Issuance Date:	November 19, 2024

Questions:	December 03, 2024
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Subject:	Request for Applications (RFA) Number PI-RFA-0003 Pro-Integrity Strategic Corruption Mitigation: Developing Approaches for Effective Corruption Prevention, Detection and Deterrence (FY 2025)

Reference:	Issued Under Promoting Integrity in the Public Sector (Pro-Integrity) Activity USAID Contract No. 47QRAD20DU128/72012124M00001

When left unchecked, corruption erodes citizen trust, sabotages health outcomes, fuels conflict, exacerbates climate change, and diverts humanitarian assistance. To keep pace with the changing nature of corruption, USAID released its first-ever Anti-Corruption Policy in December 2022. In line with the U.S. Strategy on Countering Corruption, the Policy signals a pronounced commitment to countering corruption and outlines a plan for institutionalizing anti-corruption efforts across USAID's work globally.

To continue nurturing transparency and integrity in Ukraine despite—and in many cases due to—the effects of the ongoing war, a comprehensive and ambitious Promoting Integrity in the Public Sector (Pro-Integrity) Program was designed and launched in early 2024. Pro-Integrity is a 5-year initiative co-funded by USAID and UK Dev and implemented by DAI Global (DAI). The program aims to reduce corruption incidence and risks to build back a better Ukraine and focuses on three interconnected objectives:

1. Strengthen the national-level anti-corruption institutional capacity to advance corruption prevention, detection, and deterrence.

2. Enhance anti-corruption compliance and control in local governance.

3. Advance transparency and accountability in resilience, recovery, and reconstruction efforts.

To deliver on these objectives, the Pro-Integrity team will focus on the following implementation approaches:

- Design demand-driven interventions and implement activities according to the needs and priorities of its beneficiaries and partners;

- Implement using principles of adaptive management, working with partners to identify emerging opportunities for increasing impact;

- Coordinate extensively and place a premium on cooperation with other donor-funded programming in Ukraine to minimize overlap and waste of resources.

Pro-Integrity will engage multiple national-level stakeholders that will include not only Government of Ukraine specialized anti-corruption institutions, but the broader community of actors in the governance sphere. Over the course of its lifetime, Pro-Integrity will engage and benefit dozens of local government entities at the national, regional, and municipal levels, in addition to engaging Ukrainian private sector and civil society stakeholders.

Pro-Integrity is designed to embrace innovation in combating corruption, including automation and digitalization, as well as regulatory and procedural reforms, as important means to assist institutions and actors in achieving their goals and meeting the needs of individuals and communities they are mandated to serve. Toward this end, Pro-Integrity will establish new and strengthen existing platforms, facilitate collaboration and networks, accelerate locally driven initiatives, and advance cultures of experimentation and innovation that strengthen institutional performance, assist in solving problems, enhance experiences, and ultimately maximize anticorruption outcomes.

Among other things, Pro-Integrity will work with the anti-corruption agencies, CSOs, think tanks, and academia to identify and shape potential responses to strategic corruption as a tenet of foreign policy by malign foreign governments. Please refer to Section D. Program Description for a complete statement of goals and immediate outcomes.

To achieve the Pro-Integrity objectives and promote sustainable development, DAI will utilize local organizations to the fullest extent possible during the implementation of the Activity through "Grants under Contract" (GUCs).

All reasonable, allocable, and allowable expenses, both direct and indirect, which are related to the grant program and are in accordance with applicable cost standards (2 CFR 200 Subpart E for all US-based and for non-US based non-profit organizations, and the Federal Acquisition Regulation (FAR) Part 31 for for-profit organizations), may be paid under the grant.

For non-US organizations, the Standard Provisions for Non-US Nongovernmental Recipients will apply. For US organizations, 2 CFR 200 and the Standard Provisions for U.S. Nongovernmental Recipients will apply. See Annex 1 for Mandatory Standard Provisions.

