



USAID | UKRAINE

FROM THE AMERICAN PEOPLE

Issue Date: November 25, 2024

Deadline for Questions: December 16, 2024

Closing Date: January 15, 2025

Closing Time: 3:00 p.m. local Kyiv time

Subject: Notice of Funding Opportunity No. 72012125RFA00002/
Initial Announcement

Program Title: Ukraine Mental Health Initiative for National Development Activity

Federal Assistance Listing Number: 98.001

Greetings,

The United States Agency for International Development (USAID) is seeking applications for a cooperative agreement from qualified entities to implement the Ukraine Mental Health Initiative for National Development (U-MIND) activity. Eligibility for this award is not restricted.

USAID intends to make an award to the applicant(s) who best meets the objectives of this funding opportunity based on the merit review criteria described in this Notice of Funding Opportunity (NOFO), subject to a risk assessment. Eligible parties interested in submitting a concept paper are encouraged to read this NOFO thoroughly to understand the type of program sought, concept paper submission requirements, and selection process.

This funding opportunity will utilize a multi-tiered review process under USAID Automated Directive System (ADS) Chapter 303, Section 303.3.6.1.c. The evaluation will occur in the following phases:

1. **Phase 1:** Applicants will submit an initial concept paper pursuant to Section D of this NOFO. Based on USAID's evaluation and in accordance with the merit review criteria set forth herein, the applicant(s) whose initial concept paper best meets the objectives of this funding opportunity will be requested to submit a full application.
2. **Phase 2:** The Merit Review Committee will transmit a second-level solicitation to the selected applicant(s), as noted above. Upon receipt of the full application(s), the Merit

Review Committee will conduct a review thereof, using more specific merit review criteria.

Additional details regarding the review process are provided in Section D of this NOFO.

To be eligible for award, the applicant must provide all information as required in this NOFO and meet eligibility standards in Section B of this NOFO. This funding opportunity is posted on www.grants.gov and may be amended. It is the responsibility of the applicant to regularly check the website to ensure they have the latest information pertaining to this NOFO and to ensure that it has been downloaded from the internet in its entirety. USAID bears no responsibility for data errors resulting from transmission or conversion process. If you have difficulty registering on www.grants.gov or accessing the NOFO, please contact the Grants.gov Support Center at 1-800-518-4726 or via email at support@grants.gov for technical assistance or if you need assistive technology and are unable to access any material on this site.

Unless an exception in 2 CFR 25.110 applies, applicants must comply with 2 CFR 25 requirements to obtain a Unique Entity Identifier (UEI) and register in the System for Award Management (SAM.gov), as applicable. See Section E, Submission Requirements and Deadlines, for more information. The registration process may take many weeks to complete. Therefore, applicants are encouraged to begin registration early.

Please send any questions to the point(s) of contact identified in Section A.4. The deadline for questions is shown above. Responses to questions received prior to the deadline will be furnished to all potential applicants through an amendment to this notice posted to www.grants.gov.

Issuance of this NOFO does not constitute an award commitment on the part of the Government nor does it commit the Government to pay for any costs incurred in preparation or submission of comments/suggestions or a concept paper. Concept papers are submitted at the risk of the applicant. All preparation and submission costs are at the applicant's expense.

Thank you for your interest in USAID/Ukraine programming.

Sincerely,

/s/
Jessica R. Faber
Agreement Officer

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SECTION A: BASIC INFORMATION

1. Executive Summary

The United States Agency for International Development (USAID) Ukraine's Office of Health (OH) proposes a cooperative agreement award entitled "Ukraine Mental Health Initiative for National Development" (U-MIND). The primary goal of the Ukraine Mental Health Initiative for National Development (U-MIND) activity is to establish a comprehensive, evidence-informed, inclusive mental health system that addresses immediate, medium and long term needs, contributes to the wellbeing of all Ukrainians and enhances their ability to participate in Ukraine's economic recovery. By promoting mental wellness among Ukrainians, U-MIND seeks to enhance resilience, social cohesion, and economic productivity, thus fostering sustainable economic development and growth in Ukraine. The Activity will respond to immediate and long-term systems strengthening. Implementation should focus on effectiveness, accessibility, scalability, adaptiveness, and cultural fit, in order to respond to the rapidly evolving mental health landscape.

2. Estimate of Funds Available and Number of Awards Contemplated

USAID intends to award one Cooperative Agreement pursuant to this NOFO.

Subject to funding availability and at the discretion of the Agency, USAID intends to provide up to \$50,000,000 in total USAID funding over a five-year period.

3. Start Date and Period of Performance for Federal Awards

The anticipated period of performance is five years. The estimated start date will be on or around March 31, 2025.

4. Agency Point of Contact

The Agreement Officer is:

Jessica R. Faber
USAID/Ukraine
kyivrcohealth@usaid.gov

For information on this NOFO, direct all correspondence to kyivrcohealth@usaid.gov. All contact information provided herein is for informational purposes only. The NOFO itself and any subsequent amendments can be found at www.grants.gov, and all concept papers must be submitted according to the instructions contained in this NOFO.

In order to maintain a fair and transparent funding opportunity, USAID maintains strict guidelines regarding those individuals within USAID that may be contacted regarding concept

papers or questions about the opportunity. Applicants may only contact USAID via the email address provided in this NOFO. Failure to comply with the USAID points of contact guidance mandated herein may result in disqualification.

5. Acquisition and Assistance Ombudsman

The A&A Ombudsman helps ensure equitable treatment of all parties who participate in USAID's acquisition and assistance process. The A&A Ombudsman serves as a resource for all organizations who are doing or wish to do business with USAID. Please visit this page for additional information:

<https://www.usaid.gov/work-usaid/acquisition-assistance-ombudsman>.

The A&A Ombudsman may be contacted via: Ombudsman@usaid.gov

6. Authorized Geographic Code

The geographic code for the procurement of commodities and services under this program is 935 (any area or country including the cooperating country, but excluding foreign policy restricted countries). Except as may be specifically approved in advance by the Agreement Officer, all commodities and services that will be reimbursed by USAID under this award must be from the authorized geographic code specified in this NOFO, and must meet the source and nationality requirements set forth in 22 CFR 228.

[END OF SECTION A]

SECTION B: ELIGIBILITY

1. Eligible Applicants

Eligibility for this NOFO is not restricted, except that individuals and government entities are ineligible.

Faith-based organizations are eligible to apply for federal financial assistance on the same basis as any other organization and are subject to the protections and requirements of Federal law. Additionally, USAID welcomes concept papers from organizations that have not previously received financial assistance from USAID.

Interested and eligible applicant organizations may submit no more than one concept paper under this NOFO.

Applicants must have established financial management, monitoring and evaluation processes, internal control systems, and policies and procedures that comply with established U.S. Government standards, laws and regulations. In order for an award to be made the AO must make a positive risk assessment pursuant to ADS 303.3.9. This means that the applicant must possess or have the ability to obtain the necessary management and technical competence to plan and carry out the assistance program to be funded. The applicant must agree to practice mutually agreed-upon methods of accountability for funds and other assets provided or funded by USAID.

In the absence of a positive risk assessment, an award cannot ordinarily be made. However, in rare cases, an award can be made with “Specific Conditions” (e.g., additional non-standard award requirements designed to mitigate the risk presented to USAID of making an award to an NGO for which a positive risk assessment cannot be made), but only where it appears likely that the applicant can correct the deficiency in a reasonable period.

2. Cost Sharing

Cost Sharing is not required for this activity.

3. Exclusive Commitments

USAID/Ukraine discourages any applicant from requiring exclusive commitments by local organizations to participate as part of the consortium or sub award. Local organizations participating in a consortium may elect to participate in another consortium under a different application.

[END OF SECTION B]

SECTION C: PROGRAM DESCRIPTION

USAID/Ukraine plans to provide up to \$50 million, subject to availability of funding, over a five-year period to support U-MIND. This is a new activity. This funding opportunity is authorized under the Foreign Assistance Act (FAA) of 1961, as amended. The resulting award will be subject to 2 CFR 200 – Uniform Administrative Requirements, Cost Principles, and Audit Requirements for Federal Awards, and USAID’s supplement, 2 CFR 700, as well as the additional requirements found in Section H.

1. U-MIND GOALS AND OBJECTIVES

The primary goal of the Ukraine Mental Health Initiative for National Development (U-MIND) activity is to establish a comprehensive, evidence-informed, inclusive mental health system that addresses immediate, medium and long term needs, contributes to the wellbeing of all Ukrainians and enhances their ability to participate in Ukraine’s economic recovery. By promoting mental wellness among Ukrainians, U-MIND seeks to enhance resilience, social cohesion, and economic productivity, thus fostering sustainable economic development and growth in Ukraine. The Activity will respond to immediate and long-term systems strengthening. Implementation should focus on effectiveness, accessibility, scalability, adaptiveness, and cultural fit, in order to respond to the rapidly evolving mental health landscape.

This Activity has four main objectives: The successful Applicant will work to achieve this activity’s goal by focusing on four objectives:

- Objective 1: Increase availability of and access to quality mental health care services for all Ukrainians
- Objective 2: Enhance the competencies and professionalization of the mental health workforce to deliver high-quality services
- Objective 3: Improve the enabling environment via strengthened policies, strategies and regulatory frameworks related to mental health services and workforce
- Objective 4: Contribute to the evidence base regarding effective mental health interventions and implementation approaches in Ukraine.

2. PROGRAM DESCRIPTION

Mental health in Ukraine. Amid Russia’s full-scale invasion, the Ukrainian people are facing pressing mental health needs. A January 2024 survey found that 77 percent of Ukrainians reported stress or severe nervousness recently.¹ Another study found that 44 to 48 percent reported moderate to severe anxiety and 32 to 39 percent reported PTSD symptoms, with Internally Displaced Persons (IDPs) reporting worse outcomes than those who had not been

¹ Gradus. (March 2024). [Mental health and attitudes of Ukrainians towards psychological assistance.](#)

displaced.² An audit of mental health needs conducted in 2022³ projected that 40 to 50 percent of Ukraine’s population (up to 18 million people) will need psychological support of varying intensity, including internally displaced persons (IDPs), veterans, first responders, health workers, unemployed, children, survivors of captivity, and survivors of conflict-related sexual violence. The World Health Organization estimates that 22 percent of individuals impacted by conflict experience a mental health disorder (depression, anxiety, trauma-disorders, bipolar disorder, schizophrenia).⁴ For Ukraine, that is equivalent to approximately 9.6 million people.⁵ Rates are anticipated to be higher among military veteran populations, further complicated by high rates of traumatic brain injuries.

Ukraine’s mental health system is struggling to scale up quality mental health treatment to meet demands. It bears the legacy of Soviet-era approaches and past human rights abuses.^{6 7} Although Ukraine took steps towards system reforms prior to the war, the mental health system remains highly centralized.⁸ The current system relies on inpatient psychiatric hospitals with limited community-level access points (such as community mental health providers, mental health services within the primary healthcare system, or outpatient care centers within secondary care centers/general hospitals) and an extremely weak referral system between levels of care. There is an over-emphasis on long-term hospitalization—nearly 90 percent of the government’s budget for mental health is spent on inpatient care.⁹ A continuum of care, including community-based and outpatient services, was virtually non-existent before the war and is still very nascent.¹⁰

Recent efforts are spurring change—reform to the Public Medical Guarantee system (where certain primary care level providers can be reimbursed for some mental health services) is spurring unprecedented growth of primary healthcare providers’ completion of WHO’s mhGAP training. Another major shift is the expansion of community mental health teams—multidisciplinary mobile teams who treat severe to moderate disorders at the community level. However, an overall mismatch in the mental health care workforce persists—Ukraine has a relatively high number of psychiatrists per capita but very few non-medical mental health providers (social workers, psychologists, counselors, psychotherapists, etc). There is no system of licensure other than for psychiatrists working at public hospitals. Furthermore, both the medical and non-medical mental health workforce tend to be concentrated in urban areas.

Public perceptions include viewing psychiatric care as low-quality or ineffective; with the majority seeing psychiatric hospitals as prison-like. High levels of stigma include concerns about

² Lushchak, O., Velykodna, M., Bolman, S., Strilbytska, O., Berezovskyi, V., & Storey, K. B. (2024). [Prevalence of stress, anxiety, and symptoms of post-traumatic stress disorder among Ukrainians after the first year of Russian invasion](#): a nationwide cross-sectional study. *The Lancet Regional Health—Europe*, 36.

³ Audit conducted by BarrierFree and CIVITTA NGOs, with the financial support of USAID Public Health System Recovery & Resilience activity.

⁴ Charlson, F., van Ommeren, M., Flaxman, A., Cornett, J., Whiteford, H., & Saxena, S. (2019). [New WHO prevalence estimates of mental disorders in conflict settings: a systematic review and meta-analysis](#). *The Lancet*, 394(10194), 240-248.

⁵ World Health Organization Regional Office for Europe. (2023). [Leveraging health financing to strengthen mental health services in Ukraine](#).

⁶ World Bank Group. (2017). *Mental Health in Transition: Assessment and guidance for strengthening integration of mental health into primary health care and community-based service platforms in Ukraine*. [World Bank](#)

⁷ University of Washington Global Mental Health (July 2020). [Ukraine WHO Special Initiative on Mental Health Situation Assessment](#).

⁸ World Bank Group (2017). *Mental health in transition*.

⁹ World Bank Group. (2017).

¹⁰ University of Washington Global Mental Health (July 2020).

being excluded from employment opportunities if labeled as a mentally ill person.¹¹ There is also a market of private mental health practice, but the data on the private providers is limited.

Economic impact of mental health. There is a complex relationship between an individual’s mental health and economic wellbeing. Globally, common mental health disorders are associated with direct and indirect costs, including lost productivity and labor force participation; with depression and anxiety alone costing an estimated US \$1 trillion per year.¹² Ramifications of mental health conditions include increased physical health costs (chronic mental health disorders are linked with cardiovascular disease, stroke, type II diabetes, and some cancers), decreased productivity and labor participation (primarily through absenteeism and presenteeism), and increased social costs (family members investing time and financial resources for care, children negatively impacted on multiple levels, including socially and educationally, by parents’ poor mental health).¹³

The causal relationship between mental and economic wellbeing is multi-directional or “intertwined.”¹⁴ Lower economic status and unemployment are linked to poorer mental health outcomes.¹⁵ Various explanations include greater risk factors (social exclusion) and lower protective factors (such as education).¹⁶ Scaled-up treatment for common mental disorders has a positive impact on economic productivity gains. Research shows a significant and strong pathway between addressing mental health issues and increased productivity, reduced job absenteeism, and lower healthcare costs compared to those associated with untreated mental health conditions.¹⁷ ¹⁸ Globally, the return on investment (ROI) is nearly triple the economic benefits for every dollar spent on treating anxiety and mental health (2.3-3.0 to 1).¹⁹ The value is even greater for middle income countries, with an ROI of 5.4-5.7 in economic benefits for every \$1 spent on treatment.²⁰

Common mental health disorders were already taking an economic toll in Ukraine even before the full-scale Russian invasion in 2022. Mental, neurological and substance use disorders were the second-leading cause of disability in Ukraine, after cardiovascular diseases, with associated loss of economic productivity and need for increased care.²¹ Ukraine had the highest disability burden due to depression in the entire region.²² Exposure to multiple Adverse Childhood Experiences (ACEs—such as exposure to violence, household mental illness or substance abuse,

¹¹ Quirke, E., Klymchuk, V., Suvalo, O., Bakolis, I., & Thornicroft, G. (2021). Mental health stigma in Ukraine: cross-sectional survey. *Global mental health* (Cambridge, England), 8, e11.

