



**USAID**  
FROM THE AMERICAN PEOPLE



# STATE-OWNED ENTERPRISES REFORM ACTIVITY IN UKRAINE, TASK ORDER I ANNUAL PROGRAM STATEMENT 2024

Version 1.0 submitted on February 12, 2024

This document was produced for review by the United States Agency for International Development. It was prepared under Task Order No. 720-121-21-F00002, Task Order I of the State-Owned Enterprises Reform Activity (SOERA) in Ukraine Indefinite Delivery, Indefinite Quantity (IDIQ) Contract No. 720-121-21-D00001 implemented by Deloitte Consulting LLP.

This report is made possible by the support of the American People through the United States Agency for International Development (USAID) and the United Kingdom Foreign, Commonwealth & Development Office (UKaid). The contents of this report are the sole responsibility of Deloitte Consulting LLP and do not necessarily reflect the views of USAID the United States Government, UKaid or the Government of the United Kingdom.

**Leave page blank.**

## TABLE OF CONTENTS

<b>ABBREVIATIONS</b>	<b>4</b>
<b>PURPOSE</b>	<b>5</b>
Program Description	5
Grants Program	6
Grants Program Objective	6
Grant Activities under Program Objectives	6
Deliverables	7
Resources, Staff, and Organizational Qualifications	8
Grant Program Expected Results	8
Program-Level Results	8
Grant-Level Results	9
Eligibility Requirements for SOERA Grants	10
Eligible Organizations	10
<b>SUBMISSION INSTRUCTIONS</b>	<b>11</b>
Grant Process under this Annual Program Statement	11
General	11
Grant Concept Paper	11
Full Grant Application	12
Grant Funding and Cost-Sharing	13
Expected Grant Funding	13
Cost-Sharing	13
Grants Selection Process	13
Review of Concept Papers and Grant Applications	13
Selection Criteria	14
Award Process	15
Questions	15
<b>APPENDIX 1: CONCEPT PAPER TEMPLATE</b>	<b>16</b>
Grant Concept Paper	16
Technical Proposal	17

Budget	19
Appendix 2: GRANTS APPLICATION TEMPLATE	21
Attachment 1: Technical Proposal	22

## ABBREVIATIONS

Abbreviation	Definition
APS	Annual Program Statement
CSO	Civil Society Organization
DBS	Direct Budget Support
DTO	Digital Transformation Office
GOU	Government of Ukraine
GTSOU	Gas Transmission System Operator of Ukraine
ME	Ministry of Economy
MF	Ministry of Finance
MOR	Ministry for Restoration
NGO	Nongovernmental Organization
PFM	Public Financial Management
R&R	Restoration and Reconstruction
SOE	State-Owned Enterprise
SOERA	State-Owned Enterprises Reform Activity
SPFU	State Property Fund of Ukraine
SPM	State Property Management
USAID	United States Agency for International Development
USG	United States Government

## APS PURPOSE

The purpose of this Annual Program Statement (APS) is to disseminate information about USAID/UKaid State-Owned Enterprises Reform Activity (SOERA) objectives and plans for the period ending December 31, 2024, to provide fair and equal opportunities to eligible civil society organizations (CSOs) to submit concept papers/applications for grant support. This APS is issued under the authority of the United States Foreign Assistance Act of 1961.

Through this APS, SOERA, implemented by Deloitte and funded by USAID/UKaid, is soliciting concept papers from eligible non-U.S. nongovernmental organizations (NGOs) or CSOs, either non-profit or for-profit, legally established in Ukraine for programs in the following areas:

1. enhancing state property management (SPM) policy, legislation, and regulations;
2. increasing awareness and public engagement in SPM and management of municipal assets;
3. enhancing oversight and increasing transparency of information regarding state and municipal assets.
4. strengthening CSOs' capacities to address state and municipal property management, corporate governance, public awareness, SOE/MOE accountability, and related areas; and
5. supporting, enhancing, or monitoring restoration and reconstruction (R&R) initiatives and accountability.

## SOERA Description

SOERA is a seven-year (2021-2028), \$100 million USAID funded program, implemented by its contractor Deloitte, to improve transparency, efficiency, and governance in management of Ukraine's state-owned enterprises (SOEs) and government assets. Smart SOE governance in Ukraine has the potential to increase private sector participation, stimulate broad-based economic growth, and mitigate corruption. During the war and Ukraine's recovery, SOERA is prioritizing support to maintain critical public services and help plan and execute effective, efficient, and accountable reconstruction and rehabilitation of Ukrainian infrastructure.

SOERA's program objectives are as follows:

- Comprehensive and efficient centralized SOE information system (data collection and reporting) developed to allow the government and other stakeholders to make informed and substantiated decisions on SOE divestiture and management;
- Evidence-based SOE reform strategy and implementation roadmap developed and implemented;
- Legislative and regulatory framework improved to support the implementation of SOE reform and privatization strategy;
- Divestiture process underway, according to a national plan with identified annual targets met;
- Effective operational modalities for managing the enterprises remaining in state ownership developed and adopted by the GOU;
- Transparency, corporate governance and management of SOEs in Ukraine improved;

- Corruption in SOEs reduced;
- Fiscal burden of SOEs reduced;
- Private sector and foreign direct investment increased; and
- Popular support for SOE reform and privatization increased.

SOERA’s technical component structure is described in Figure 1 below, to illustrate how the Activity is organized to achieve its program objectives.