DAI reserves the right to fund any or none of the applications submitted.

Subject to the availability of funds, DAI intends to provide up to three (3) grants to eligible organizations as defined in Section A. Grant Application Instructions. Total available funding for this RFA must not exceed $600,000. The expected duration of DAI support or the period of performance is up to 18 months. DAI, as primary implementer of the Pro-Integrity Activity, reserves the right to fund any or none of the applications submitted.

For the purposes of this program, this RFA is being issued and consists of this cover letter and the following:

    Section A – Grant Application Instructions
    Section B – Special Grant Requirements
    Section C – Selection Process
    Section D – Program Description
    Annexes

Applications must be received at the Pro-Integrity grants submission email (Pro-Integrity_Grants@dai.com) not later than the date and the time indicated at the top of the cover letter. Applications and modifications thereof shall be submitted in electronic format (MSWORD and EXCEL) to Pro-Integrity at Pro-Integrity_Grants@dai.com

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

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

Any questions concerning this RFA should be submitted in writing not later than December 03, 2024 to Pro-Integrity_Grants@dai.com with the subject line of *PI-RFA-0003 Pro-Integrity Strategic Corruption Mitigation*. Answers will be published on the same online platforms where announcements were posted.
Applicants should retain for their records one copy of all enclosures which accompany their application.

Thank you for your interest in Pro-Integrity project activities.

Sincerely,

Peter Dimitroff
Pro-Integrity Activity Chief of Party

Section A – Grant Application Instructions

1. Application Procedure

A. Completion and submission of applications

Eligibility Requirements

Organizations interested in submitting their applications for this RFA shall satisfy the following criteria:

- Ukrainian non-government organizations (NGOs) or civil society organizations (CSOs), associations, research institutions, and educational institutions legally established in Ukraine and recognized as such by the State Tax Service of Ukraine, **or**

- Other non-governmental US or non-US organizations.

- Ineligible organizations include:

    o any governmental or charitable organizations, including local government bodies;

    o faith-based organizations whose objectives are discriminatory or limited by the laws of Ukraine;

    o any "Public International Organization" (PIO)[1];

    o organizations included in the List of Parties Excluded from Federal Procurements and Non-Procurement Programs. In addition, organizations are not eligible for awards if they have members who appear in the U.S. Department of Treasury's List of Specially Designated Nationals (OFAC's Sanctions List) and Blocked Persons or who have been designated by the United Nations Security (UNSC) sanctions committee established under UNSC Resolution 1267 (1999) (the 1267 Committee) as an individual or organization linked to terrorism;

    o any entity affiliated with DAI and DAI subcontractors or any of its directors, officers, or employees;

    o private individuals or unregistered initiative groups;

    o private-sector for-profit organizations.

- Applicant organizations must have a SAM registration (applicants are encouraged to apply at https://www.sam.gov/).

- Applicant organizations must:

    o demonstrate past performance in technical areas relevant to the scope of work or similar areas;

    o demonstrate experience in collaborating with CSOs with the relevant to the project expertise and / or government partners (depending on the focus of the proposal submitted);

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[1] See https://www.usaid.gov/sites/default/files/2023-02/308.pdf for definition

- o demonstrate that there is a high probability of success in a combination of past results, low risk, and professional performance;

- o effectively showcase professional and technical qualifications, experience and communications skills that will be brought to this grant;

- o demonstrate a track record of the following areas (as relevant to the application submitted): collecting and analyzing quantitative and qualitative data; producing targeted, high-quality research; organizing multi-stakeholder complex thematic events; producing educational / awareness-raising materials; establishing and maintaining networks of thematic professionals;

- o showcase staff and external experts with relevant knowledge and skills to implement the described project;