¹² Chisholm, D., Sweeny, K., Sheehan, P., Rasmussen, B., Smit, F., Cuijpers, P., & Saxena, S. (2016). [Scaling-up treatment of depression and anxiety: a global return on investment analysis](#). *The Lancet Psychiatry*, 3(5), 415-424.

¹³ *Ibid.*

¹⁴ Knapp, M., & Wong, G. (2020). [Economics and mental health: the current scenario](#). *World psychiatry : official journal of the World Psychiatric Association (WPA)*, 19(1), 3–14.

¹⁵ Ridley, M., Rao, G., Schilbach, F., & Patel, V. (2020). [Poverty, depression, and anxiety: Causal evidence and mechanisms](#). *Science (New York, N.Y.)*, 370(6522),

¹⁶ Knapp & Wong (2020).

¹⁷ Alonso, J., Petukhova, M., Vilagut, G., Chatterji, S., Heeringa, S., Üstün, T. B., ... & Kessler, R. C. (2011). [Days out of role due to common physical and mental conditions: results from the WHO World Mental Health surveys](#). *Molecular psychiatry*, 16(12), 1234-1246.

¹⁸ Lund, C., Orkin, K., Witte, M., Davies, T., Haushofer, J., Bass, J., & Patel, V. (2024). [Effects of mental health interventions on labor market outcomes in low- and middle-income countries](#). National Bureau of Economic Research.

¹⁹ Arias, D., Saxena, S., & Verguet, S. (2022). [Quantifying the global burden of mental disorders and their economic value](#). *EClinicalMedicine*, 54.

²⁰ *Ibid.*

²¹ World Bank Group. (2017). Mental Health in Transition.

²² *Ibid.*

education disruption) is generally acknowledged to have lifelong, negative impacts with serious cost implications. ACEs in Ukraine (using 2019 data) were estimated to cost the country an estimated US\$9.3 billion annually, or six percent of the GDP.²³ PTSD is known to negatively impact labor force participation and productivity (due to increased absenteeism and presenteeism).²⁴ About 25 percent of Ukrainian veterans from Russia's 2014 invasion had PTSD, with impacts on family and social functioning (interpersonal difficulties, increased alcohol/substance use, employment concerns, health complaints).²⁵ Indeed, 28 percent of veterans who were employed before their military service were subsequently unemployed following an average of 18 months of service in the Anti-Terrorist Operation of 2014 (Russia's 2014 invasion).²⁶ While published peer reviewed research is limited since the beginning of the full-scale war, it is safe to assume that the increasing rate of mental health disorders related to the war is likewise driving up economic costs. Ukraine's overall workforce pool is already strained, and so a decrease of worker availability and/or productivity due to mental health concerns would have serious implications for the country's recovery. In the private sector, some Ukrainian businesses are recognizing the needs and benefits of supporting the mental health needs of their workers and are exploring ways to partner with the mental health sector or provide MHPSS services.²⁷

ACTIVITY DESCRIPTION

Problem Statement. Ukraine's current mental health system is unable to meet treatment needs on the scale needed to prevent further deleterious economic impacts.²⁸ With nearly three years of war, the mental health system has been completely strained due to soaring needs and increased demands.²⁹

Ukraine's mental health system faces numerous issues that impede its ability to provide comprehensive, holistic, integrated, and effective (evidence-informed) mental health support to its population. There are three main challenges:

- Lack of access and availability of care through holistic, community-based services.
- Absence of professionalization and workforce capacity within the mental health sector.
- Weak systems, regulations, policies and relevant legislation to create an enabling environment for mental health service provision.

A holistic approach is essential to address these challenges, with consideration of how specific interventions will interact with each other and will explicitly fill critical gaps to ensure integration into the larger system that the GoU is currently building.

²³ Hughes, K., Ford, K., Bellis, M. A., Glendinning, F., Harrison, E., & Passmore, J. (2021). [Health and financial costs of adverse childhood experiences in 28 European countries: a systematic review and meta-analysis](#). *The Lancet Public Health*, 6(11), e848-e857.

²⁴ Alonso et al (2011).

²⁵ Omolovska, I., Botswick, M., Grant, L et al. (2023). Scars on their souls: PTSD and veterans of Ukraine. [Globsec](#).

²⁶ World Bank Group (May 2017). Socio-economic impacts of internal displacement and veteran return: Summary report. [World Bank](#).

²⁷ Focus group discussion with private sector stakeholders and USAID. US Embassy in Kyiv, April 19, 2024.

²⁸ Seleznova, V., Pinchuk, I., Feldman, I., Virchenko, V., Wang, B., & Skokauskas, N. (2023). The battle for mental well-being in Ukraine: mental health crisis and economic aspects of mental health services in wartime. [International journal of mental health systems](#), 17(1), 28.

²⁹ 30% of displaced Ukrainians had sought some form of psychological support since 2022. International Federation of Red Cross and Red Crescent Societies. (April 2024). [A sense of 'futurelessness': new data shows severity of mental health challenges for people from Ukraine](#).

Ultimately, a robust Ukrainian mental health system will foster a healthier population and a healthier workforce to fuel the nation’s economic recovery. Pre-2022, it was estimated that every \$1 invested in scaled-up treatment of common mental disorders in Ukraine (depression, anxiety, PTSD, etc) would result in \$2 in restored productivity and added economic value.³⁰ When the benefits of improved physical health are also included, the ROI improves to \$4 for every \$1 invested in treatment of common mental disorders in Ukraine.³¹

Theory of Change. This Activity is expected to work on testing the following theory of change: ***IF** Ukraine builds a holistic mental health ecosystem that is accessible and available to Ukrainians in need of mental health and psychosocial support; and **IF** mental health is destigmatized and use of services is accepted across Ukrainian society; and **IF** the mental health workforce—from non-specialist to specialist providers—increases competencies and skills to provide high-quality, culturally-reflective, and evidence-informed services to diverse populations; and **IF** the policy and regulatory framework supports sustainable MHPSS mechanisms at all levels of care and across public, private, and civil society spheres, **THEN** the impact of mental health conditions at the individual, household, community and societal levels will be mitigated, enabling greater citizen engagement in social and economic recovery.*

This Activity has the potential to influence the future of Ukraine’s mental health systems through a timely and strategic intervention. The successful Applicant is expected to partner with GOU in supporting the establishment of a comprehensive and inclusive mental health ecosystem, building on the emerging strengths of Ukraine’s current system and ongoing reforms. This will increase the availability and accessibility of high quality services, reducing stigma so that Ukrainians seek services from well-trained, competent providers. An enhanced, transparent regulatory framework can increase public confidence in the mental health system and also foster ongoing monitoring, evaluation and learning regarding mental health outcomes. This collaborative effort will facilitate the restoration of mental and psychological well-being among citizens so they can actively participate in society and the workforce, contributing to the economic revitalization of the nation.

Priorities. U-MIND will operate in a highly dynamic environment that will require **adaptability** in program planning and implementation to address Ukraine’s changing context and needs. The activity shall balance response to short-term needs with long-term systems strengthening. U-MIND will be national in scope and be implemented at both national and sub-national (oblast, rayon, and community) levels. The Implementing Partner will collaborate with stakeholders to determine the geographic targeting throughout the life of the Activity. Applicants should consider the GOU’s evolving priorities and needs related to implementation of mental health reform and provision of MHPSS services, availability of state funding, and willingness of regions to support and contribute to lasting change in the MHPSS sector. As U-MIND’s overarching goal is to contribute to the economic recovery of Ukraine through improved mental health and wellbeing, Applicants are encouraged to propose approaches that link to citizens’ improved engagement and/or productivity in the economy or education system.

³⁰ World Bank Group, (2017). Mental health in transition.

³¹ *Ibid.*

The unprecedented focus and international investment in MHPSS in Ukraine creates great opportunities and challenges for coordination and collaboration. U-MIND will contribute to productive coordination by working with national and sub-national levels of the GOU, including but not limited to the NMHCC, MOH, MoSP, MoVA, etc, as well as coordination with the Mental Health and Psychosocial Support Technical Working Group. U-MIND will coordinate with USAID to best leverage evolving USG investments in Ukraine and optimize available resources where appropriate. This includes MHPSS, health and other sectors, including humanitarian assistance, economic strengthening, workforce development, veterans³² reintegration, and more. U-MIND will coordinate with other donors and stakeholders as well, to meet evolving needs. While this Activity invites innovation, the successful applicant is expected to build upon and integrate evidence-based approaches and implementation best practices into existing systems rather than creating new, isolated approaches and systems that may not be integrated or sustained after the life of the project.

RESULTS FRAMEWORK

U-MIND's overarching goal is to establish a comprehensive, evidence-informed, inclusive mental health system that addresses immediate, medium and long term needs, contributes to the wellbeing of all Ukrainians and enhances their ability to participate in Ukraine's economic recovery. The successful Applicant will work to achieve this activity's goal by focusing on four objectives:

- Objective 1: Increase availability of and access to quality mental health care services for all Ukrainians
- Objective 2: Enhance the competencies and professionalization of the mental health workforce to deliver high-quality services
- Objective 3: Improve the enabling environment via strengthened policies, strategies and regulatory frameworks related to mental health services and workforce
- Objective 4: Contribute to the evidence base regarding effective mental health interventions and implementation approaches in Ukraine.

Objective 1: Increase availability of and access to quality, community-level mental health care services for all Ukrainians

For this objective, Applicants shall propose approaches that support the scale-up of evidence-informed, community- and outpatient-level MHPSS services in Ukraine. The aim is to transition from urgent assistance to sustainable systems of care integrated with the GoU's overall MHPSS approach. This includes contributing to the expansion of a stepped care system involving multiple sectors (health, social services, veterans affairs, etc.)

Applicants should address facilitators and barriers to acceptability, availability and accessibility of community-level care. Stigma reduction remains an essential component. Stigma reduction will

³² Please note that USAID is not able to work directly with the Ministry of Defense. Veterans are defined as those fully discharged from military service, who are receiving services from public health facilities.

build on existing initiatives, including the First Lady’s “How Are U?” campaign. Stigma reduction efforts will target groups typically less likely to utilize services (such as men, veterans, rural residents, etc). U-MIND encourages partnership with societal resources Ukrainians typically rely on for support (such as faith leaders, primary health care providers, peer networks, youth leaders, etc). Applicants are encouraged to promote community-level access within a stepped care approach, increasing evidence-informed, culturally appropriate MHPSS services delivered by non-specialist and/or non-medical providers. The Applicant is encouraged to consider approaches with task-shifting from specialist to non-specialist care, as appropriate. Non-specialist care at the community level encouraged by U-MIND may include focused person-to-person and brief psychological interventions (for example, delivered by trained and supervised lay workers, peers, community health workers, etc) and/or primary-care level interventions and referrals. Targeted, appropriate use of specialist care at the community level encouraged by U-MIND may include counseling and psychotherapy for populations requiring more intensive care (for example, delivered by social workers, psychologists, psychotherapists, etc).

Within community-level approaches, Applicants are encouraged to consider: telehealth and/or innovative use of other digital solutions, particularly for hard-to-reach communities in frontline areas; evidence-informed, integrated interventions to address harmful alcohol/substance use; effective case management and referral systems; cross-sectoral linkages (such as social services, resilience centers, employment programs, veterans services, physical rehabilitation, educational institutions, etc); and engagement of MHPSS service users, persons with lived experience, families, and communities in all stages of service delivery. Innovative collaborations with private sector stakeholders are especially encouraged to understand labor force wellbeing needs, decrease stigma, increase access to MHPSS services in the workplace and/or in the community, and enhance productivity.

When considering priority populations for Objective 1, Applicants are encouraged to consider groups who have been most impacted by the war, including those in frontline communities. USAID expects Applicants to propose evidence-based analyses that guide priority population identification aligned with their proposed technical application. Special consideration should be given to subpopulations who require MHPSS services to maximize their participation in employment or other productive activities.

Measurable impact should be achieved at various levels (individual, family, community, organizational, etc). **Illustrative outcomes** may include, but are not limited to:

- Changed knowledge and attitudes regarding mental health and use of mental health services
- Barriers to care addressed/reduced (cost, geographic availability, inclusive access points, etc)
- Increased utilization of evidence-informed MHPSS services in community-based settings
- Use of healthy coping skills increased and severity of mental health symptoms reduced
- Improved daily functioning, including improved outcomes related to employment, economic wellbeing and/or education.

- Relevant standardized operating procedures developed and utilized, in line with Ukrainian and international standards.
- Effective referral pathways established, utilized, and reviewed/updated by multiple stakeholders.

Objective 2: Enhance the competencies and professionalization of the mental health workforce to deliver high-quality services

A skilled, competent, and multidisciplinary mental health workforce is essential for delivery of quality MHPSS services within a stepped care system. Workforce strengthening must balance the needs for immediate service delivery as well as longer-term systems strengthening. U-MIND will support the planning, expansion, and training of a multidisciplinary mental health workforce. This includes increasing skills of the existing mental health workforce, rapidly expanding the number of new providers, and improving education and training systems for the next generation of providers.

U-MIND's training and continuing education for existing providers will prioritize development of core competencies and use of evidence-informed approaches across sectors, as appropriate. Structured approaches for supportive and clinical supervision and competency based assessment are essential for both specialist and non-specialist providers. Humanitarian assistance workers or others experienced in providing MHPSS care or related services should be offered pathways to transition into the long-term MHPSS sector. Innovative bridging opportunities are encouraged to maximize Ukraine's existing human capital. Applicants should consider strategies to prevent and address burnout and vicarious trauma among the workforce.

For development of new providers, Applicants are encouraged to focus on cadres needed for community-level MHPSS interventions (such as non-specialist and/or non-medical providers), with an emphasis on task-shifting. Training for existing and new specialist service providers, whether through continuing education or formal education institutions, will be informed by international standards. This may require review, revision and standardization of certain formal education programs at the university or graduate levels, including incorporation of practicums, multi-disciplinary clinical training, and clinical supervision.

Standard qualifications and regulations for specialized cadres (such social workers, psychologists, etc) are needed in Ukraine; currently, certification/licensure of professions is weak or non-existent. U-MIND will collaborate with various GOU stakeholders (NMHCC, MoH, MoSP and others) as well as other key stakeholders in development of standards for training and education, certification/licensure, and ongoing practice (see also Objective 3). U-MIND will also collaborate with and strengthen professional associations to support workforce development, including through advocacy, standardization and promotion of ethical practice among their respective members. Sustaining the multisectoral mental health workforce will also include interventions to address burnout and vicarious trauma through prevention, recognition, and care, using strengths-based approaches.