**Figure 1: SOERA Components**



## Grant Program

### Grant Program Objectives

SOERA’s grant program will contribute to achievement of SOERA objectives and expected results. Using grant mechanisms, SOERA will enhance the role of Ukrainian CSOs in these endeavors. Additionally, SOERA grants, and related assistance will not only provide CSOs with the expertise and resources necessary to implement programs effectively but also focus on strengthening their capacity to design, implement, manage, and report on initiatives. By empowering CSOs in these ways, SOERA works to achieve its objectives while simultaneously enhancing the capabilities of Ukrainian civil society.

### Grant Activities

CSOs awarded grants will implement activities aligned with the grant program objectives. It is the responsibility of applicants to clearly describe the expected results from their proposed programs and

how they will contribute to SOERA program objectives. The following are the main areas for which applicants may propose programs for grant funding:

1. Enhancing SPM policy, legislation, and regulations;
2. Increasing awareness and public engagement in SPM and management of municipal assets;
3. Enhancing oversight and increasing transparency of information regarding state/municipal assets;
4. Capacity-strengthening initiatives for CSOs to enhance their understanding of SPM, corporate governance, awareness of SPM/municipal asset management, and accountability and monitoring of SOE/MOE activities;
5. R&R initiatives and related information campaigns.

Applicants have the flexibility to propose their own areas of activity if they align with the grant program's objectives. Such programs may contribute to program results at the national or subnational levels. Proposed programs should be broken down into tasks and deliverables. Applicants should provide a clear description of how each task and its corresponding deliverables will contribute to fulfilling the grants program objectives detailed in their proposals.

## Deliverables

Note that full details of proposed deliverables may be included, but are not required, as part of Concept Paper submission. Based on the type of programs specified in each application, it is possible that applicants will need to develop a list of program deliverables. This will be discussed at the application stage and SOERA Technical Selection Committee will provide comments and identify desired deliverables when issuing an invitation to submit a full application for grant funding. As part of their grant application, applicants should provide detailed work plans that include a timeline for completion. As part of their grant application, applicants should provide detailed work plans that include a timeline for completion.

Upon program completion, grant awardees must submit a final report that describes the program's results, the extent to which results indicators were achieved, an evaluation of program impact, and any associated deliverables. Examples of tasks and associated deliverables include the items listed below. Please note that CSOs may propose programs and tasks that are different from those listed below.

- Research. Methodology, questionnaires, datasets, draft policy papers.
- Policy recommendations. Policy papers, research summaries, presentations.
- Public dissemination and advocacy. Event proceedings, press releases, meeting minutes, video and audio recordings, links to online materials, statistics on the coverage of disseminated materials.

- Capacity strengthening. Designing and delivering capacity-building programs for CSOs/municipalities focused on effective oversight and public control over SOEs/ MOEs. Providing training, resources, and expertise to empower CSOs to carry out projects that enhance SPM policy, transparency, and accountability. New networks and partnerships.

The examples provided above are not exhaustive, and applicants are encouraged to tailor their program tasks and deliverables based on their specific objectives.

## Resources, Staff, and Organizational Qualifications

Note that financial management capacity is assessed as part of the Concept Paper submission review. Specific personnel and resource details will be required as part of the full Grant Application. They are not required for Concept Paper submission.

Applicants should have sufficient staff members with relevant qualifications and experience to implement their proposed programs. The grant application should provide information on their staff's scope, qualifications, and experience, inclusive of CVs for the primary staff charged with implementation of the overall proposed scope. The application should demonstrate how staff competencies align with the requirements to implement planned tasks. The composition of the staff will be determined by the applicant as needed to accomplish the objectives in the stated scope. Applicants may also form partnerships with other organizations, as long as the detailed roles and responsibilities of each are detailed in their application.

Applicants should provide examples of their organizational experience in programs related to the activity they are proposing. In addition, applications should demonstrate the organization's financial management capacity by providing evidence, such as the CV of a team member responsible for financial management. Additionally, the application should include supporting documents such as copies of official reports submitted to authorities (such as tax declarations) for the past three years, internal control procedures, and evidence of prior successful grant management.

Applicants should demonstrate the capacity to monitor and evaluate their proposed programs and their impacts. They should assign at least one experienced staff member to monitor and evaluate performance. Additionally, applicants should develop indicators to measure progress toward program goals.



## Grant Program Expected Results

### Program-Level Results

The expected results of the SOERA Grant Program are aligned with SOERA program objectives and may include the following illustrative items. Note that the results below are illustrative examples, and that CSO applicants may propose other results that align with SOERA objectives.

- Policy impact. CSOs' grant programs (e.g., research, policy recommendations, other activities) improve SPM policies, legislation, and regulations.
- Increased awareness and public engagement/support. Key stakeholders and the public are informed of GOU plans and actions on SOE reform and support them. Key stakeholders such as the international community, CSOs, and private sector are engaged in and contribute to GOU reform efforts.
- Improved public access and oversight. CSOs establish mechanisms for public oversight of SPM and municipal assets management, facilitate access to information on SPM, and engage stakeholders in policy dialogues; data-driven approaches in informing decision-making processes and shaping SPM and R&R-related interventions using surveys, research activities, and policy recommendations.
- Strengthened advocacy. CSOs put forward interventions to help bring about SPM/R&R policy improvements.
- CSO capacity building. Grants strengthen CSOs' capacity in oversight and public control over SOEs/MOEs; grants empower CSOs with knowledge and resources to execute sustainable SPM-related projects.
- New networks and partnerships. New networks and partnerships. SOERA aims to facilitate the establishment of collaborative networks and partnerships among CSOs, academic institutions, media outlets, and authorities. These partnerships are intended to foster meaningful collaboration and synergies that contribute to the advancement of SOERA objectives. Rather than viewing the formation of partnerships as an end goal, SOERA seeks to achieve tangible outcomes and impact through the collaborative efforts and shared expertise of the involved parties.

