissemination of training materials. A limited amount of funds may be used to provide grants, which may include office equipment purchases.

### 2. Recommended Action: Categorical Exclusion

The proposed actions are entirely within the categories listed in paragraph (c) (2), “Categorical Exclusions”, of Section 216.2, “Applicability of procedures”, of title 22 CFR Part 216, “AID Environmental Procedures”. Pursuant to 22 CFR 216.2(c)(3), “procedures” the originator of the proposed actions has determined that the proposed action is fully within the following classes of actions:

- The action does not have an effect on the natural or physical environment (such as construction of facilities, etc.) [22CFR216.2(c)(1)(i)];
- Education, technical assistance, or training programs except to the extent such programs include activities directly affecting the environment (such as construction) [22CFR216.2(c)(2)(i)];
- Analysis, studies, academic or research workshop and meetings [22CFR216.2(c)(2)(iii)].
- Document and information transfers [22CFR216.2(c)(2)(v)].

Pursuant to 22CFR 216.2(c)(2), the proposed actions are categorically excluded from further environmental review. As per 22CFR 216.2(c)(1), neither an initial environmental examination nor an environmental assessment is required for an action which is determined to fall within one or more of the categories listed at 22 CFR 216.2(c)(2).

### **Recommended Action: Conditional Negative Determination**

Pursuant to 22 CFR 216.3(a)(2)(i), the originator of the proposed activities recommends a conditional negative determination with the condition that procurement, storage, transportation, and use of any equipment shall be done in an environmentally sound manner. USAID Contracting Officer will specify this wording in USAID grant agreements. The implementer will provide USAID with evidence that the recipient organization followed all applicable environmental laws.

### **Limitations of the IEE:**

This CE does not cover activities involving:

- Assistance for 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 FIFRA – “Federal Insecticide, Fungicide, and Rodenticide Act”
- Construction, reconstruction, rehabilitation, or renovation work
- Activities involving support to agro-processing, industrial enterprises, and regulatory permitting.
- Procurement or use of genetically modified organisms (GMOs)
- DCA or GDA programs

Any of these actions would require an amendment to the IEE approved by EE/BEO.

### **3. Revisions:**

Pursuant to 22 CFR 216.3(a)(9), if new information becomes available which indicates that activities covered by this Categorical Exclusion might be considered “major” and their effect “significant”, or additional activities are proposed that might be considered as "major" and their effect “significant”, this recommendation for Categorical Exclusion will be reviewed and, if necessary, revised by the Mission Environmental Office with concurrence of the E&E Bureau Environmental Officer. It is the responsibility of the USAID Activity Manager and CTO to keep the MEO and BEO informed of any new information or changes in the activity that might require revision of this Categorical Exclusion.

**USAID APPROVAL OF ENVIRONMENTAL ACTION(S) RECOMMENDED:**

**Clearance:**

Mission Director: 

Date: 30 May 08

**Concurrence:**

Bureau Environmental Officer:  Date: 30 May 08

Approved:

Disapproved:

Mission Environmental Officer: 

Date: 05/30/08

[End of Request for Applications]