U-MIND applicants should propose a focused workforce strengthening approach that maximizes limited project resources. This includes building upon and coordinating with existing and emerging workforce development efforts in cooperation with government and international stakeholders. Illustrative outcomes may include, but are not limited to:

- Increased number of multidisciplinary MHPSS providers utilizing evidence-informed interventions appropriate to their level of competency.
- Organizations utilizing structured supervision (clinical and supportive) and competency assessment systems.
- Mental health workforce cadres defined and standardized.
- Professional associations strengthened and engaged in workforce development and oversight.
- Mental health workforce accesses evidence-informed support for prevention and care of burnout and vicarious trauma.

Objective 3: Improve the enabling environment via strengthened policies, strategies and regulatory frameworks related to mental health services and workforce

U-MIND will support ongoing GOU developments in policy, legislation, and regulations related to mental health. This will support a robust, resilient policy framework that aligns with EU accession standards while remaining flexible to meet the evolving needs of its population.

Applicants should propose strategies to support rollout of national-level reforms down to the local level, such as the development of regional and local mental health action plans. This may include capacity building of selected ministries or GOU bodies to implement mental health reforms and coordinate and oversee ongoing service delivery. Approaches may include establishing and/or improving systems for data collection and data for decision-making, development of standard operating procedures, intra- and inter-ministerial coordination, regional collaboration and learning, and more. Development and/or strengthening of mechanisms for service users, community members and civil society to inform and shape policy are encouraged.

U-MIND will support development of legislation, policy and regulatory requirements related to certification and/or licensure of key cadres of mental health specialists (see Objective 2). Supporting consistent, transparent credentialing and licensing will help safeguard the public and align Ukraine with international and EU practices. U-MIND will support development of sustainable financing systems for community-based MHPSS services.

Recognizing that the NMHCC's Target Model 2.0 calls for the involvement of most ministries in mental health, Applicants are encouraged to choose enabling-environment issues that clearly link to Objective 1 and 2 interventions. Illustrative outcomes may include, but are not limited to:

- Increased GOU coordination, planning and oversight of MHPSS service provision at local, regional and national levels.
- Increased partnership and shared decision-making with service users, marginalized groups, civil society organizations, and other stakeholders.

- Systematic data collection utilized for decision-making on MHPSS strategies and resource allocation, including at local level.
- Policy and regulations established to professionalize and standardize specialist MH cadres
- Sustainable financing for community MHPSS services established, revised and/or expanded.
- Humanitarian coordination transitioned to sustainable, system-level partnerships and linkages across sectors.

Objective 4: Contribute to the evidence base regarding effective mental health interventions and implementation approaches in Ukraine.

U-MIND will generate evidence that informs MHPSS services in Ukraine and guides ongoing investments in MHPSS. U-MIND will prioritize participatory research as well as applied research on the implementation of evidence-informed interventions. Research may focus on Ukraine’s unique mental health challenges, including needs of veterans and their families, interventions’ impact on economic participation and productivity, needs of survivors of captivity, etc. Other evidence may be related to costing (actual and forecasted), with the aim of equipping regional and local governments to make planning and budgeting decisions regarding MHPSS. Participation of persons with lived experience, MHPSS service users, and other local stakeholders is encouraged. Research dissemination will include regional, national and international strategies.

Examples of illustrative outcomes may include, but are not limited to, one or more of the following:

- Evidence products exploring the intersection of mental health and productivity; intervention impact on economic participation and workforce retention.
- Evidence on implementation barriers and enablers to inform local, regional and national decision making.
- Research on uptake of MHPSS services among priority populations and the effectiveness of evidence-based interventions.
- Costing models for MHPSS services to inform resource allocation.
- Evidence products demonstrating return on investment, intervention impact on symptoms and economic productivity.
- Research on mental health workforce burnout and implementation effectiveness on burnout prevention and care strategies.

RELATIONSHIP TO USG STRATEGIES

Since February 2022, the United States Government (USG) has prioritized integrating mental health into its efforts to support the Ukrainian population and communities. This commitment extends across various governmental agencies to ensure that mental health and psychological support align with the overall mission strategy. Notably, the USG's largest combined mental health programming effort worldwide is currently underway in Ukraine. This effort contributes to the US goal of helping Ukraine win the peace.

The U-MIND activity will advance the overall goal of USAID Ukraine’s Country Development Cooperation Strategy 2019-2026, by contributing to an independent, democratic, prosperous, and healthy Ukraine united around core European values. Additionally, the activity is aligned with and will contribute to broader USAID and USG strategies.

USG Strategy	Alignment
USAID/Ukraine Country Development Cooperation Strategy (CDCS)	<ul style="list-style-type: none"> ● DO 1: Corruption Reduced in Target Sectors: IR 1.1 Increased health system transparency ● DO 2: Impact of Russia’s Aggression Mitigated: IR 2.1 Conditions Improved for Reintegration (by improving access to health services including mental health services for veterans and war-affected populations) ● DO 4: Inclusive, Sustainable, Market-Driven Economic Growth: IR 4.1 Strengthened SME competitiveness (by investing in human capital via mental health services)
US Embassy Ukraine’s Integrated Country Strategy (ICS)	<ul style="list-style-type: none"> ● Win the Peace, Mission Objective 2.3: Ukraine implements international best practices and continues decentralization while rebuilding social, physical, and critical infrastructure.
US Department of State’s EUR/ACE Ukraine Assistance Strategy	<ul style="list-style-type: none"> ● Objective 1: Enable Ukraine to win the war against Russia’s aggression: Assistance Objective 1.3 Enable the GOU to provide services to and govern its people ● Objective 2: Support Ukraine in its recovery from the war, and its Euro-Atlantic integration: Assistance Objective 2.3 Support macroeconomic stability and restoration of key government services
USAID’s E&E Bureau Strategic Framework (Engagement in Ukraine’s Recovery & Reconstruction)	<ul style="list-style-type: none"> ● #1: Immediate Economic Recovery and Sustainable, EU-Oriented Rebound ● #4: Improved Health Services advancing the dignity and wellbeing of every Ukrainian

By prioritizing mental health alongside other critical areas, USAID contributes to Ukraine's overall resilience and capacity to function as a self-reliant partner. This integrated approach not only addresses immediate challenges but also strengthens Ukraine's ability to navigate complex threats and emerge as a stable, prosperous nation aligned with European values and interests. Addressing mental health needs will reduce the disability burden and improve productivity and labor force participation over time.³³ Decentralizing mental health care away from psychiatric hospitals to high-quality community-based care can ultimately reduce human rights violations, increase transparency within the health system, and foster cost-effectiveness through improved outcomes for service users and their families.³⁴ Finally, U-MIND aligns with the principles and

³³ Chisholm et al, 2016.

³⁴Knapp, M., Beecham, J., McDaid, D., Matosevic, T., & Smith, M. (2011). The economic consequences of deinstitutionalisation of mental health services: lessons from a systematic review of European experience. *Health & social care in the community*, 19(2), 113-125.

programming priorities of the USAID Mental Health Position Paper and accompanying evidence briefs.³⁵

RELATIONSHIP TO GOVERNMENT OF UKRAINE STRATEGIES

The Ukrainian government had begun its commitment to mental health reform prior to the fullscale invasion; since February 2022, it has rapidly pursued changes necessary to create a person-centered, comprehensive mental health ecosystem.

In 2017, the Cabinet of Ministers ratified the “Concept on Development of Mental Health Care up to 2030,” which set out the initial path to transition away from Soviet-era care. It promoted a shift towards community-based services away from institutionalized psychiatric care, health workforce strengthening, and human rights. Mental health remained a lower priority, however, until the full-scale invasion. First Lady Olena Zelenska’s Initiative on Mental Health, launched in April 2022, demonstrates high political will to improve and de-stigmatize mental health care in Ukraine, allowing all citizens in need to access mental health support services. This Initiative garnered support from multiple donors and international organizations who understand that investments in strengthening and expanding mental health services and making them accessible for the people of Ukraine is essential for the country’s future. In May 2022, the Cabinet of Ministers (CabMin) created the National Mental Health Coordination Center (NMHCC), responsible for implementing the First Lady’s Initiative on Mental Health. The NMHCC enhances collaboration and streamline efforts across various government ministries and has designated 24 regional coordinators responsible for creating mental health infrastructure in their relevant regions through cooperation with regional authorities. In June 2022, the NMHCC, in collaboration with the Ministry of Health (MOH) and other partners, launched the All-Ukrainian Mental Health and Psychosocial Support Program called “How Are U?”, further emphasizing the government’s commitment to addressing mental health concerns. GOU priorities were further elaborated in the December 2022 “Ukrainian Prioritized Multisectoral Mental Health and Psychosocial Support Actions During and After the War: Operational Roadmap.” The All-Ukrainian Mental Health Program is also embedded in the 2022–2032 Ukrainian Healthcare System Post-War Recovery Plan, targeting Priority #4: to enhance healthcare services for war-affected populations. Guidance released in 2024 includes the [Target Model 2.0](#) and the National [Mental Health Action Plan for 2024-2026](#). Taken together, these policies demonstrate the GOU’s commitment to a holistic, comprehensive view of mental health throughout the lifespan and promoting prevention and care to all parts of society. They also outline expectations for the integration of MHPSS into all sectors and ministries, as well as close collaboration with civil society, private sector and international organizations. This demonstrates a transition from a reactive to a strategic approach (and from an institutionalization to a decentralized/outpatient focus) to tackle Ukraine’s increased mental health needs, further amplifying Ukraine’s commitment to mental health reform. Other legislation and policy related to mental health also remains in progress.

³⁵ U.S Agency for International Development (2024). [USAID Mental Health Position Paper](#).

Supported by the international donor and humanitarian community, the GOU has made progress rolling out reforms. The WHO mhGAP model for responding to mental health conditions at the primary care level is being rolled out across the country. Mental healthcare at the primary care level is now included in the GOU-funded package of the Program of Medical Guarantees. Providers must complete mhGAP training as part of contracting for the primary-level mental health package. Another major shift is the rapid expansion of community mobile teams to support de-institutionalization of individuals with severe mental illness. The multidisciplinary teams provide community-based care to those with moderate to severe mental health conditions.

Ukraine's acceptance as a candidate member of the European Union (EU) led to the GOU's commitment to align mental health development with EU standards by 2030 as well as with the WHO Mental Health Action Plan for 2013-2030. To do so, the GOU aims to establish an integrated, evidence-informed mental health system capable of functioning at all levels of care (specialized, secondary, primary and community levels) with individuals being at the center of the system. The GoU also aims to strengthen leadership and management in mental health systems, provide integrated medical and social support at the community level, improve the population's mental health, increase prevention efforts for mental health conditions, and strengthen information systems, data and research in mental health.³⁶ As part of its EU accession preparations, the Ministry of Health prioritized completing the primary self-assessment process for EU legislation and then implementing the provisions outlined in the Association Agreement with the EU. Nevertheless, Ukraine falls short of EU standards, particularly in mental health, where preventive measures, access to quality, affordable care, and successful societal reintegration post-recovery are emphasized. As Ukraine progresses in various assessment areas, including health system reform, healthcare infrastructure investment, workforce development, and aligning mental health practices with EU standards remain pivotal for its integration efforts.

ADAPTABILITY, SCALABILITY, AND SUSTAINABILITY

Adaptability: The progression of the war, fluctuating political circumstances in Ukraine and Europe, and the ever-evolving landscape of donor funding will require ongoing evaluation and adjustment to ensure optimal utilization of resources. A flexible approach should also allow for customization of initiatives to suit the specific context of the local area. Success of U-MIND hinges upon coherence combined with flexibility to cater to the diverse needs of vulnerable groups and local communities grappling with migration dynamics, limited service provision capacity, and various economic vulnerabilities. The program will engage closely with community members and stakeholders, to ensure that strategies are effective in addressing the dynamic and complex realities on the ground.

Scalability: Effective practices that can be utilized by a range of multidisciplinary providers and stakeholders are central to the U-MIND approach. Recognizing the importance of scalability,

³⁶ Concept of Transformation of Mental Health and Psychosocial Support System in Ukraine (in Ukrainian), BarrierFree NGO, Center of Economic Revival, MOH, 2023; Model of the System of Mental Health and Psychosocial Support in Ukraine - draft version for public discussion, 2023

U-MIND prioritizes interventions that have the potential to be expanded across different contexts in Ukraine by different actors.

Sustainability is a core aspect of USAID’s development policy and programming. Both USAID’s global and country-level strategies recognize the critical importance of emphasizing sustainability in development cooperation. Taking into account cultural norms and local capacities, U-MIND seeks to develop solutions that are not only impactful but also sustainable in the long term. Through strategic partnerships and knowledge sharing based on USAID’s locally-led development principles, U-MIND aims to maximize the reach and impact of interventions, ultimately contributing to lasting positive change on a broader scale.

U-MIND will achieve sustainability by building national, regional, and local capacity to implement and manage an inclusive mental health ecosystem. This includes the development of appropriate policies and regulatory frameworks, fundamental changes to the education and training of the mental health workforce, and maximizing financial investments through utilization of lower-intensity interventions. USAID invites applicants to propose approaches for integrating sustainability from the activity outset.

Additionally, empowering and involving persons who have or have had mental health experiences, caregivers, and service users in the decision-making process in line with USAID’s Inclusive Development, Gender, and localization-related policies and guidance will be essential to hearing, integrating, and addressing the needs of the entire population, ensuring their active participation in society and communities. Moreover, different contributors and stakeholders will be significantly strengthened to advocate for mental health development after USAID funding expires. The program will ensure that sustainability considerations are integrated into the technical approach and implementation, along with continued collaboration with the government of Ukraine's health system and coordination centers. This collaboration will lay the foundations and framework for mental health.

LOCALIZATION

U-MIND prioritizes the development of mental health within the local context of Ukraine, ensuring it reflects the circumstances and situations in which diverse populations live. Specifically incorporating elements of traditions, history, culture, and country context, U-MIND emphasizes the essential need for local and multidisciplinary contributions and collaboration in this program. This activity will be implemented with the active participation of regional and local authorities, NGOs, civil society organizations (CSOs), individuals with lived experiences, communities, and populations throughout Ukraine. Its aim is to continue to develop the capacity of Ukrainians to deliver, continuously improve and sustain quality mental health services. Integrating sustainability planning with these stakeholders throughout the life cycle of the activity will ensure that the activity will continue even after the completion of USAID funding. Planning should include processes that ensure ongoing leadership and funding, including, but not limited to the Government of Ukraine.

Localization includes tailoring mental health services to the unique needs and characteristics of the local population by using USAID’s principles of locally led development. This may include integrating considerations such as language barriers, socio-economic factors, geographical

challenges, unique needs of specific groups (e.g., youth, women, men, children, marginalized groups, etc.) and cultural sensitivities. Moreover, fostering partnerships with local stakeholders, including community leaders, healthcare providers, and grassroots organizations, can further enhance the localization efforts by promoting ownership and sustainability of mental health initiatives at the grassroots level.

Incorporating the importance of connection and understanding in mental health support, particularly in the context of culturally appropriate development, is crucial. Recognizing that mental health is deeply influenced by cultural norms, beliefs, and practices underscores the need for culturally sensitive approaches.³⁷ By acknowledging and respecting the cultural backgrounds of individuals, mental health interventions can foster trust, empathy, and effective communication, ultimately leading to better outcomes. Therefore, emphasizing the integration of cultural appreciation and understanding into mental health programs is essential for providing holistic and inclusive support to individuals and communities in Ukraine.