Programs supported by SOERA grants should span both national and subnational levels:

- National impact. National-level CSOs collaborate with central government authorities to safeguard state assets, promote leading practices in corporate governance and transparency, and monitor privatization and R&R processes.
- Subnational impact. Subnational CSOs establish partnerships with national, municipal, or oblast authorities leading to improved public and municipal asset utilization and development of community growth strategies.
- Strengthening CSO Capacities: SOERA's initiatives focus on enhancing the capacity of CSOs at both national and subnational levels. This includes providing training, resources, and support to enable CSOs to effectively engage with stakeholders, implement activities in pursuit of SOERA's program objectives.

## Grant-Level Results

In their proposals, CSOs should clearly describe how their technical approaches and tasks align with the SOERA program objectives and related expected results.

CSOs are required to develop a hierarchical system of performance indicators which they will report against during grant implementation to monitor and evaluate the progress and outcomes of their programs. They should also demonstrate how the proposed indicators will enable them to evaluate achievement of their expected results. Indicators should include those that measure deliverables as well as results and outcomes. Deliverables indicators are measurable components of a project that represent tangible outputs, products, or activities that are expected to be completed within a specified timeframe. Results/outcomes indicators are measurable indicators that assess the broader impact, changes, or benefits resulting from the implementation of a project.

- Examples of deliverables indicators include items such as: number of research methodologies developed, surveys conducted, datasets compiled, policy papers drafted, events and meetings held, and materials published.
- Examples of results/outcomes indicators include items such as measures of changes in: SPM policy, increased awareness and public engagement, and transparency of information and oversight of state/municipal assets or R&R implementation.

Indicators should be measurable, allowing for quantitative assessment. Examples of such indicators may include the number of deliverables produced, audience coverage for published materials, changes in stakeholders' awareness and attitudes, improvements in procedures, or increased access to relevant data and mechanisms for public oversight. All indicators should be linked to a timeline, enabling regular monitoring on a quarterly basis, as well as facilitating a comprehensive evaluation of the program's impact once the grant is completed.

## Eligibility Requirements for SOERA Grants

### Eligible Organizations

To be eligible to apply for and receive funding under SOERA, applicants must meet the following criteria:

- Local nongovernmental organizations (including CSOs) legally registered in Ukraine are eligible organizations for grant awards (both nonprofit and for-profit).
- With permission from USAID, public education organizations (universities, colleges) registered in Ukraine may also be eligible for award.

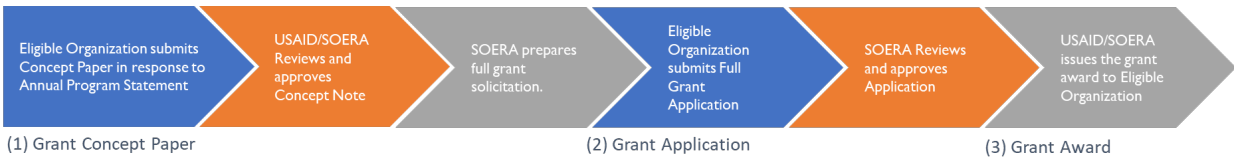
Additional eligibility criteria include:

- The organization must have demonstrated experience in technical areas relevant to the proposed program scope of work.

- The organization must currently be implementing activities in the geographic area and technical area for which it is submitting an application.
- The organization must have minimum absorptive capacity and demonstrates the potential to acquire sufficient capacity to manage the grant program in a sustainable manner.
- The organization must have a functional financial system;
- Grantees must demonstrate sound management in the form of financial, administrative, and technical policies and procedures that are in written format, including: a system of controls that safeguard assets; protect against fraud, waste, and abuse; and support achievement of program objectives.
- The organization’s other relationships, associations, activities, and interests must not create a conflict of interest that could prevent full impartiality in implementation of grant activities.
- Unique Identifier Number (UIN) and System for Award Management (SAM) registration and identifiers are required for all organizations doing business with the U.S. Government.
- Grantee organizations must exist under applicable Ukrainian laws and must be in compliance with all applicable civil and fiscal regulations.

## SUBMISSION INSTRUCTIONS

### Grant Process under this Annual Program Statement



### General

- Organizations invited to submit a concept paper or application are under no obligation to do so.
- Applicants will not be reimbursed by SOERA for any costs incurred in connection with the preparation and submission of their concept papers or applications.
- SOERA reserves the right to conduct discussions once a successful application is identified, or to make an award without conducting discussions based solely on the written applications, if it decides it is in its best interest to do so.
- SOERA reserves the right not to make any award.
- These Instructions to Applicants will not form part of the offer or Grant Award. They are intended solely to aid applicants in the preparation of their concept papers and applications.
- Language. Concept papers, applications, and all associated correspondence must be in English. Any award document resulting from this request will be in English.
- Currency. All costs must be budgeted and presented in local currency.

- Submission method. All concept papers, applications, and correspondence must be submitted electronically.
- Authorized signer. Submissions must be made or signed by a person duly authorized to submit an application on behalf of the applicant and to bind the applicant to the application.
- Authorized personnel. Concept papers and applications must provide the name, title, email address, and telephone contacts of the person or persons in the organization who are authorized to discuss and accept a grant, if awarded.

## Grant Concept Paper

The first step is for organizations to submit a short summary, called a “Grant Concept Paper”, as a screening step to ascertain whether the applicant and proposed program meet the minimum criteria listed below:

- a. Is the purpose of the program consistent with SOERA objectives?
- b. Is the applicant an eligible organization as defined in this APS?
- c. Does the proposed applicant have a proper accounting system in place?
- d. Does the applicant demonstrate ability to leverage non-USAID resources either through other donor support or cost-sharing in cash or in-kind?
- e. Does the applicant have the organizational capability to successfully implement the activities specified in its concept paper?

The Grant Concept Paper form should preferably be completed online through the Grants Portal (<https://dgrants.fluxx.io/>). First-time applicants will be required to register for an account, and upon approval they will receive an email notification with the log-in credentials to access the portal.

The portal provides submission instructions for completing a web-based application form and contains all required document and budget attachments to be included with the application.

If an applicant is unable to access the portal, an electronic copy of the Grant Concept Paper form can also be requested by contacting [grants@soera.net.ua](mailto:grants@soera.net.ua). Only applicants whose concept papers are judged to meet the minimum criteria will have the opportunity to submit full grant applications for potential funding.

The SOERA Grants Manager will inform applicants of concept paper review results. The application process will either end here (for unsuccessful concept papers), or the applicant will be directed to develop a full grant application (for successful concept papers). A Concept Paper Template is included as Annex I.

Concept papers received in response to this APS will not be returned to applicant organizations.

## Full Grant Application

To submit a full grant application package following notification of an approved Grant Concept Paper by the SOERA Grants Manager, applicants must return to the Grants Portal (<https://dgrants.fluxx.io/>). The accepted Concept Paper form will be automatically converted into the Grant Application Form with additional questions and attachment requirements.

The Applicant will submit a full application that includes:

1. Grant Application Form
2. Budget Form including Financial Plan Summary
3. Documents to verify eligibility (organization's nonprofit registration documents and by-laws)
4. Applicants financial and accounting system information
5. Certification regarding terrorist financing
6. Certification of Compliance
7. Certification regarding lobbying
8. Survey on Ensuring Equal Opportunities for Applicants

Applicants must submit all forms for the application to be considered complete. All applications received in response to this APS will not be returned.

## Grant Funding and Cost-Sharing

### Expected Grant Funding

SOERA anticipates that the range of grant amounts will range from \$50,000 to \$100,000 USD (equivalent of these amounts in local currency). In exceptional circumstances or when a concept is identified as high priority by SOERA, grants may be awarded in excess of this range, subject to USAID approval.

### Cost-Sharing

Applicants are encouraged, but not required, to share in the cost of implementing awarded SOERA grant activities. During the grant period of performance, regular financial reports will record actual cost-share contributions, which may be financial or in-kind services and could include any of the following:

- Labor to carry out grant activities;
- Payment of non-labor costs associated with grant activities;
- Leveraged funds from other sources (non-US Government);
- Equipment and facilities;
- In-kind donations (e.g., labor, volunteer labor, office space, conference space etc.).

All costs proposed to be shared by the applicant (both financial and in-kind) must meet the following criteria:

- Verifiable in the applicant’s records.
- Necessary and reasonable for effective and efficient accomplishment of grant program objectives.
- Allowable under applicable USAID regulations (see Attachment 4).
- Must not be included as cost-share contributions for any other U.S. Government–assisted program.
- Must not be paid by the U.S. Government under another grant or agreement. Sub-awards will not be allowed under the SOERA Grants Program.

Applicants are recommended, but not required, to cost-share implementation of grant program activities at a minimum of 15% of total program costs. Larger cost-sharing will be viewed more favorably by the SOERA Grants Selection Committee.

## Grants Selection Process

### Review of Concept Papers and Grant Applications

Concept papers/grant applications will be accepted on a cyclical basis throughout calendar year 2024. The SOERA Grants Selection Committee will meet on a rolling basis, at least once per quarter, to review submitted concept papers. Concept papers/applications will be accepted during the following date ranges:

FY24 Grant Cycle 1	February 12 - March 15
FY24 Grant Cycle 2	May 1-10
FY24 Grant Cycle 3	July 15-26

### Selection Criteria

SOERA will select proposals that maximize the overall impact of the Activity, ensuring diversity across tasks and types of activities at national and subnational levels.

Grant Concept Papers. Simple Yes/No criteria will be used for evaluation, as follows:

- a. Is the purpose of the activity consistent with SOERA objectives?
- b. Is the applicant an eligible organization as defined in this APS?
- c. Does the applicant have a proper accounting system in place?
- d. Does the applicant demonstrate the ability to leverage non-USAID resources either through other donor support or cost-sharing in cash or in-kind?

e. Does the applicant have the organizational capability to implement the activities specified in the concept paper successfully?

Additional criteria. Questions to ask as you prepare your concept:

- a. Measurable outcomes. How does the applicant plan to clearly define and measure its results, outcomes, and performance indicators?
- b. Sustainability. What plans and measures does the applicant propose to ensure its program's long-term sustainability, considering the continuation of impacts beyond the grant period and potential changes in circumstances?

In addition to the criteria listed above, some preliminary "gatekeeper" questions will be asked, such as:

- a. Does the proposed activity pose any unacceptable threats?
- b. Does the project pose a threat to the wellbeing of vulnerable groups, particularly women, children, or minorities?

If either of these questions is answered positively, the concept will be deemed ineligible and will receive no further consideration. If, on the other hand, the Grant Concept Paper is deemed to be attractive because of positive benefits regarding either question, the concept may be considered more favorably to proceed.