GENDER AND SOCIAL INCLUSION

The 2023 USAID/Ukraine Gender Equality and Social Inclusion (GESI) Analysis noted the impacts on mental health of displacement due to conflict, noting that this “affected the mental health of women more than men” and that internally displaced people (IDPs) forced to move multiple times may experience re-traumatization.³⁸

The incidence of sexual and gender-based violence (SGBV) has increased dramatically in Ukraine since the war began. In particular, cases of intimate partner violence (IPV) have increased, up by 51% in the first five months of 2023 compared to the same period in 2022. Reports suggest that “stress, economic hardship, unemployment, and conflict-related trauma are fuelling this increase.”³⁹

There are more than one million veterans and active members of the armed forces who have experienced this conflict.⁴⁰ Estimates from the Veteran Affairs Minister of Ukraine suggest that by the end of the war, there may be as many as 5 million veterans and their family members.⁴¹ The vast majority of these veterans are men, although the number of women voluntarily enlisting in the military has increased (with about 65,000 women serving in the Ukrainian Armed Forces, of whom over 4,000 are in combat positions).⁴² These veterans and active members of the armed forces are at greater risk for PTSD, depression, anxiety, and other mental health disorders. Studies have indicated that men, whether veterans or not, may have greater rates of stigma regarding mental health, particularly around use of services.

³⁷Powell, T., Muller, J., and Lough, B. (2023). [Contextualization of mental health interventions in global mental health](#). US Agency for International Development.

³⁸ Groggel, Laura; Rudenko, Maryna; Cheney, Katie. 2022. USAID/Ukraine Gender Equality and Social Inclusion (GESI) Analysis Report. Prepared by Ukraine Monitoring and Learning Support Contract (UMLS) EnCompass LLC.

³⁹ Fernandez-Powell, M. (Dec 2023) [Gender-Based Violence Skyrockets in War-Ravaged Ukraine](#). Human Rights First.

⁴⁰ Harding, L. (Jan 2024) [‘You don’t feel alive’: Ukraine veterans struggling with the trauma of war](#). The Guardian.

⁴¹ The Kyiv Independent. (May 2022). [Minister: After Russia’s war, number of veterans in Ukraine may grow to 5 million](#).

⁴² Tung, N. (Mar 2024).. [‘It’s a Way of Life’: Women Make Their Mark in the Ukrainian Army](#). The New York Times.

Already vulnerable populations, such as LGBTQI+ people and Roma people, also face new challenges, and increased experiences of marginalization or violence.

Given the complexities of the relationship between GESI and mental health and the constantly changing landscape in Ukraine, the Implementing Partner (IP) should strongly consider conducting a detailed GESI analysis of the mental health landscape in Ukraine upon award. This GESI Analysis should include particular consideration of marginalized or differently-impacted groups such as children and adolescents, elderly, internally displaced persons (IDPs), rural populations, veterans, people with disabilities, Roma people, and LGBTQI+ people. Additionally, the GESI Analysis should include a Gender Action Plan, clearly outlining how the activity will integrate the key findings of the analysis throughout all phases of the program. This should be conducted within the first year of implementation.

Other recommendations include:

- Address the gender and identity-based barriers to accessing quality mental health services. This would include gender transformative approaches for promoting gender-equitable masculinities and programs designed specifically for the needs of male and female veterans, IDPs, and essential workers working in areas with heavy fighting or that were recently liberated.
- Evaluate the mental health needs of people in particular sectors, including care sectors, emergency and first responders, and health care professionals.
- Integrate trauma-informed and gender-sensitive approach into any mental health strategies and standards; and include tailored approaches for men, women, adolescents, IDPs, veterans, and other marginalized groups.
- Train and mobilize mental health service providers to respond to GBV and IPV, and link referral pathways for GBV and IPV with mental health services.
- Carefully design communications to raise awareness around mental health, combat stigma, and increase visibility of mental health care services available to reach target audiences. Messages should be crafted considering the specific needs of different groups, in particular men, who are less likely to know about and feel comfortable accessing mental health services.
- Consider creative mental health and outreach opportunities through arts, sports, religious communities, theatre, and community gatherings, and partner with media to disseminate positive messages and examples of mental health care-seeking.
- Work with the Ministry of Health (MoH) to adhere to National Gender Equality Mechanism (NGEM) recommendations on appointing gender advisors and creating gender units in all sectoral ministries, and work with the MoH to develop a gender strategy to inform GOU policy, programs, and budgets to be more inclusive and effective.

- Include specific approaches to ensure MoH budgets employ Gender-Responsive Budgeting approaches that focus on government expenditure and makes the gender impact of budgetary decisions explicit.
- Ensure sex-disaggregated and age data is collected in monitoring/surveillance systems.
- Consider approaches to reach rural communities with mental health support, such as through mobile outreach teams.
- Ensure that coordination is a driving force in the implementation of mental health services; and establish reliable referral systems to meet the basic needs of beneficiaries.

SAFEGUARDING AND DO NO HARM

The "do no harm" principles in mental health development prioritize individuals' well-being and safety in interventions, programs, and policies. They guide professionals to provide effective, ethical care by:

- Ensuring Safety: Minimizing risks and providing a safe environment for services.
- Obtaining Informed Consent: Respecting autonomy and providing comprehensive information
- Being Culturally Sensitive: Recognizing and respecting cultural beliefs and values.
- Safeguarding Confidentiality: Adhering to privacy policies.
- Promoting Equality: Ensuring equitable access and avoiding discrimination
- Empowering Individuals: Supporting active participation in treatment decisions.
- Monitoring and Evaluation: Regularly assessing effectiveness and adjusting interventions as needed.

By following these principles and integrating trauma-informed approaches, professionals can promote ethical practice and positive outcomes in mental health support.

Quality Assurance: Assessing quality control in mental health work involves implementing processes to ensure that services, interventions, and programs meet established standards and adhere to ethical principles.

- Establishing Clear Standards: Defining quality standards based on evidence and ethics.
- Reviewing Documentation: Regularly checking records for accuracy and compliance.
- Staff Training: Providing ongoing training with skill based learning assessments to ensure competency.
- Gathering Client Feedback: Soliciting feedback from service users and using it to inform adaptive management to improve care.
- Clinical Oversight: Implementing supervision and peer review for quality assurance.
- Monitoring Outcomes: Analyzing data to evaluate effectiveness.
- Risk Management: Establishing protocols for incident response.
- Compliance: Ensuring adherence to regulations and ethical guidelines.
- Continuous Improvement: Promoting a culture of ongoing enhancement.

- Access to support: Ensuring access to vetted support for staff.

By implementing these strategies, mental health organizations can effectively assess and enhance quality control processes to ensure the delivery of high-quality, ethical, and client-centered care.

MONITORING, EVALUATION, AND LEARNING:

The activity will incorporate a Collaborating, Learning and Adapting (CLA) Plan into its Monitoring, Evaluation and Learning (MEL) Plan, which it will implement over the life of the activity. When evaluating the effectiveness of USAID's mental health activities, USAID employs a comprehensive set of indicators and considerations tailored to the specific objectives and focus of each activity or program. USAID's primary objectives in monitoring mental health initiatives include assessing improvements in psychological symptoms and long-term impacts across multiple dimensions, such as functional abilities, societal contribution, and overall quality of life enhancements.

- **Indicators of Recovery:** These indicators assess whether programs effectively support individuals in achieving meaningful improvements in their daily functioning at home, at work and in society. This also includes changes in ability to participate in productive labor and/or education.
- **Indicators of Psychological Well-being:** This category captures the full range of needs and challenges faced by individuals and communities affected by mental health experiences.
- **Program Implementation Indicators:** This includes assessing the quality of services, accessibility, acceptability, effectiveness, and appropriateness of mental health programs.
- **Policy Indicators:** These indicators assess the strengthening of systems related to mental health policies. This may include measures of policy development, implementation, and impact.
- **Sustainability:** Assessments of sustainability evaluate the long-term viability and impact of mental health interventions, including factors such as funding mechanisms, community engagement, and institutional support.
- **Capacity of Workforce:** This category evaluates the competence and capacity of mental health workforce members to deliver effective services, including their training, skills, and adherence to best practices.

Competency-based indicators refer to assessments of the skills, knowledge, and capabilities of mental health providers to effectively deliver services and support individuals in their recovery journey. By utilizing competency-based indicators across these categories, USAID can comprehensively evaluate the effectiveness and impact of its mental health activities, contributing to improved outcomes for individuals and communities worldwide.

Ensuring Quality in Psychosocial and Mental Health Care (EQUIP) is a competency-based assessment toolkit supported by USAID, which can be instrumental in training and evaluation. EQUIP's framework employs a range of tools and scales to comprehensively assess various aspects of mental health, ensuring that individuals receive high-quality care tailored to their

specific needs. These tools and scales enable implementers to gauge competencies, identify areas for improvement, and track progress over time, ultimately enhancing the overall quality of mental health services provided.

Coordination with other USG and donor investments

Mental health initiatives in Ukraine have garnered significant attention and support from international donors and organizations, reflecting a global consensus on the importance of addressing mental health challenges. The World Bank's HEAL project and the Swiss Agency for Development and Cooperation's (SDC) "MH4Ukraine" initiative are prime examples of international efforts aimed at bolstering mental health services in Ukraine. Additionally, the World Health Organization (WHO) has been actively involved in various mental health activities in the country. Global initiatives such as the United Global Mental Health roadmap emphasize the importance of securing sustainable multi-sectoral funding for mental health well-being, with a focus on increasing public expenditure across sectors like education and social welfare. This includes leveraging existing and new financing mechanisms, such as the Global Fund, the Global Financing Facility (GFF), and the Non-Communicable Diseases (NCDs) and Mental Health Trust Fund. Discussions on mental health financing are also integrated into high-level international forums such as the G7 and G20 summits. The collective support from international donors, organizations, governments, and stakeholders underscores the global commitment to addressing mental health challenges in Ukraine and highlights the collaborative efforts aimed at improving development outcomes and well-being for the population.

MHPSS Working Technical Group Participation: To enhance collaboration, partners should actively engage in country-specific technical working groups and Mental Health coordination efforts.

PRIVATE SECTOR ENGAGEMENT

Private Sector Engagement is a strategic approach to international development through which USAID consults, strategizes, aligns, collaborates, and implements with the private sector for greater scale, sustainability, and effectiveness of development or humanitarian outcomes. The USAID Private Sector Engagement (PSE) Policy makes a commitment to engage the private sector across all sectors, and to harness our resources to open markets and other opportunities for U.S. businesses. There is growing recognition in Ukraine's private sector about the short-and long-term impacts of mental health conditions on worker productivity and absenteeism, and more businesses are seeking ways to connect their employees and communities with needed mental health services. U-MIND will identify synergies and collaborate with local and international private sector companies, seeking their insights into labor force needs, collaborating on stigma reduction, identifying referral needs and strengthening referral pathways, and encouraging the private sector to invest in the mental health sector.

MANAGEMENT:

The Activity will be managed by an AOR situated in the Office of Health at USAID/Ukraine, with support from an alternate AOR. The overall Activity management will remain flexible, based not

only on the Activity Objectives and annual work plans, but also on the evolving needs and priorities of the MOH and the NMHCC. These priorities may shift periodically due to the ongoing war, the limited capacities of the GOU in managing the MHPSS sector, fluctuations surrounding state budget financing for the MHPSS in various sectors, and the availability of funds from USAID. The Implementing Partner is expected to demonstrate adaptability in response to changing MOH priorities and AOR guidance and to incorporate relevant Activity implementation changes into the project's annual work plans.

3. SUBSTANTIAL INVOLVEMENT

Consistent with 2 CFR 200.24 and USAID Automated Directive System (ADS) Series 300, Chapter 303, Section 303.3.11 Cooperative Agreements and Substantial Involvement, USAID/Ukraine has determined that this activity will require substantial involvement between USAID/Ukraine and the recipient.

The Agreement Officer (AO) will designate an Agreement Officer's Representative (AOR) to assist in the programmatic monitoring and administration of this Cooperative Agreement. The AO may delegate the approval of certain items listed below to the AOR, except that authority to change the program description, period of performance, approved budget and key personnel unequivocally require AO approval.

The anticipated areas of USAID's substantial involvement during performance of this activity are:

- a. *Approval of the Recipient's Annual Implementation Plan.* The annual implementation plans, and subsequent revisions, are subject to approval by the AOR prior to implementing substantive work for each year of the Agreement.
- b. *Approval of Specified Key Personnel and Any Changes.* The positions indicated below have been designated as key to the successful implementation of the activity objectives of this Agreement. Prior to replacing key personnel, the Recipient shall immediately notify both the Agreement Officer and AOR reasonably in advance and shall submit written justification, including proposed substitutions, in sufficient detail to permit evaluation of the impact on the Activity. No replacement of key personnel shall be made by the Recipient without consent of the Agreement Officer.
- c. *Agency and Recipient Collaboration or Joint Participation.* When the Recipient's successful accomplishment of activity objectives would benefit from USAID's technical knowledge, USAID may specify the collaboration or joint participation of USAID and the Recipient in the program.
- d. *Approval of Sub-Awards* – The sub-award, transfer, or contracting out of any work under an award requires the Recipient to obtain AOR concurrence and the AO's prior approval under 2 CFR 200.308, unless the approval is delegated to the AOR in the AOR

Designation Letter.

- e. Approval of Monitoring Evaluation and Learning Plan (MELP) – USAID will review and approve the Recipient’s MELP for realistic and appropriate performance indicators and learning and adapting planning, periodic evaluation of activities, and all subsequent changes to the MELP.
- f. *Direction or redirection because of interrelationships with other U.S. Government Activities.* USAID may provide directions to the Recipient to help achieve results through coordination with other activities sponsored by the U.S. Government or other donors, to avoid duplication of effort, and in adherence to U.S. foreign policy.
- g. *Participation in Preparation of Technical Publications.* USAID may (i) Participate in technical discussions with the Recipient in the development of content for print and electronic publications and/or (ii) Review and approve final versions of all print or electronic publications before publication to ensure compliance with the approved Branding Strategy and Marking Plan.
- h. *Engagement with the Government of Ukraine.* USAID may participate in discussions or meetings with the Recipient and Government of Ukraine officials at the national and oblast levels. The Recipient must notify USAID at least two (2) days prior to any planned engagement with such officials and USAID will inform the Recipient if USAID will participate in any such engagement.

[END OF SECTION C]

SECTION D: CONCEPT PAPER CONTENT AND FORMAT

1. General Content and Form of Concept Papers and Technical and Business Applications

A. Preparation of Concept Papers

Organizations that choose to respond to this NOFO must review, understand, and comply with all aspects of this NOFO and furnish the information as required. Failure to do so may be considered as being non-responsive and the organization's submission may be evaluated accordingly.

The purpose of this process is to identify the organization that will have the greatest chance of success to achieve the results of the U-MIND activity. USAID will conduct the review of submissions through a phased approach as follows:

B. Phase 1 – Initial Concept Paper Submission

Interested organizations will submit initial concept papers (according to the instructions provided in Section D.2, below) by the specified due date utilizing the prescribed format. USAID will conduct a merit review of concept papers. USAID will then request a full application only from the organization(s) that remains under consideration after the Phase 1 Merit Review. Organizations that are not selected to advance to Phase 2 will be notified by USAID.