Grant Applications. For full Grant Applications, weights will be specified in each solicitation but will be evaluated according to the following:

- a. Application Selection Criteria
- b. Statement of Need
- c. Project Goal, Objectives, and Geographic Focus
- d. Technical Strategy and Approaches
- e. Project Activities
- f. Coordination and Collaboration
- g. Monitoring and Evaluation Plan
- h. Management Plan
- i. Organizational Capacity
- j. Budget, Budget Notes, and Cost Reasonableness

## Award Process

Concept Papers received by SOERA will be evaluated by the SOERA Grants Selection Committee (GSC) for completeness, qualification of the organization and activities, and against the specified criteria. If a Grant Concept Paper is not approved, the applicant will be formally notified. If it is approved, the organization will be notified, and the Grants Manager will request the applicant to submit a complete Grant Application package.

The number of awards under this APS is subject to the availability of funds and the viability of applications received.

Concept Papers and full Grant Applications can be submitted online using the Grants Portal (<https://dgrants.fluxx.io/>). Any questions regarding the APS or its contents should be sent to [grants@soera.net.ua](mailto:grants@soera.net.ua)

Phone calls will not be accepted.

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

If an applicant wishes to dispute any decision of Deloitte during the grant solicitation and award process, the applicant must submit a written appeal to Deloitte including all relevant and material evidence to support its position. Deloitte shall then review the written appeal and issue a final decision within 15 days or provide notice of the need for additional time. The final decision of Deloitte shall be binding upon the offeror.

## Questions

Information session dates and links to answer inquiries about this APS are available here: <https://dgrants.fluxx.io/>. Any questions regarding the APS or its contents should be sent to [grants@soera.net.ua](mailto:grants@soera.net.ua). Phone calls will not be accepted.



## APPENDIX I: CONCEPT PAPER TEMPLATE

### Grant Concept Paper

1. Full Legal Name of Organization:		
2. Address of Organization:		
3. Date and Number of Organization's Registration:		
4. Tax Identification Number:		
5. Telephone Number:	6. Fax Number:	7. E-mail:
8. Name of Key Contact Person:		9. Father's Name:
10. Title of Key Contact Person:		
11. Telephone number:		12. E-mail:
13. Type of Organization ( <i>mark the relevant fields</i> ):		
<input type="checkbox"/> For-profit <input type="checkbox"/> Private <input type="checkbox"/> Non-profit <input type="checkbox"/> Public		
14. Brief Description of Organization ( <i>briefly state the Organization's mission, vision and main goals/activity areas</i> ):		
15. Is Organization Owned by a Parent Company? ( <i>Mark the relevant field</i> ) <input type="checkbox"/> Yes <input type="checkbox"/> No		
16. Does Organization have any subsidiaries or own 5%, or more, of any other entity? ( <i>Mark the relevant field</i> ) <input type="checkbox"/> Yes <input type="checkbox"/> No		
17. Are there any owners (shareholders) of Organization that own 5% or more of Organization? ( <i>Mark the relevant field</i> ) <input type="checkbox"/> Yes <input type="checkbox"/> No		

If the answer is yes, please list the owners and their percentage owned:		
Name of Owner/Shareholder	Type of Owner (mark the relevant field)	Percentage owned (%)
	<input type="checkbox"/> Individual <input type="checkbox"/> Company	
	<input type="checkbox"/> Individual <input type="checkbox"/> Company	
[Repeat as necessary]	<input type="checkbox"/> Individual <input type="checkbox"/> Company	
Also, please list any other entities which the owner/shareholder controls (greater than 50% ownership or voting rights) and, if the shareholder is an individual, list any other entities in which this shareholder serves as an officer or director:		
Name of Owner/Shareholder	Entities the owner/shareholder controls	Entities in which owner/shareholder serves as an officer/director
18. Does the Organization have a computerized accounting system in place? <input type="checkbox"/> Yes <input type="checkbox"/> No		
19. Who is the Organization's auditor?		
20. Is Organization or any subsidiary an audit client of Deloitte? <input type="checkbox"/> Yes <input type="checkbox"/> No		
If the answer is yes, please provide the names of organization/its subsidiaries audited by Deloitte:		
21. Please provide the Organization's financial information required below:		
Category	Data as of [insert date]	
Total Annual Revenue/Sales (USD):		
Total Assets (USD):		
Total Equity (USD):		
Equity Contribution from Other Donors (USD):		
Number of Employees:	___ Total ___ Women ___ Men	
Number of Women on Managerial Positions:		

22. Provide information on the Organization's prior experience related to the proposed grant activity, listing specific projects/activities that the Organization has implemented/supported, as applicable.
23. Provide the following information on prospective/existing partners (organizations, companies)
Full Legal Name of Partner Organization:
Address of Partner Organization:
Is Partner Organization an audit client of Deloitte? <input type="checkbox"/> Yes <input type="checkbox"/> No
Describe the partner's prior experience related to the proposed grant activity:

[Repeat this section for as many partners as applicable]

## Technical Proposal

24. Title of Grant Activity ( <i>maximum one line</i> ):
25. Problem Analysis and Statement ( <i>maximum half a page</i> ):
26. Goals and Objectives of Grant Activity (please provide link with USAID [name of project] key objectives) ( <i>maximum half a page</i> ):
27. Approach to the Activity – describe the proposed approach by answering the following questions ( <i>maximum one page</i> ): <ul style="list-style-type: none"> <li>● How will the Activity be carried out?</li> <li>● Who will carry out the Activity (identify project team and other relevant stakeholders)?</li> <li>● Where will the Activity be implemented (identify location/s)?</li> <li>● When will the Activity be implemented (provide the anticipated start date and finish date)?</li> <li>● Will the Activity involve investing in new technologies, and if yes, what type technology?</li> <li>● If the Activity is expected to create market distortion, how will this distortion be mitigated?</li> <li>● What impact (if any) will the activity have on the position of women and youth?</li> <li>● What environmental impact (if any) will the activity have and how will impact be monitored/addressed?</li> </ul>