C. Phase 2 – Full Application Submission

The applicant(s) invited to participate in Phase 2 will receive feedback on their concept paper submission and then be requested to submit a full application(s) in accordance with the instructions provided in Section D.6, below. Additional instructions may be provided as part of the request to submit a Phase 2 application.

USAID will conduct a merit review of responsive concept papers. In reviewing the concept papers, USAID may elect to engage with applicants to better understand aspects of the submission. Engagement might include communications via email, phone, or through virtual meetings. The purpose of this engagement would be to enhance USAID's understanding of an applicant's proposed activity. USAID will provide advance notice to applicants and further detailed instructions if any such engagement will occur. At the completion of Phase 2, USAID will determine the apparently successful applicant and the competitive process requirements of ADS 303 will be satisfied.

D. Format

- Cover Letter: For both Phase 1 and Phase 2, applicants must include a Cover Page. This cover page does not count against page limits. The cover page must contain the following information:
 - (1) Name of the organization(s) submitting the application
 - (2) Identification and signature of the primary contact person (by name, title, organization, mailing address, telephone number and email address) and the identification of the alternate contact person (by name, title, organization, mailing address, telephone number and email address);
 - (3) Activity name
 - (4) Notice of Funding Opportunity number
 - (5) Name of any proposed sub-recipients or partnerships (including identification of any of the organizations are local organizations, per USAID's definition of 'local entity' under ADS 303)
 - (6) UEI number for prime applicant and all proposed sub-recipients.

- USAID will not review any pages in excess of the page limits noted in the subsequent sections. Please ensure that concept papers comply with the page limitations.

- Concept Papers, Technical and Business Applications, and all supporting documents must be submitted in English.

- Concept Papers, Technical and Business Applications, and all supporting documents must be submitted via PDF format.

2. Phase 1 - Concept Paper Format

Concept Papers **may not exceed seven (7) pages in length**. The cover letter is limited to one (1) page and the past performance data addendum is limited to two (2) pages. They do not count against the seven page concept paper limit.

On pages 1-6, each concept paper must:

1. Briefly describe the concept and how it relates to the program description and the potential to have a significant impact.
2. Address the merit review criteria.
3. Provide succinct information on the organization's experience and capacity to deliver results.

4. On Page 7, provide a brief budget including:
 - a. A budget table. Applicants must provide the following budget categories:
 - i. Personnel
 - ii. Fringe Benefits
 - iii. Travel
 - iv. Equipment
 - v. Supplies
 - vi. Contractual
 - vii. Other
 - viii. Indirect Charges
 - b. A short budget narrative justification explaining line items and calculation rationale.

5. As part of the concept paper submission, organizations are directed to include past performance information and attach it as an addendum. This addendum does not count towards the 7 page concept paper limit; however, this addendum is **limited to 2 pages**, with **up to five (5) recently completed** (within the past three years) **or active projects similar in scope** to the solution your organization is proposing.

Provide the following information per project, contract, grant, subgrant, subcontract, or other type of award activity:

- a. Name of Project or Activity
- b. Short Description
- c. Country where implemented
- d. Dollar Value
- e. Period of performance (from date to date)
- f. Indicate if the award is:
 - i. for a USAID project?
 - ii. for another U.S. Government (USG) Agency?
 - iii. a subaward under a USAID-funded project?

- iv. a non-USG project?
- v. other (describe)
- g. Award Number
- h. Name of Individual who can provide a performance reference
- i. Reference email address

If no past performance information is submitted, USAID may check other sources and/or may assume the organization has no prior related experience to report. USAID reserves the right to check references regarding the organization's performance from any source.

3. Phase 2

The selected Phase 1 applicant(s) will receive explicit submission instructions via a solicitation for Phase 2 Technical and Business Applications. The following provides further information regarding expectations for full Phase 2 Technical and Business Applications. However, the submission information contained in the Phase 2 solicitation controls.

The Technical Application should be specific, complete, and presented concisely. The application must demonstrate the applicant's capabilities and expertise with respect to achieving the goals of this program. The application should take into account the requirements of the program and merit review criteria found in the solicitation.

The Business Application must be submitted separately from the Technical Application. The Business Application must reflect the entire period of performance, all costs associated with activities included in the Technical application (including those to be financed by cost share, or any other non-Federal funding source), and include the required and completed SF-424 Standard Forms.

Prior to award, applicants may be required to submit additional documentation deemed necessary for the Agreement Officer to assess the applicant's risk in accordance with 2 CFR 200.206. Applicants should not submit any additional information with their initial application.

The Budget must include the following worksheets or tabs, and contents, at a minimum:

Summary Budget, inclusive of all program costs (federal and non-federal), broken out by major budget category and by year for the entire period of the program. The Summary Budget should reflect all proposed activities to be implemented by the applicant and any potential subrecipients and should facilitate completion of the SF-424A (i.e., the Summary Budget and SF 424A major budget categories must match). See Annex 1 for Summary Budget Template.

Detailed Budget, including a breakdown of each major budget category by year for the entire period of the program, sufficient to allow the Agency to determine that the costs accurately reflect the proposed program activities and represent a realistic and efficient use of funding.

Detailed Budgets for each subrecipient, inclusive of all program costs (federal and non-federal), broken out by major budget category and by year for the entire period of the program,

The Detailed Budget must contain the following major budget categories and information, at a minimum:

- 1) Personnel – Costs of employee salaries and wages must be proposed consistent with 2 CFR 200.430 Compensation - Personal Services and the applicant’s established policies and practices for similar work. The applicant’s Budget must include position title, base salary rate, level of effort, and salary escalation factors for each position.
- 2) Fringe Benefits – Costs of employee fringe benefits must be proposed consistent with 2 CFR 200.431 Compensation - Fringe Benefits, as required by applicable law, and in accordance with the applicant’s established policies and practices. Fringe benefits include allowances and services provided by employers to their employees in addition to regular salaries and wages (e.g., paid leave, health insurance, retirement, etc.).
- 3) Travel – Travel and transportation costs must be proposed consistent with 2 CFR 200.475 Travel Costs and in accordance with the applicant’s established policies and practices. Travel costs may include program-related transportation, lodging, or subsistence for applicant employees (e.g., flights, hotels, per diem, etc.).
- 4) Equipment - Costs must be proposed consistent with the definitions of equipment, capital assets, and personal property (tangible) in 2 CFR 200.1, with 2 CFR 200.313 Equipment and 200.439 Equipment and Other Capital Expenditures, and with the applicant’s established accounting practices (e.g., capitalization level for financial statement purposes).
- 5) Supplies - Costs must be proposed consistent with the definitions of supplies and personal property (tangible) in 2 CFR 200.1 and the applicant’s established accounting practices. Supplies are defined as all tangible personal property other than those described in the definition of equipment.
- 6) Contractual – Costs in this category must include all contracts (except those for individual consultants and those already included under “Equipment,” “Supplies,” or “Construction”) and all subawards. This includes rental and lease agreements for equipment or real property.
- 7) Other – Applicants should include any other direct costs associated with the proposed program that are not already captured under another cost category (e.g., costs related to individual consultants, report publication/printing costs, training/event/activity costs, staff development, or administrative expenses not recovered via “Indirect Charges”).

8) Indirect Charges – Applicants must include all indirect costs under this category. Options for indirect cost recovery include:

- Method 1 - Direct Charge Only (i.e., direct cost allocation)
Eligibility: Any applicant that does not have or intend to propose a NICRA (see Method 2) or use a de minimis rate on U.S. Federal awards (Method 3).
- Method 2 - Negotiated Indirect Cost Rate Agreement (NICRA)
Eligibility: Any applicant with a NICRA issued by a USG Agency or any applicant intending to propose NICRA rate(s) for use under this (and all other) Federal awards.
- Method 3 - De minimis rate of up to 15 percent of modified total direct costs (MTDC)
Eligibility: Any applicant, except applicants with a NICRA
- Method 4 - Indirect Costs Charged as a Fixed Amount
Eligibility: Non-U.S. nonprofit organizations without a NICRA electing not to use direct cost allocation (Method 1) or the de minimis rate (Method 3)

a) Prior Approvals in accordance with 2 CFR 200.407

Cost principles specifically require Agency written prior approval for certain items of cost. For these items, simply including the item in the detailed budget does not satisfy the requirement for Agency prior approval. To request that such an item be approved in an award, the applicant must include an explicit request for its approval in the Budget Narrative. Note that any such approval is at the Agreement Officer's discretion and such approval may not be granted at the time of award. See 2 CFR 200.407 for information regarding which cost elements require prior written approval.

b) Approval of Subaward Activities

The applicant must submit the following information for each subaward that it wishes to have approved at the time of award:

- Name of prospective subrecipient organization
- Subrecipient organization's UEI, unless exempted under 2 CFR 25.110 (see Section E – Submission Requirements and Deadline for more information).
- Confirmation that the subrecipient does not have active exclusions in the System for Award Management (www.SAM.gov)
- Confirmation that the subrecipient does not appear on the U.S. Treasury Department's Office of Foreign Assets Control (OFAC) Specially Designated Nationals (SDN) and Blocked Persons list (<https://sanctionslist.ofac.treas.gov/Home/SdnList>)

- Confirmation that the subrecipient is not listed in the United Nations Security Council Consolidated list (<https://main.un.org/securitycouncil/en/content/un-sc-consolidated-list>)
- Confirmation that the applicant has completed a risk assessment of the subrecipient, in accordance with 2 CFR 200.332(c); including any negative findings as a result of the risk assessment and the applicant's plan for mitigation.

c) History of Performance

The applicant must provide information regarding its recent history of performance for all its cost-reimbursement or fixed price contracts, grants, or cooperative agreements, including any fixed amount awards involving similar or related programs, not to exceed three years, as follows:

- Name of the awarding organization (e.g., funder);
- Award number, if any;
- Activity title;
- A brief description of the activity;
- Period of performance (e.g., start and end dates);
- Award amount;
- Reports and findings from any audits performed in the last three years; and
- Names and contact information (including current telephone number and e-mail address) of at least two (2) professional contacts who most directly observed the work performed.

If the applicant encountered problems when implementing any of the awards listed, it may provide a short explanation and the corrective action taken. The applicant should not provide general information on its performance. USAID reserves the right to obtain relevant information concerning an applicant's history of performance from any sources and may consider such information in its review of the applicant's risk. The Agency may request additional information and conduct a pre-award survey if it determines that it is necessary to inform the risk assessment.

d) Branding Strategy & Marking Plan

The apparently successful applicant will be asked to provide a Branding Strategy and Marking Plan to be evaluated and approved by the Agreement Officer and incorporated into any resulting award

Branding Strategy – Assistance (October 2024)

a. Applicants recommended for an assistance award must submit and negotiate a "Branding Strategy," describing how the program, project, or activity is named and positioned, and how it is promoted and communicated to beneficiaries and host country citizens.

- b. The request for a Branding Strategy, by the Agreement Officer from the applicant, confers no rights to the applicant and constitutes no USAID commitment to an award.
- c. If the Notice of Funding Opportunity indicates that the apparently successful applicant may submit a Branding Strategy after the award is made, the resultant award will include a special award condition indicating the required submission date. If the Notice of Funding Opportunity requires submission before award, failure to submit and negotiate a Branding Strategy within the specified time frame will make the applicant ineligible for the award.
- d. The applicant must include all estimated costs associated with branding and marking USAID programs, such as plaques, stickers, banners, press events, materials, and so forth, in the budget portion of the application. These costs are subject to the revision and negotiation with the Agreement Officer and will be incorporated into the Total Estimated Amount of the grant, cooperative agreement or other assistance instrument.
- e. The Branding Strategy must include, at a minimum, all of the following:
- (1) All estimated costs associated with branding and marking USAID programs, such as plaques, stickers, banners, press events, materials, and so forth.
 - (2) The intended name of the program, project, or activity. (i) USAID requires the applicant to use the "USAID Identity," comprised of the USAID logo and landmark, with the tagline "from the American people" as found on the USAID Web site at <http://www.usaid.gov/branding>, unless the Notice of Funding Opportunity states that the USAID Administrator (or delegate) has approved the use of an additional or substitute logo, seal, or tagline. (ii) USAID prefers local language translations of the phrase "made possible by (or with) the generous support of the American People" next to the USAID Identity when acknowledging contributions.
 - (iii) It is acceptable to cobrand the title with the USAID Identity and the applicant's identity.
 - (iv) If branding in the above manner is inappropriate or not possible, the applicant must explain how USAID's involvement will be showcased during publicity for the program or project.
 - (v) USAID prefers to fund projects that do not have a separate logo or identity that competes with the USAID Identity. If there is a plan to develop a separate logo to consistently identify this program, the applicant must attach a copy of the proposed logos. The Notice of Funding Opportunity will state if an Administrator (or delegate) approved the use of an additional or substitute logo, seal, or tagline.

(3) The intended primary and secondary audiences for this project or program, including direct beneficiaries and any special target segments.

(4) Planned communication or program materials used to explain or market the program to beneficiaries that:

(i) Describe the main program message.

(ii) Provide plans for training materials, posters, pamphlets, public service announcements, billboards, Web sites, and so forth, as appropriate.

(iii) Provide any plans to announce and promote publicly this program or project to host country citizens, such as media releases, press conferences, public events, and so forth. Applicants must incorporate the USAID Identity and the message, "USAID is from the American People."

(iv) Provide any additional ideas to increase awareness that the American people support this project or program.

(5) Information on any direct involvement from host-country government or ministry, including any planned acknowledgement of the host-country government.

(6) Any other groups whose logo or identity the applicant will use on program materials and related materials. Indicate if they are a donor or why they will be visibly acknowledged, and if they will receive the same prominence as USAID.

e. The Agreement Officer will review the Branding Strategy to ensure the above information is adequately included and consistent with the stated objectives of the award, the applicant's cost data submissions, and the performance plan.

f. The Branding Strategy will be included in and made part of the resulting grant or cooperative agreement.

(END OF PRE-AWARD TERM)

Marking Plan – Assistance (October 2024)

a. Applicants recommended for an assistance award must submit and negotiate a "Marking Plan," detailing the public communications, commodities, and program materials, and other items that will visibly bear the "USAID Identity," which comprises of the USAID logo and landmark, with the tagline "from the American people." The USAID Identity is the official marking for the Agency, and is found on the USAID Web site at <http://www.usaid.gov/branding>. The Notice of Funding Opportunity will state if an Administrator (or delegate) approved the use of an additional or substitute logo, seal, or tagline.

b. The request for a Marking Plan, by the Agreement Officer from the applicant, confers no rights to the applicant and constitutes no USAID commitment to an award.

c. If the Notice of Funding Opportunity indicates that the apparently successful applicant may submit a Marking Plan after the award is made, the resultant award will include a special award condition indicating the required submission date. If the Notice of Funding Opportunity requires submission before award, failure to submit and negotiate a Marking Plan within the specified timeframe will make the applicant ineligible for the award.

d. The applicant must include all estimated costs associated with branding and marking USAID programs, such as plaques, stickers, banners, press events, materials, and so forth, in the budget portion of the application. These costs are subject to the revision and negotiation with the Agreement Officer and will be incorporated into the Total Estimated Amount of the grant, cooperative agreement or other assistance instrument.

e. The Marking Plan must include all of the following:

(1) A description of the public communications, commodities, and program materials that the applicant plans to produce and which will bear the USAID Identity as part of the award, including:

(i) Program, project, or activity sites funded by USAID, including visible infrastructure projects or other sites physical in nature;

(ii) Technical assistance, studies, reports, papers, publications, audiovisual productions, public service announcements, Web sites/Internet activities, promotional, informational, media, or communications products funded by USAID;

(iii) Commodities, equipment, supplies, and other materials funded by USAID, including commodities or equipment provided under humanitarian assistance or disaster relief programs; and

(iv) It is acceptable to cobrand the title with the USAID Identity and the applicant's identity.