28. Project Beneficiaries – Identify direct and indirect project beneficiaries and their number, and explain how they will benefit from the grant. <i>(maximum half a page):</i>		
29. Expected Results <i>(maximum half a page):</i>		
<ul style="list-style-type: none"> <li>Identify the results expected to be achieved by the Activity and provide the link to the grant objectives defined under section #26 above.</li> <li>Also, identify verifiable indicators of achievement of these results and their estimated targets. As the minimum, provide the values for the following key USAID [name of project] impact indicators by completing the table below. Add additional indicators as necessary. Please use quantitative indicators wherever possible.</li> </ul>		
Name of Indicator	Target Value at Project Completion	
Add indicator [Name]		
Add indicator [Name]		
Add indicator [Name]		
Add indicator [Name]		
Add indicator [Name]		
30. Sustainability - explain how the Organization will sustain the impact of Activity and monitor and report on results after the grant is closed <i>(maximum half a page):</i>		
31. Activity Plan/Milestones – indicate the proposed project duration/timeframe and provide the overview of the main project activities/milestones <i>(maximum half a page)</i>		
[Milestones are provided for Fixed Amount Awards). Milestones are for a verifiable project product, task, deliverable, or goal. For Fixed Amount Awards, monitoring is made by milestones, budget is produced by milestones, and grant funds disbursement is made following the verification of successful milestone completion. For Standard and In-kind grants, define activities.]		
Activity/Milestone	Anticipated Start	Anticipated Finish
[Name 1:]		
[Name 2:]		

[Name 3:]		
Etc.		

## Budget

- a. Provide a brief budget narrative indicating the total estimated cost of the proposed activity, the share requested from USAID [name of project] and the cost share provided by the Organization or contributed to the Organization by the third parties. Explain the structure of cost share and describe in-kind contributions. For Fixed Amount Awards, provide budget by project milestones and explain how the costs of each milestone were estimated. For Standard Grants, provide budget by line item and explain how the costs of each line item were estimated. For In-kind grants, provide budget by equipment/commodities items, with explanation.

All amounts required from the USAID [name of project] should be before Value-Added Tax (VAT). VAT costs will not be paid to grantees by the USAID [name of project] and they will therefore be covered by grantees. All amounts should be in USD and without decimal places.

(Maximum one page).

- b. Complete the table below by providing the details of estimated costs by milestones and by funding sources. The Table is available in MS Excel format at <http://xxx.com>. Data should be entered only in white cells. The shaded cells contain formulas and should not be changed.

Budget Item / Milestone	Description of Costs	Total Grant Activity Cost (A+B+C)	(A) Requested from Project		(B) Applicant's Contribution		(C) Third Party Contribution to Applicant		Name of Third Party/ies Contributing Funds
		USD	USD	%	USD	%	USD	%	
[Name 1]		-		0%		0%		0%	
[Name 2]		-		0%		0%		0%	
[Name 3]		-		0%		0%		0%	
[Name 4]		-		0%		0%		0%	

Etc.		-		0%		0%		0%	
		-		0%		0%		0%	
<b>Project Total:</b>		-	-	0%	-	0%	-	0%	-

<b>(A+B+C) Total Grant Activity Costs (USD)</b>	-	<b>0%</b>
<b>(A) Requested from USAID [project name] (USD)</b>	-	<b>0%</b>
<b>(B+C) Cost Share (USD)</b>		<b>0%</b>
(B) Applicant's Contribution (USD)	-	0%
Financial		0%
In-kind		0%
<b>(C) Third-party Contribution to Applicant (USD)</b>	-	<b>0%</b>
Financial		0%
In-kind		0%

Name and Signature of the Organization's Authorized Representative:	Date of Submission of Grant Concept Paper:
Name:	
Title:	(dd/mm/yyyy)
Full Legal Name of the Organization:	
Signature:	



## Appendix 2: GRANTS APPLICATION TEMPLATE

Grant Application (For Standard and FAA Grants)

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

Address of organization: \_\_\_\_\_

Name of contact person: \_\_\_\_\_

Telephone/Fax number: \_\_\_\_\_

E-mail: \_\_\_\_\_

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

[Name], Grants Manager

USAID Name of Project

Address

Subject: Grant Application

With this letter and attachments, \_\_\_\_\_ [insert Organization's Name] is applying for a grant from the USAID [name of project]. We are requesting a grant to: [insert one sentence description of activity to be funded by grant].

The total value of our grant request from the USAID [name of project] is USD \_\_\_\_\_, or \_\_\_\_\_% of the total cost of grant activity. The costs of grant activity to be shared by our organization amount to USD \_\_\_\_\_, or \_\_\_\_\_% of the total cost of grant activity, consisting of \_\_\_\_\_ USD (\_\_\_\_ %) financial contribution and \_\_\_\_\_ USD (\_\_\_\_ %) in-kind contribution.

We are applying for [mark the relevant field]:

Standard Grant. Standard grant provides funding to Recipient periodically, for reimbursement of costs generated during the period. USAID [name of project] Standard Grants are limited to \$150,000 (or according to the specifics of the project).