(v) Events financed by USAID, such as training courses, conferences, seminars, exhibitions, fairs, workshops, press conferences and other public activities. If the USAID Identity cannot be displayed, the recipient is encouraged to otherwise acknowledge USAID and the support of the American people.

(2) A table on the program deliverables with the following details:

(i) The program deliverables that the applicant plans to mark with the USAID Identity;

(ii) The type of marking and what materials the applicant will use to mark the program deliverables;

(iii) When in the performance period the applicant will mark the program deliverables, and where the applicant will place the marking;

(iv) What program deliverables the applicant does not plan to mark with the USAID Identity , and (v) The rationale for not marking program deliverables.

(3) Any requests for an exemption from USAID marking requirements, and an explanation of why the exemption would apply. The applicant may request an exemption if USAID marking requirements would:

(i) Compromise the intrinsic independence or neutrality of a program or materials where independence or neutrality is an inherent aspect of the program and materials. The applicant must identify the USAID Development Objective, Interim Result, or program goal furthered by an appearance of neutrality, or state why an aspect of the award is presumptively neutral. Identify by category or deliverable item, examples of material for which an exemption is sought.

(ii) Diminish the credibility of audits, reports, analyses, studies, or policy recommendations whose data or findings must be seen as independent. The applicant must explain why each particular deliverable must be seen as credible.

(iii) Undercut host-country government "ownership" of constitutions, laws, regulations, policies, studies, assessments, reports, publications, surveys or audits, public service announcements, or other communications. The applicant must explain why each particular item or product is better positioned as a host-country government item or product. (iv) Impair the functionality of an item. The applicant must explain how marking the item or commodity would impair its functionality.

(v) Incur substantial costs or be impractical. The applicant must explain why marking would not be cost beneficial or practical. (vi) Offend local cultural or social norms, or be considered inappropriate. The applicant must identify the relevant norm, and explain why marking would violate that norm or otherwise be inappropriate.

(vii) Conflict with international law. The applicant must identify the applicable international law violated by the marking.

f. The Agreement Officer will consider the Marking Plan's adequacy and reasonableness and will approve or disapprove any exemption requests. The Marking Plan will be reviewed to ensure the above information is adequately included and consistent with the stated objectives of the award, the applicant's cost data submissions, and the performance plan. g. The Marking Plan, including any approved exemptions, will be

included in and made part of the resulting grant or cooperative agreement, and will apply for the term of the award unless provided otherwise.

(END OF PRE-AWARD TERM)

e) Funding Restrictions

Profit is not allowable for recipients or subrecipients under this award.

Construction is not authorized under this award.

USAID will not allow the reimbursement of pre-award costs under this award without the explicit written approval of the Agreement Officer.

f) Conflict of Interest Pre-Award Term

CONFLICT OF INTEREST PRE-AWARD TERM (October 2024)

a. Personal Conflict of Interest

1. An actual or appearance of a conflict of interest exists when an applicant organization or an employee, officer, agent, board member of the organization has a relationship with an Agency official involved in the competitive award decision-making process that could affect that Agency official's impartiality. The term "conflict of interest" includes situations in which financial or other personal considerations or interest may compromise, or have the appearance of compromising, the obligations and duties of a USAID employee or applicant or recipient employee.

2. The applicant must provide conflict of interest disclosures when it submits an SF-424. Should the applicant discover a previously undisclosed conflict of interest after submitting the application, the applicant must disclose the conflict of interest to the AO no later than ten (10) calendar days following discovery.

b. Organizational Conflict of Interest The applicant must notify USAID of any actual or potential conflict of interest that they are aware of that may provide the applicant with an unfair competitive advantage in competing for this financial assistance award. Examples of an unfair competitive advantage include but are not limited to situations in which an applicant or the applicant's employee gained access to non-public information regarding a federal assistance funding opportunity, or an applicant or applicant's employee was substantially involved in the preparation of a federal assistance funding opportunity. USAID will promptly take appropriate action upon receiving any such notification from the applicant.

(END OF PRE-AWARD TERM)

g) Applications with Proprietary Data

Applicants who include data that they do not want disclosed to the public for any purpose or used by the U.S. Government except for evaluation, should mark the cover page with the following:

“This application includes data that must not be disclosed, duplicated or used – in whole or in part – for any purpose other than to evaluate this application. If, however, an award is made as a result of – or in connection with – the submission of this data, the U.S. Government will have the right to duplicate, use, or disclose the data to the extent provided in the resulting award. 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 sheets {insert sheet numbers}.”

Additionally, the applicant must mark each sheet of data it wishes to restrict with the following:

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

[END OF SECTION D]

SECTION E: SUBMISSION REQUIREMENTS AND DEADLINES

1. Questions and Answers

Applicants must submit questions regarding this NOFO, if any, via email only to kyivRCOhealth@usaid.gov no later than the date and time indicated on the NOFO cover letter. Any information given to a prospective applicant concerning this NOFO will be furnished promptly to all other prospective applicants as an amendment to this NOFO, if that information is necessary in submitting concept papers or if the lack of it would be prejudicial to any other prospective applicant.

2. Submission Requirements

Concept papers in response to this NOFO must be submitted no later than the closing date and time indicated on the cover letter. Late submissions will not be reviewed nor considered. Applicants must retain proof of timely delivery in the form of system generated documentation of delivery receipt date and time. Additionally, applicants should retain a copy of their concept papers and all enclosures for their records.

Concept papers must be submitted by email to kyivRCOhealth@usaid.gov. Email submissions must include the NOFO number and applicant's name in the subject line heading.

After submitting concept papers electronically, applicants should immediately check their own email to confirm that the attachments were indeed sent. If an applicant discovers an error in transmission, please send the material again and note in the subject line of the email or indicate in the file name if submitted via grants.gov that it is a "corrected" submission. Do not send the same email more than once unless there has been a change, and if so, please note that it is a "corrected" email.

Applicants are reminded that email is NOT instantaneous, and in some cases delays of several hours occur from transmission to receipt. Therefore, applicants are requested to send the concept paper in sufficient time ahead of the deadline. For this NOFO, the initial point of entry to the government infrastructure is the USAID mail server.

There may be a problem with the receipt of *.zip files due to anti-virus software. Therefore, applicants are discouraged from sending files in this format as USAID/Ukraine/OAA cannot guarantee their acceptance by the internet server. File size must not exceed 25MB.

3. Unique Entity Identifier (UEI) and SAM.gov Registration

Each applicant, that does not have an exemption under [2 CFR 25.110](#), is required to:

- (1) Be registered in SAM.gov before submitting an application.

- (2) Maintain a current and active registration in SAM.gov at all times during which it has an active Federal award as a recipient or an application under consideration by USAID. The applicant or recipient must review and update its information in SAM.gov annually from the date of initial registration or subsequent updates to ensure it is current, accurate, and complete. If applicable, this includes identifying the applicant's or recipient's immediate and highest-level owner and subsidiaries, as well as providing information on all predecessors that have received a Federal award or contract within the last three years; and
- (3) Include its UEI in each application it submits to USAID. A UEI is a unique, alpha-numeric 12-character identifier issued and maintained by SAM.gov that verifies the existence of an entity globally. The UEI is the official government-wide identifier used for Federal awards.

The SAM registration process may take many weeks to complete. Therefore, applicants are encouraged to begin the process early. If an applicant is unable to obtain a UEI and complete SAM registration before submitting an application, the applicant may request an exemption in accordance with the instructions below. If an applicant has not fully complied with the requirements above by the time USAID is ready to make an award, USAID may determine that the applicant is not qualified to receive an award and use that determination as a basis for making an award to another applicant. Applicants can find additional resources for obtaining a UEI and registering in SAM on a blog post on [WorkwithUSAID.gov](https://www.usaid.gov/workwithusaid).

Note: First-tier subrecipients (i.e., direct subrecipients) must obtain a UEI in order to receive a subaward, but are not required to complete full SAM registration.

Requests for UEI/SAM exemptions: An applicant may include in its application (or separately in writing to the Agreement Officer) a request to be exempted from the above UEI and/or SAM registration requirements, if the criteria for one of the exceptions in [2 CFR 25.110](https://www.ecfr.gov/current/title-2/chapter-I/subchapter-A/part-25/subpart-110/section-25.110) apply. The applicant may be required to submit additional justification or information in support of the request for an exemption. In certain cases where an exemption is approved, the selected applicant may still be required to obtain a UEI and/or register in SAM.gov within thirty (30) days after receiving the award.

[END OF SECTION E]

SECTION F: APPLICATION REVIEW INFORMATION

1. Responsiveness Review

Applicants must review, understand, and comply with all aspects of this NOFO. Failure to comply with the NOFO may be considered as being non-responsive and may be evaluated accordingly.

2. Merit Review Criteria

USAID will establish a Merit Review Committee (MRC), see Section F.3 for more information. The MRC will conduct a merit review of all applications received that comply with the instructions in this NOFO, as per the Responsiveness Review. Concept papers and Technical Applications will be reviewed and evaluated in accordance with the following criteria shown in descending order of importance:

a. Phase 1 - Concept Paper Merit Review Criterion

(1) Criterion 1 - Technical Concept

The extent to which the Applicant's technical concept demonstrates how the proposed implementation approaches and implementation considerations, as described in section A, will be integrated in a coherent technical approach that can feasibly and effectively achieve expected results within the current context in Ukraine.

(2) Criterion 2 - Institutional Capacity and Capability

The extent to which the Applicant (and its partners) convincingly demonstrates, through experience in Ukraine or a similar context, that it possesses the institutional capacity and capability to successfully implement the proposed technical concept to achieve the desired outcomes within the operational context in Ukraine, while simultaneously demonstrating adaptability and flexibility with respect to available budget and other resources (including but not limited to staffing, management, and activity planning), as needed to respond to the evolving conditions.

b. Phase 2 - Technical Application Concept Paper Merit Review Criterion

The Full Technical Application(s) will be evaluated as to the following criteria, listed in descending order of importance:

(1) Criterion 1 - Technical Approach

The extent to which the Applicant:

- (a) Describes a clear and practical programmatic approach for the effective implementation of the activity in the current context, at the same time responding to the priorities and needs of the Government of Ukraine related to the war and achievement of the activity objectives and results.
- (b) Clearly proposes how the Activity will facilitate engagement with a diverse array of partners in the regions, new and emerging local non-governmental organizations (NGOs), multisectoral providers of mental health and psychosocial support services (both government and non-government), and service users and people with lived experience of mental health issues.
- (c) Addresses the mandatory cross-cutting considerations set forth in Section A, including but not limited to integration of gender and inclusive development approaches throughout all aspects of implementation, private sector engagement, and sustainability of implementation efforts and proposed systemic changes in the mental health and psychosocial support sector.

(2) Criterion 2 - Management and Staffing Plan

The extent to which:

- (a) The Applicant demonstrates a clear and efficient management and staffing plan, with an effective mix of skills and knowledge, that will lead to successful implementation of its proposed Program Description.
- (b) The proposed key personnel candidates possess the qualifications, expertise, and experience necessary for successful performance.
- (c) The organizational chart demonstrates a management structure that is clear and efficient to effectively achieve the activity's purpose and objectives.

(3) Criterion 3 - Adaptive Management

The extent to which the Applicant:

- (a) Clearly describes its MEL and CLA methodologies and how the structure of the proposed system will apply adaptive management techniques to inform activity management, key decisions, and potential change of technical directions in the current volatile environment in Ukraine.
- (b) Clearly describes its proposed approach for monitoring the program and assessing performance and progress toward achieving program results.

c. Phase 2 - Business Application

The Agency will evaluate the cost application of the applicant(s) under consideration for an award as a result of the merit criteria review to determine whether the costs are allowable in accordance with the cost principles found in 2 CFR 200 Subpart E.

The Agency will also consider (1) the extent of the applicant's understanding of the financial aspects of the program and the applicant's ability to perform the activities within the amount requested; (2) whether the applicant's plans will achieve the program objectives with reasonable economy and efficiency; and (3) whether any special conditions relating to costs should be included in the award.

The AO will perform a risk assessment (2 CFR 200.206). The AO may determine that a pre-award survey is required to inform the risk assessment in determining whether the prospective recipient has the necessary organizational, experience, accounting and operational controls, financial resources, and technical skills – or ability to obtain them – in order to achieve the objectives of the program and comply with the terms and conditions of the award. Depending on the result of the risk assessment, the AO will decide to execute the award, not execute the award, or award with “specific conditions” (2 CFR 200.208).

3. Review and Selection Process

The merit review criteria prescribed above are tailored to the requirements of this particular NOFO. Applicants should note that these criteria serve to: (a) identify the significant matters which the applicants should address in their concept papers, and (b) set the standard against which all concept papers will be evaluated.

Technical and other factors will be evaluated relative to each other, as described here and prescribed in Section D, Application Content and Format. A USAID Merit Review Committee will conduct a merit review of all concept papers received that comply with the instructions in this NOFO.

As a result of this process, USAID intends to select the apparently successful applicant based upon the concept papers submission. Once the selection is made, USAID may address any concerns to the selected applicant for resolution. However, USAID reserves the right to negotiate with all applicants prior to selection of the successful applicant if in the best interest of the U.S. Government.

If USAID and the apparently successful applicant cannot come to a mutual understanding during the course of discussions, or if the apparently successful applicant is unable to provide satisfactory final Technical and Business Applications, or does not meet deadlines for submissions, or presents an unacceptable risk as a result of the risk assessment, then the

Agreement Officer may designate the next highest-evaluated applicant as the apparently successful applicant. This decision is at the sole discretion of the Agreement Officer. The Agreement Officer's decision regarding funding of an award is final and not subject to review.

The Agreement Officer will make the final determination whether the award will be made to the applicant. Award may be made with or without a request for clarifications/additional detail on an application.

4. Risk Review

The Agreement Officer will perform a risk assessment ([2 CFR 200.206](#)) of the apparently successful applicant. The Agreement Officer may determine that a pre-award survey is required to inform the risk assessment in determining whether the applicant has the necessary organizational, experience, accounting and operational controls, financial resources, and technical skills – or ability to obtain them – in order to achieve the objectives of the program and comply with the terms and conditions of the award. Depending on the result of the risk assessment, the AO will decide to execute the award, not execute the award, or award with “specific conditions” ([2 CFR 200.208](#)).