Fixed Amount Awards

Fixed Amount Awards provides a fixed amount of funding as Recipient achieves each part of a fixed set of project milestones/benchmarks. USAID [name of project] For Fixed Amount Awards are limited to \$150,000 (or according to the specifics of the project).and up to three years duration.

In-kind Grant. Grant funding is used to procure tangible assets for Recipient. USAID [name of project] in-kind grant is limited to \$TBD and grant award duration is to be determined, but should not exceed [include date].

The estimated start date for proposed grant activity: \_\_\_\_\_[dd/mm/yyyy].

The estimated end date for proposed grant activity: \_\_\_\_\_[dd/mm/yyyy].



This application consists of the following materials:

Attachment 1 Technical Proposal

Annex A. Grant Activity Implementation Plan

Annex B. Grant Activity Monitoring and Evaluation Plan (if applying for Standard Grant)

Annex C. Information of Previous Assistance Awards/Contracts

Attachment 2 Budget and Budget Notes

Annex D. Supporting Data for Cost Estimates

Attachment 3 Information about Applicant

Attachment 4 Certifications and Assurances from Applicant

Annex E. Documents Demonstrating Applicant’s Eligibility and Capabilities

Annex F. Environmental Self-Assessment Form

Annex G. Survey on Ensuring Equal Opportunities to Applicants (optional, upon Applicant’s Request)

Sincerely,

\_\_\_\_\_ [Name of the Applicant’s Authorized Representative]  
 \_\_\_\_\_ [Title of the Applicant’s Authorized Representative]  
 \_\_\_\_\_ [Full Legal Name of the Organization]  
 \_\_\_\_\_ [Signature of the Applicant’s Authorized Representative]  
 \_\_\_\_\_ [Date of Submission of Grant Application]

## Attachment I: Technical Proposal

SUMMARY SHEET								
<i>[This sheet must not exceed one page. If it contains two pages, only the first page will be read]</i>								
Title of Grant Activity:	<i>[Maximum one line]</i>							
Location(s) of Implementation:	<i>[Indicate the geographic areas where the project activities will be implemented and areas that will benefit from project activities. Provide the names of beneficiary municipalities/cities or regions.]</i>							
Costs of Grant Activity:								
(A+B) Total Costs USD	(A) Requested from [Project name]		(B) Cost Share (Applicants or Third Party Cash or In-kind Contribution)					
	USD	%	Total (USD)	%	Cash USD	%	In-Kind USD	%

<b>Duration of Grant Activity:</b>	_____ months Estimated Start Date: _____ Estimated End Date: _____							
<b>Objectives of Grant Activity:</b>	<i>[General and specific objectives]</i>							
<b>Partners:</b>	<i>[Organizations responsible for carrying out the proposed activities together with Applicant, in the manner and scope defined in this application]</i>							
<b>Target Group(s):</b>	<i>[Groups/entities that will be directly positively affected by the grant activity at the project purpose/general objectives level]</i>							
<b>Final Beneficiaries:</b>	<i>[Organization/persons who will benefit from the grant activity in the long term at the level of the society or sector at large]</i>							
<b>Expected Results:</b>	<i>[Indicate the main results of grant activity and key verifiable indicators of their achievement (outcome or impact indicators), along with their targets.]</i>							
<b>Main Activities/ Milestones</b>	<i>[List the main activities if applying for Standard or In-kind grant, and milestones if applying for Fixed Amount Awards]</i>							

1. **BACKGROUND/STATEMENT OF NEED [maximum 1 page]**

- Provide a detailed presentation and analysis of the problems and their interrelation at all levels.
- Provide a detailed description of the target groups and final beneficiaries, and their estimated number.
- Clearly identify the specific problems to be addressed by the grant activity, as well as the perceived needs and constraints of the target group(s).
- Demonstrate the relevance of the grant activity to the needs and constraints of the target areas in general and to the target groups/final beneficiaries, and how the grant activity will provide the desired solutions, in particular for the target beneficiaries. Use evidence and data to support your justification.
- Demonstrate the relevance of the grant activity to the objectives and priorities of the USAID [name of project].

**2. GOALS, OBJECTIVES AND GEOGRAPHIC FOCUS OF GRANT ACTIVITY [max 1 page]**

- Describe the overall objective(s) to which the proposed grant activity aims to contribute.
- Describe the specific objective(s) that the proposed grant activity aims to achieve. Specific objectives should be “SMART” (specific, measurable, achievable, realistic and time-bound).
- State where the grant activity will be implemented (identify geographic areas, location/s, municipalities/cities). Organization must demonstrate its ability to effectively implement services in that target area (e.g. is already working in that area or has strong relationships and can quickly expand services in that area). Applicant must be able to demonstrate “additionality” of the proposed grant activity, which is defined as a rapid scale-up or expansion of an existing program that will require minimal overhead and operational costs.

**3. EXPECTED RESULTS AND TECHNICAL STRATEGIES [max 3 pages]**

**3.1. Expected Results**

- Indicate how the proposed grant activity will improve the situation of target groups/beneficiaries and technical and management capabilities of target groups and/or local partners, where applicable. Provide link to goals and objectives defined under section 2 above.
- Identify verifiable indicators of achievement of these results and their estimated targets. As minimum, provide the data for the four USAID [name of project] key indicators listed below in order to illustrate how the proposed activity will

contribute to the main USAID [name of project] targets. Add additional indicators as necessary. Use quantitative indicators wherever possible.