Before making an award with a total amount of USAID share greater than the simplified acquisition threshold, USAID must review and consider any information about the applicant that is in the responsibility/qualification records available in SAM.gov (see 41 U.S.C. 2313). An applicant can review and comment on any information in the responsibility/qualification records available in SAM.gov. USAID will consider any comments by the applicant in determining whether the applicant is qualified for an award.}

[END OF SECTION F]

SECTION G: AWARD NOTICES

Award of the agreement contemplated by this NOFO cannot be made until funds have been appropriated, allocated and committed through internal USAID procedures. While USAID anticipates that these procedures will be successfully completed, applicants are hereby notified of these requirements and conditions for the award. Notice of Federal award signed by the Agreement Officer is the official document that obligates funds, and will be provided to the authorized official of the selected applicant by electronic means as identified in the application. The Agreement Officer is the only individual who may legally commit the U.S. Government to the expenditure of public funds.

Unsuccessful applicants will be notified by electronic means within 90 days of the Agreement Officer's selection.

Pre-award costs are only allowed when specifically included in the award terms, or otherwise approved in writing by the Agreement Officer. Without such written authorization, any costs incurred for application development or program performance prior to an award period of performance start date are at the applicant's own risk; do not assume that the AO will approve them as pre-award costs in the award.

[END OF SECTION G]

SECTION H: POST-AWARD REQUIREMENTS AND ADMINISTRATION

1. Administrative & National Policy Requirements

The resulting award from this NOFO will be administered in accordance with the following:

For U.S. organizations: [2 CFR 700](#), [2 CFR 200](#), and [Standard Provisions for U.S. Non-governmental Organizations](#).

For Non-U.S. organizations: 2 CFR 200 Subpart E and [Standard Provisions for Non-U.S. Non-governmental Organizations](#).

2. Nature of the Relationship between USAID and the Recipient

The principal purpose of the relationship between USAID and the recipient is to transfer funds to accomplish a public purpose of support or stimulation of the program, as authorized by Federal statute. The successful recipient will be responsible for ensuring the achievement of the program objectives and the efficient and effective administration of the award through the application of sound management practices. The recipient will assume responsibility for administering Federal funds in a manner consistent with underlying agreements, program objectives, and the terms and conditions of the Federal award.

3. Reporting Requirements

- **Financial Reporting:**

Standard Form 425 (SF-425) must be submitted via electronic format to the U.S. Department of Health and Human Services (DHHS) via <https://pms.psc.gov/>. The Recipient must also submit a copy of SF-425 to the Agreement Officer, Agreement Officer's Representative, and *insert relevant parties and contact information*. Electronic copies of the SF-425, along with instructions, can be found at: <https://www.grants.gov/forms/forms-repository/post-award-reporting-forms>.

Quarterly Financial Report: Quarterly Financial Reports shall be due within 30 days following the end of each quarter corresponding to USAID's fiscal year from October 1 through September 30.

Final Financial Report: The Final Financial Report shall be due within 120 days following the expiration of the award. Financial Reports shall be in accordance with [2 CFR 700](#).

- **Performance Reporting**

Annual Work Plans (AWP)

The work plans are aligned with the USG Fiscal Year Calendar (October 1 to September 30). The Recipient will submit its first work plan to the AOR for approval within 45 calendar days of award. The first work plan will cover the period from the start date of the Award until the end of the first USG Fiscal Year of the Activity – therefore the first work plan may cover less than twelve months depending on the date of Award. The AOR will provide comments within 20 calendar days to the Recipient and the Recipient will have 15 calendar days to respond and make all requested changes, after which the AOR will provide final approval or any additional comments within 15 calendar days.

All subsequent work plans will be submitted to the AOR no later than October 1 and will cover an entire Fiscal Year, i.e. October 1 to September 30. The AOR will provide comments within 20 calendar days to the Recipient and the Recipient will have 15 calendar days to respond and make all requested changes, after which the AOR will provide final approval within 15 calendar days. All work plans must be developed in cooperation with the AOR, other USAID/Ukraine activities, donor programs, the GOU, beneficiary communities, and all other relevant stakeholders as designated by the AOR.

The award will be guided by the Program Description which will provide an overall project ‘map’ that indicates broad activities, expected outcomes, annual milestones, and budget along the five-year timeline.

Annual Work Plans are developed yearly and include proposed interventions for the given year, a Gantt chart specifying estimated timeline, details on implementation, an itemized and detailed budget, review of the previous year’s accomplishments (if applicable), problems and challenges encountered in achieving specified results, proposed annual outputs, and progress towards achieving results. The AWP must also describe a plan and timeline for internal monitoring and evaluation that takes into account the Mission’s Performance Management Plan (PMP) and the implementer’s monitoring and evaluation plan. The AWP’s will be developed in-country by the Recipient and in cooperation with USAID/Ukraine and other stakeholders, including GoU entities as appropriate.

The first year’s AWP must also include consideration of data and analyses provided by USAID/Ukraine, including the Mission-wide gender and social inclusion (GESI) analysis as well as an activity-level analysis conducted by a USAID/Ukraine contractor during design. The recipient should provide an updates GESI analysis and must integrate interventions to address the findings from the mission-level and activity-level GESI analyses. Subsequent annual work plans should then reflect any updates to the analysis and planned interventions. The gender and social inclusion analysis should contain information related to the five domains listed below (ADS 205.3.2):

- Laws, Policies, Regulations, and Institutional Practices
- Cultural Norms and Beliefs
- Gender Roles, Responsibilities and Time Use
- Access to and Control over Assets and Resources

- Patterns of Power and Decision-making

The Recipient must ensure that approaches to achieve sustainability of interventions are integrated in the AWP after USAID funded efforts end. The sustainability approach must address key challenges for key partners. It must detail a roadmap for how the Recipient will work with key partners during the program to address these challenges.

The Recipient must provide to the AOR weekly updates to the AWP demonstrating how the activity is achieving partnership and policy objectives. No less than monthly, the Recipient also will submit:

- 1) An updated list of upcoming events highlighting any events with Ministerial or higher-level engagement from the GoU and proposing any invitations for USG representation.
- 2) Anticipated upcoming sub-grants.
- 3) A success story demonstrating the 'human impact' of these achievements. Successes may be provided to the AOR in writing (social media, Exposure, Medium) or video format (see usaid.gov for guidance). The Recipient will obtain USAID guidance from the designated AOR.

Annual Work Plans must not deviate from award requirements. All interventions planned through this process must be in accordance with the award's Program Description and consistent with the approved budget for the award. Inclusion of items in the AWP does not obviate the need to seek specific approvals from USAID when those additional approvals might be required by policy and regulation. Modifications to the AWP that respond to changed conditions may be proposed by the Recipient and approved by the AOR; however, in no case may any work plan activity deviate from the Program Description or award terms.

Activity Monitoring, Evaluation & Learning (MEL) Plan

Within the first 45 days of signing the Cooperative Agreement and before major activity implementation actions begin, the Recipient shall submit an activity MEL Plan together with the Initial Implementation Plan to the USAID AOR for review and approval.

The AOR 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 AOR comments and recommendations into the final version of the M&E Plan and submit it for AOR written approval within 15 days. After the plan is finalized, the AOR will provide written approval. All substantial changes in the M&E Plan require prior written approval of the AOR.

Activity MEL Plan submitted to USAID should include only those indicators that the USAID Mission needs for activity management, rather than the entire set of all indicators an activity implementer uses for its management purposes. The number of indicators reported to USAID should not exceed fifteen.

USAID is currently rolling out the New Partnership Initiative (NPI) and applying the new Agency-wide approach to measuring improved performance of new and underutilized partners through developing their organizational capacity. The Implementing Partner will be required to collect and analyze data related to the standard cross-cutting CBLD-9 indicator Percent of USG-assisted organizations with improved performance. USAID will provide further guidance.

The Activity budget must include costs of data collection, analysis, and reporting as a separate line item to ensure that adequate resources are available.

The MEL Plan should include a comprehensive strategy for monitoring and reporting progress made towards activity purpose and results. The MEL Plan should contain the following required elements:

- activity purpose and results as well as brief description of the linkages between the activity outputs and its expected results;
- performance indicators and their descriptions;
- unit of data measurement;
- data sources;
- description of data collection methods;
- baseline information (year and value) or a timeline for collecting it;
- annual targets;
- disaggregation by sex (required by ADS 201 and 205), age, geographic locality, type of assistance, etc. as needed;
- rationale for indicator and target;
- reporting level;
- data limitations;
- schedule for data collection;
- names of individuals responsible for data collection;
- availability of data at USAID;
- detailed plans for data analysis, review and reporting; and,
- Learning Section.

The recipient must prepare the Performance Indicator Reference Sheets (PIRS) for each indicator in its MELP.

The MEL Plan for this Activity will also be consistent with the Mission's PMP and meet the Mission's needs for monitoring, evaluation, CLA, and collecting or managing data; external reporting requirements, such as the Mission's annual Performance Plan and Report (PPR); the PDD if applicable; and the program monitoring needs for the management and oversight of activities by USAID..

Performance indicators should comply with the following criteria: direct, objective, practical, adequate, and useful in managing for results. MEL Plan data should be based on the US fiscal year.

According to USAID regulations, performance indicator data reported externally, including annual Performance Reports sent to USAID/Washington, must have a data quality assessment (DQA). The purpose of the DQA is to ensure that managers are aware of the strengths and weaknesses

of the data and the extent to which the data can be trusted to influence management decisions. DQA must be conducted within twelve months prior to reporting data to USAID for new indicators, and every three years thereafter. Conducting DQA on a rolling basis will reduce the burden of handling indicators all at once.

To be useful in managing for results and credible for reporting, USAID AOR or a third-party contractor designated by USAID/Ukraine should ensure that the performance data meet the following five data quality standards: validity, reliability, timeliness, precision and integrity. If performance data do not fully meet all five standards, the known data limitations should be documented. The AOR can combine a random check of partner data during a regularly scheduled site visit and include data quality items into site visit reports. This minimizes the costs associated with the DQA. When conducting a DQA, USAID AOR or a third-party contractor designated by USAID/Ukraine will examine the data in light of the five quality standards noted above, reviewing the systems and approaches for collecting data and whether they are likely to produce data of an acceptable quality over time.

USAID AOR or a third-party contractor designated by USAID/Ukraine conducts the DQA. This may entail site visits to physically inspect records maintained by the activity implementing partner. The activity USAID AOR or a third-party contractor designated by USAID/Ukraine will document DQA findings, including decisions concerning data quality problems and steps identified to address them. The findings will be shared with the implementer and an action plan to address data quality issues will be developed with the AOR. The AOR will follow up with the activity implementer to check progress on implementation of the action plan within the timeline outlined in the action plan against each action.

The M&E Plan is subject to final approval by USAID and is separate from the regular financial and other reports required by the standard Cooperative Agreement provisions.

USAID reserves the right to propose an activity implementer to integrate into the MEL Plan a number of indicators to help USAID measure the activity results.

USAID may elect to organize and carry out an independent performance evaluation of this activity. The activity implementer shall fully cooperate with USAID and the evaluation team to ensure that the evaluation accurately reflects activity results, outcomes, and/or impacts.

Other reporting requirements

Quarterly Performance Reports:

Thirty (30) calendar days after the end of each fiscal year quarter, the Recipient will provide quarterly performance reports (in accordance with 2 CFR 200.328 (b) (1)) to describe activities undertaken; report on progress made toward achieving results, and make necessary adjustments for activities that will be undertaken in the next quarter. The report must be brief yet precise, description of the activities, with emphasis on issues that have arisen, impacts made, constraints encountered, reasons and justifications for any delays on deliverables and suggestions for additional actions that might be taken. The quarterly report must include the Recipient's accrued expenditures.

All reports will be submitted to the AOR in electronic copy and require written approval of the AOR. Any changes to due dates require the AO's written approval. The report should contain an executive summary and the following, at a minimum:

- Summary of the results for the reporting period and key achievements.
- Quarterly data for the required Performance Indicators, as determined in the MEL Plan.
- Any implementation problems as well as proposed corrective actions and the costs associated with the delay.
- Cross-cutting issues considerations in implementation and performance during the quarter should be detailed and may be included as annexes. At a minimum, cross-cutting issues should include: gender and social inclusion; localization, do no harm approaches, data-collection efforts for evidence-based adaptive management, and digitalization.
- Documentation of lessons learned and best practices that can be taken to scale.
- List of training activities conducted during the quarter, as applicable, to include type of trainees and their number disaggregated by sex.
- List of geographic data related to where interventions are being implemented.
- List of completed assessments and evaluations and plans for utilizing findings and recommendations.
- List of completed and upcoming events (national and sub-national meetings, seminars, training sessions, conferences, and others; international consultant visits; and meetings with key GoU officials and decision-makers), with dates. Upcoming events must highlight any involvement of GoU officials at the Ministerial level or higher.
- List of staff and consultants with dates in/out of country.

Quarterly reports will not exceed 30 pages. Annexes may be included if they support findings, conclusions, and recommendations of the core document.

The recipient is responsible for ensuring that any submitted reports protect the privacy and personally identifying information (PII) of any program participants or other individuals in compliance with relevant national laws and regulations and a do no harm approach. No PII should be included in any report submitted to USAID/Ukraine.

Annual Performance Reports:

The fourth quarterly report shall serve as the Annual Performance Report and shall be submitted within 90 calendar days after the end of the first full USG fiscal year and annually thereafter for each authorized year of performance. The Annual Performance Report shall follow the same format as the quarterly report, but with additional focus on cumulative accomplishments, progress and problems toward achievement of results, performance measures, indicators and benchmarks tied to the Annual Work Plan and the MEL Plan targets, for the quarter and the entire previous fiscal year, which runs from October 1-September 30. In addition, the Annual Performance Report must include an analysis of the performance indicators data and proposed revisions of annual target projections as needed.

The Annual Performance Report will be submitted to the AOR in electronic copy and require written approval of the AOR. Any changes to due dates require the AO's written approval. The

report should contain an executive summary and the following, at a minimum, in addition to the quarterly report components:

- Qualitative and quantitative data required by USAID for the annual Performance Plan and Report (PPR) purposes, a brief listing of the project's major activities and successes during the year; knowledge sharing and learning activities; information on training activities; listing of sub-grants during the fiscal year; and, contributions to cross cutting issues as specified by the Mission.
- Details on any challenges faced in implementing the strategies developed.
- An assessment of the sustainability of any activities supported through this project.
- An assessment of current conditions in each of the key component areas.
- List (and links) of all final and approved reports and data that were submitted during the fiscal year to the Development Experience Clearinghouse (DEC) [<https://dec.usaid.gov/dec/home/Default.aspx>] , USAID's Development Data Library (DDL) website [<http://www.usaid.gov/data>], as applicable. These reports include: assessments, evaluations, studies, development experience documents, technical and consultant reports, quarterly and annual reports, media products, training manuals, databases and datasets, geo-coded data or other GIS related data (i.e. shape files and mapping files), computer software programs, videos and other intellectual deliverable materials required under the award schedule.
- Documentation of best practices that can be taken to scale.