### **3.2. Methodology**

- Describe the methods of implementation of the proposed activities and reasons for the proposed methodology.
- If the grant activity is the prolongation of a previous action, explain how it is intended to build on results from the previous action.
- If the grant activity is part of a larger program, explain how it fits or is coordinated with this program. Identify potential synergies with any other current or planned future initiatives, in particular those funded by the USAID.
- Describe the stakeholders' attitude to the proposed grant activity in general, and to the specific activities in particular.
- If the grant activity will involve investing in new technologies, describe the type of technology and explain how this will benefit the sector as a whole.
- Explain what environmental impacts (if any) will the proposed grant activity have and how will this impact be monitored and addressed.
- If the grant activity is expected to create market distortion, explain how this distortion will be mitigated and provide the relevant market distortion mitigation activities in Implementation Plan.
- Explain how the women and youth will directly benefit from the grant activity (if so) and what impact (if any) will the grant activity have on gender equity and equality and the position of youth.

### **3.3. Beneficiaries**

- Indicate who will be the final beneficiaries of grant activity and provide their estimated number(s), if possible by year of implementation of grant activity.
- Where applicable, provide the gender disaggregated data on beneficiaries, and indicate the number(s) of youth that will benefit from the grant activity, if possible by year of implementation of grant activity.

### **3.4. Sustainability**

- Describe the main preconditions and assumptions for grant activity, during and after the implementation stage.
- Identify the main risks associated with proposed grant activity, mitigation strategy and possible contingency plans. A sound risk analysis should address a range of relevant risk types, such as physical, environmental, political, economic and social risks.

- Explain how sustainability will be established after completion of grant activity, i.e. how the benefits will be produced by grant activity after external funding has ended. This may include specific measures and strategies built into the grant activity, such as institutionalization of activity results, policy support, follow-up activities, ownership by target groups/beneficiaries etc. The following types of sustainability may be addressed:
- Economic/financial sustainability (ensuring acceptable level of financial and economic return; ensuring financing for follow-up activities and future operating and/or maintenance costs etc.);
- Institutional-level sustainability (ensuring institutional and management support to activities and operations after external funding has ended, “local ownership” of outputs and results etc.);
- Policy-level sustainability (institutionalization of policy initiatives and outcomes);
- Environmental sustainability (what environmental implications will the grant activity have and how will potential negative impacts on the environment be avoided or mitigated).

**4 IMPLEMENTATION PLAN / MILESTONES [maximum 2 page]**

- State when the grant activity will be implemented (provide the anticipated start and finish dates).
- Describe in details specific activities that will be undertaken to produce the expected results, also describing activities to be implemented by target population or project partners, justifying the choice of activities, indicating their sequence and interrelation, and specifying where applicable the roles of each partner.
- For Fixed Amount Awards: Provide the list of grant activity milestones using the table below. Milestones are for a verifiable product, task, deliverable or goal of the Applicant to be accomplished. For Fixed Amount Awards, budget is produced by milestones and fund disbursement is made based on verification of milestone completion. Grant activities will be monitored and evaluated against these milestones.

Milestone Name	Milestone Verification	Expected Time of Completion
[Name of Milestone 1]	How will the Recipient document the completion of the product, task, deliverable, or goal?	
[Name of Milestone		

1]		
Etc.		

- Provide the detailed Implementation Plan using the provided format and guidelines in Annex A.

### 5. MONITORING AND EVALUATION [For Standard Grants only]

- Provide a narrative description of how the Organization will use monitoring data to guide programming decisions and interventions.
- Provide the detailed information about activities' performance monitoring in Annex B, using the provided format and guidelines.

### 6. COORDINATION AND COLLABORATION [maximum 1 page]

- Describe roles and involvement of various actors and stakeholders in grant activity, including local authorities, target groups and partners, and explain why these roles have been assigned to them.
- Indicate how the grant activity will be coordinated with other relevant projects in the target area.
- Describe how the grant activity will be integrated into other projects/services your Organization already offers.

### 7. MANAGEMENT PLAN [maximum 1 page]

- Describe how the project will be managed. Describe systems that exist or will be put in place to enable Organization to effectively manage the grant activity.
- If applying for Standard Grant, describe the composition and organizational structure of the proposed project team, and titles, roles and responsibilities of key personnel. Provide the CVs of up to three key personnel in annex, including the Project Manager. CVs should not exceed one page each.
- Include information on technical and managerial experience of the proposed project manager as well as any other technical personnel. Experienced, qualified personnel in relevant disciplines and areas should be provided for project management and staff.
- Indicate who will liaise with USAID [name of project].

### 8. ORGANIZATIONAL CAPACITY [maximum 1 page]

- Provide a statement of your corporate capabilities. This should be a one-paragraph summary of your organization's key qualifications and capabilities,

along with a value proposition for the proposed grant activity. It should indicate who your organization is and what it does, and what a client can expect from your organization.

- Provide a brief description of your present and ongoing actions/projects that have a direct relationship to the proposed grant activity and the actions/projects that demonstrate past experience in implementing similar programs. Describe your Organization's relationship with the target population and demonstrate commitment to working closely with the target population. If applicable, describe relevant collaborative efforts your organization has undertaken jointly or in coordination with other institutions.
- If your organization is a new one, describe the past experience and efforts that resulted in its formation. Please also provide a concise summary of the positive impact that resulted from this past experience.
- Applicants may also provide a list/brief description of any publications or reports that demonstrate any special qualification and experience that your organization has, related directly to the proposed activities (do not attach the publications or reports).
- Provide brief information on up to three (preferably similar) actions/projects managed by your organization for which your organization has received assistance awards or contracts over the past three years in Annex B.