Annual Performance Reports shall not exceed 40 pages. Additional annexes may be included if they support findings, conclusions, and recommendations of the core document. The Recipient should check with the Program Office through their AOR for applicable templates or methodology of submitting reports and data to the DEC, DevResults, TEAMS, DDL website or other required platforms.

The recipient is responsible for ensuring that any submitted reports protect the privacy and personally identifying information (PII) of any program participants or other individuals in compliance with relevant national laws and regulations and a do no harm approach. No PII should be included in any report submitted to USAID/Ukraine.

Outreach and Communication Strategy

An outreach and communication strategy shall be developed on an annual basis and incorporated as a section of the Annual Implementation Plan. The strategy will include the overall communication message of the activity, as set forth in the Branding and Marking Plan. The annual strategy will identify opportunities based on the Annual Implementation Plan to promote activity success and demonstrate that the activity is made possible with the generous support of the American people. Activities may include, but are not limited to; signing ceremonies, graduation ceremonies, events to celebrate key milestones or "firsts," the delivery of commodities, or policy changes. The strategy should address, reporting, events, traditional and social media. Given the sensitive nature of the activity's subject matter and the context in Ukraine, requests for branding and marking waivers in line with a do no harm approach should also be specified in this strategy.

Final Performance Report

The last Quarterly/Annual Performance Report for the final year will also be the Final Performance Report. The draft report in English, is due 50 calendar days prior to completion of the award and a final version and electronic version (two print copies and an electronic version), within 30 calendar days of the expiration of the award.

The report will include the information required in the Quarterly and Annual Performance Reports as well as:

- Basic Agreement information.
- A description of the activity, the accomplishments and successes achieved during the award period in terms of the expectations of activity design and changes in the activity environment as well as any shortcomings and/or difficulties encountered.
- An assessment of the progress towards achievement of the objectives or results, including gender and social inclusion aspects and other cross-cutting issues. This should clearly show how the award objectives have been accomplished or not and why.
- A summary of performance indicators used and an assessment of their relative utility in program management.
- A summary of lessons learned and recommendations that might be relevant to programming, design and implementation of similar or follow-on activities.
- A description of all entities and partners along with non-governmental organizations with whom the Recipient worked with and an evaluation of their strengths and weaknesses.
- List of all publications, evaluations, and media products that were sent to DEC during the life of the award.
- Financial report showing, by line item, the amounts expended.

The Final Performance Report will not exceed 40 pages. Annexes may be included if they support findings, conclusions, and recommendations of the core document. The Final Performance Report will be submitted to an agreed upon distribution list. This will include at a minimum the AOR, FMO, the Agreement Officer (if requested), the Development Experience Clearinghouse (DEC) at <http://dec.usaid.gov>, and others as specified by the AOR and AO.

4. Environmental Compliance

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 ADS 204, which require that any potential environmental impacts of USAID-financed activities be identified prior to a final decision to proceed and that appropriate environmental safeguards are adopted for all activities. The Recipient's environmental compliance obligations under these regulations and procedures are specified in the following paragraphs of this NOFO.

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. No activity 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.”)

An Initial Environmental Examination (IEE) (2023-UKR-009) has been approved for a wider Project funding including this Cooperative Agreement. USAID has determined that the Cooperative Agreement qualifies for a Categorical Exclusion and Negative Determination with Conditions. This indicates that proposed interventions are not expected to have negative effects on the natural or physical environment.

As part of its initial Work Plan, and all Annual Work Plans thereafter, the recipient, in collaboration with the USAID Agreement Officer’s Representative and Mission Environmental Officer or Bureau Environmental Officer, as appropriate, shall review all ongoing and planned activities under this Cooperative Agreement to determine if they are within the scope of the approved Regulation 216 environmental documentation.

Any revisions or changes to the recipient plans outside the scope of the approved activity must be processed in accordance to 22 CFR 216. No new activities will be undertaken prior to receiving written USAID approval.

5. Climate Risk Management

All USAID projects and activities approved after October 1, 2016 are required to comply with ADS 201mal: Climate Risk Management for USAID Projects and Activities. As per ADS 201, USAID should factor climate resilience into international development programs and investments. A climate risk screening was conducted for this activity and the results are included in the referenced IEE (2023-UKR-009). Climate-related risks for this activity are ranked as LOW and no further action is required. However, it is recommended to be aware of possible risks due to extreme weather conditions during implementation when planning for events and activities.

5. Other Requirements

No later than sixty (60) days after USAID notifies the Recipient that USAID has engaged a Mission Partner Liaison Security Adviser (PLSA or Partner Liaison Security Office (PLSO) contractor), the Recipient must submit a Security Management Plan (including all associated protocols and standard operating procedures) to the AOR and AO. The AO may solicit review from USAID/Ukraine’s PLSO, or other appropriate security personnel, and may provide recommendations to the Contractor. The Recipient must periodically review and update the plan based on the security situation in Ukraine. Any updates to the plan must be provided to the AOR and AO.

SECURITY

The Recipient must be aware of security conditions in Ukraine, and by entering into a contract, assumes full responsibility for the safety of its employees. Prior to commencing work, the Recipient must ensure that it has adequate procedures in place to advise its employees of situations or changed conditions that could adversely affect their security. In order to keep abreast of security conditions in Ukraine, the Recipient must seek information from all available sources, including USAID/Ukraine's Partner Liaison Security Office (PLSO), once established by USAID, PLSA, once engaged by USAID, and other sources as directed by the AO, for all areas in which its employees work or travel within Ukraine.

The Recipient acknowledges that security conditions are subject to change at any moment, that USAID cannot guarantee the accuracy of any information that it may provide to the Recipient, and that USAID assumes no responsibility for the reliability of such information. The Recipient has sole responsibility for approving all travel plans for its employees and/or his dependents traveling to post if allowed by the Recipient's personnel internal policies. The Recipient is also responsible for immediately notifying USAID/Ukraine and the U.S. Embassy American Citizen Services section in the event a U.S. citizen employee does not return from travel as expected or does not report to work. In the event that USAID requests the Recipient to do so, the Chief of Party (COP), or equivalent position, must assume responsibility for contacting all of its employees. The Recipient must provide to the PLSO, PLSA, or others as directed by the AO, the name, current address, and current home and/or cellular telephone number of the COP, or equivalent position, and of an alternate designated employee. The Recipient is responsible for ensuring that the information on file with the PLSO and PLSA is up-to-date so that in an emergency, the COP or alternate representative can be reached immediately and he/she can rapidly contact all other affected employees. The Recipient is requested to notify the PLSO and PLSA, copying the AO, about any changes of the individual listed in the Security Management Plan who are considered in-charge of security.

SECURITY MANAGEMENT PLAN

The Recipient must develop a Security Management Plan to safeguard all project operations. The Security Management Plan is to be implemented and maintained also by all Subcontractors and subrecipients. The Security Management Plan will be reviewed by the AO in consultation with the PLSO and PLSA.

The plan must include commentary on all aspects listed below. The plan will be reviewed against these criteria, to the extent that the reviewers are able to answer the key question: Is the proposed approach conceptually realistic (Capable of delivering the required [security risk mitigation, risk and emergency management, incident response] outcomes necessary to support secure operations) in the Ukraine and project context, achievable in relation to the resourcing effort applied, and proportionate to the security risk exposure present to the project associated with the project's nature, operating footprint and the threat context?

- 1) Contextual and threat analysis that provides the picture of the security risk environment present in Ukraine, the main drivers of risk, and how the project's nature and operating footprint may increase or reduce vulnerability to risk.

- 2) Security risk management approach that ties into this threat and vulnerability analysis to mitigate risks.
- 3) A description of the organizational structure and associated roles and responsibilities of those responsible for security risk and emergency management and including how these integrate with headquarters / regional teams as relevant.
- 4) A description of the overarching security incident response and management process (from initial notification through to the implementation of a planned course of response/action).
- 5) A description of mechanisms used to track changes in the security risk environment and the triggering of associated actions related to a 'tightening' or 'loosening' of the project's security posture.
- 6) A description of the emergency communications approach to be used to enable the project to communicate quickly to staff in the event of an emergent threat and that allows staff to communicate in the event of a security incident affecting them or their locality.
- 7) A description of the approach taken to training and exercising all staff in support of secure project operations (including local incident management team training and exercising, personal security awareness and response and ongoing security awareness briefings).
- 8) A description of the approach to travel risk management – including journey management.
- 9) A description of the approach to physical security of premises (offices, compounds, warehouses, residences, etc.), including the nature of contracted guardforce and other security services, approach to access control and visitor management.
- 10) Contingency planning for relevant emergency situations such as –
 - Abductions or illegal detention,
 - Evacuation,
 - Emergency medical care, Psycho-social support for staff impacted by serious crimes or personal violence

[END OF SECTION H]

ANNEX 1 - BUDGET

Completion of SF-424A is required for the apparently successful applicant.

ANNEX 2 - STANDARD PROVISIONS

The selected applicant will be required to comply with USAID’s standard provisions. The standard provisions included in the resultant award will be dependent on the organization that is selected or, in the case of a fixed amount award, the type of award.

The full text of these provisions may be found on USAID’s website here:

- Standard Provisions for U.S. Nongovernmental Organizations:
<https://www.usaid.gov/ads/policy/300/303maa>
- Standard Provisions for non-U.S. Nongovernmental Organizations:
<https://www.usaid.gov/ads/policy/300/303mab>, and

The resultant award will include the full text of current Mandatory Standard Provisions and the Required As Applicable Standard Provisions. **The required as applicable standard provisions will be required if checked below.**

Required as Applicable Standard Provisions for U.S. Nongovernmental Organizations

Required	Not Required	REQUIRED AS APPLICABLE STANDARD PROVISIONS U.S. NGOs
Determined at award		RAA1. Negotiated Indirect Cost Rates – Predetermined (August 2024)
Determined at award		RAA2. Negotiated Indirect Cost Rates – Nonprofit Provisional & Final (August 2024)
Determined at award		RAA3. Negotiated Indirect Cost Rate – For-Profit Provisional & Final (August 2024)
Determined at award		RAA4. Indirect Costs – De Minimis Rate (August 2024)
Determined at award		RAA5. Reserved
Determined at award		RAA6. Voluntary Population Planning Activities – Supplemental Requirements (January 2009)
Determined at award		RAA7. Protection of the Individual As A Research Subject (April 1998)
Determined at award		RAA8. Care of Laboratory Animals (March 2004)
Determined at award		RAA9. Title to and Care of Property (Cooperating Country Title) (August 2024)
Determined at award		RAA10. Cost Sharing (August 2024)
Determined at award		RAA11. Prohibition of Assistance to Drug Traffickers (June 1999)
Determined at award		RAA12. Investment Promotion (December 2022)
Determined at award		RAA13. Reporting Host Government Taxes (December 2022)
Determined at award		RAA14. Foreign Government Delegations to International Conferences (June 2012)
Determined at award		RAA15. Conscience Clause Implementation (Assistance) (February 2012)
Determined at award		RAA16. Condoms (Assistance) (September 2014)
Determined at award		RAA17. Prohibition on the Promotion or Advocacy of the Legalization or Practice of Prostitution or Sex Trafficking (Assistance) (September 2014)

Required	Not Required	REQUIRED AS APPLICABLE STANDARD PROVISIONS U.S. NGOs
Determined at award		RAA18. Reserved
Determined at award		RAA19. Standards for Accessibility for the Disabled in USAID Assistance Awards Involving Construction (September 2004)
Determined at award		RAA20. Statement for Implementers of Anti-Trafficking Activities on Lack of Support for Prostitution (June 2012)
Determined at award		RAA21. Eligibility of Subrecipients of Anti-Trafficking Funds (June 2012)
Determined at award		RAA22. Prohibition on the Use of Anti-Trafficking Funds to Promote, Support, or Advocate for the Legalization or Practice of Prostitution (June 2012)
Determined at award		RAA23. Reserved
Determined at award		RAA24. Reporting Subawards and Executive Compensation (August 2024)
Determined at award		RAA25. Patent Reporting Procedures (December 2022)
Determined at award		RAA26. Access to USAID Facilities and USAID's Information Systems (August 2013)
Determined at award		RAA27. Contract Provision for DBA Insurance under Recipient Procurements (December 2022)
Determined at award		RAA28. Reserved
Determined at award		RAA29. Reserved
Determined at award		RAA30. Program Income (August 2024)
Determined at award		RAA31. Never Contract with the Enemy (August 2024)
Determined at award		

Required as Applicable Standard Provisions for Non-U.S. Nongovernmental Organizations

Required	Not Required	REQUIRED AS APPLICABLE STANDARD PROVISIONS Non-U.S. NGOs
Determined at award		RAA1. Advance Payment and Refunds (August 2024)
Determined at award		RAA2. Reimbursement Payment and Refunds (August 2024)
Determined at award		RAA3. Indirect Costs – Negotiated Indirect Cost Rates Provisional & Final (August 2024)
Determined at award		RAA4. Indirect Costs – Charged As A Fixed Amount (Nonprofit) (August 2024)
Determined at award		RAA5. Indirect Costs – De Minimis Rate (August 2024)
		RAA6. Reserved
Determined at award		RAA7. Reporting Subawards and Executive Compensation (August 2024)
Determined at award		RAA8. Subawards (August 2024)
Determined at award		RAA9. Travel and International Air Transportation (December 2014)
Determined at award		RAA10. Ocean Shipment of Goods (June 2012)
Determined at award		RAA11. Reporting Host Government Taxes (December 2022)
Determined at award		RAA12. Patent Rights (December 2022)
Determined at award		RAA13. Reserved
Determined at award		RAA14. Investment Promotion (December 2022)

Required	Not Required	REQUIRED AS APPLICABLE STANDARD PROVISIONS Non-U.S. NGOs
Determined at award		RAA15. Cost Sharing (August 2024)
Determined at award		RAA16. Program Income (August 2024)
Determined at award		RAA17. Foreign Government Delegations to International Conferences (June 2012)
Determined at award		RAA18. Standards for Accessibility for the Disabled In USAID Assistance Awards Involving Construction (September 2004)
Determined at award		RAA19. Protection of Human Research Subjects (June 2012)
Determined at award		RAA20. Statement for Implementers of Anti-Trafficking Activities on Lack of Support for Prostitution (June 2012)
Determined at award		RAA21. Eligibility of Subrecipients of Anti-Trafficking Funds (June 2012)
Determined at award		RAA22. Prohibition on the Use of Anti-Trafficking Funds to Promote, Support, or Advocate for the Legalization or Practice of Prostitution (June 2012)
Determined at award		RAA23. Voluntary Population Planning Activities – Supplemental Requirements (January 2009)
Determined at award		RAA24. Conscience Clause Implementation (Assistance) (February 2012)
Determined at award		RAA25. Condoms (Assistance) (September 2014)
Determined at award		RAA26. Prohibition on the Promotion or Advocacy of the Legalization or Practice of Prostitution or Sex Trafficking (Assistance) (September 2014)
Determined at award		RAA27. Limitation on Subawards to Non-Local Entities (July 2014)
Determined at award		RAA28. Contract Provision for DBA Insurance Under Recipient Procurements (December 2022)
Determined at award		RAA29. Reserved
Determined at award		RAA30. Reserved
Determined at award		RAA31. Never Contract with the Enemy (August 2024)

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