- o be ready for and open to co-creation of the proposed grant activities with the Pro-Integrity team and external stakeholders – to ensure complementarity between grant activities within the RFA portfolio and compatibility / economies of scale / multiplier effects with Pro-Integrity-supported non-grant activities under Expected Result 1.4.2 and beyond. (Countering strategic corruption is part of Pro-Integrity's **Expected Result 1.4.2**: "Transnational / Strategic Corruption Mitigation: Ukrainian civil society, think tanks, and academia collaborative engagement in researching, exposing, and reducing Ukraine's vulnerability to transnational and strategic corruption enhanced")

Application Submission Requirements
- ➤ Applications may be submitted only by email to Pro-Integrity_Grants@dai.com
- ➤ Applications must be submitted in MS Word format and budget in MS Excel
- ➤ Applications must include *(adjust as necessary)*:
  - Completed Application Form
  - Projected Grant Budget
  - CVs of all project staff members
  - Workplan
  - Completed Financial Capability Questionnaire and attachments
  - Statement of liability (part of application form)

Deadlines
Applications must be received by January 15, 2025 (please note that this is the updated closing date) at 17:00 Kyiv time. Applications and modifications thereof shall be submitted in electronic format to Pro-Integrity_Grants@dai.com.

Late Applications
All applications received by the deadline will be reviewed for responsiveness and programmatic merit according to the specifications outlined in these guidelines and the application format. Section C addresses the evaluation procedures for the applications. Applications which are submitted late or are incomplete run the risk of not being considered in the review process.

B. Preparation Instructions – Technical

Page Limitation: Applications should be specific, complete, presented concisely.

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

1.   **Project Description**: The applicant must provide a detailed description of the project, specifying its goal, activities, and results.

2.   **Monitoring (Results and Benchmarks)**: The applicant should define, to the maximum extent possible at the application stage, results and benchmarks for monitoring the performance towards attainment of the RFAs' expected outcomes.

3.   **Sustainability:** The applicant should describe how the project's benefits will continue after grant funding ends.

4.   **Personnel.** The applicant should propose key personnel and experts with qualifications descriptions. Each applicant should provide, as part of their application, detailed curriculum vitae that demonstrate the key personnel and experts' ability to perform the duties outlined in the statement of work and in accordance with the evaluation factors found herein. DAI will evaluate the CV to determine the individual's knowledge, skills and abilities in the areas listed herein.

5.   **Organizational Capability:** Each application shall include information that demonstrates the applicant's expertise and ability to meet or exceed the goals of the project.

6.   **Past Performance**: Applicants must present evidence of their past experience in the area of conducting political studies, analysis of geopolitical and security risks and other areas relevant to the proposed project. Applicants may include descriptions of at least three (3) projects or other similar activities. These references should include three (3) clients' names and emails and telephone numbers who will serve as references.

7.   **Budget**: All proposals must include a completed budget; see Subsection C. Preparation Instructions – Financial and Administrative Documentation for more details.

C. Preparation Instructions – Financial and Administrative Documentation

1. **Completed Budget.** All budget lines must be clearly linked to specific project activities. See attached Annex 5 for the budget form. Supporting information shall be provided, as necessary, in sufficient detail to allow a complete analysis of each line-item cost.

2. **Completed Financial Capability Questionnaire,** which includes:
    a. **Audited Financial Reports:** Copy of the applicant's most recent financial report, which has been audited by a certified public accountant or other auditor satisfactory to DAI. If no recent audit, a "Balance Sheet" and "Income Statement" for the most current and previous fiscal year.

b. Incorporation Papers or Certificate of Registration and Statute
c. Organizational chart

3. Documentation that the applicant has the ability to comply with the award conditions, taking into account all existing and currently prospective commitments of the applicant. The applicant must demonstrate its ability to segregate funds obtained from the award of a capital grant from other activities of the organization. A separate bank account is required should a grant award be made. (Documentation may include certification from the applicant's bank or a summary of previous awards, including type of funding, value, client, etc.)

4. Documentation that the applicant has a satisfactory record of integrity and business ethics. (Documentation may include references from other donors or clients and a summary of previous awards, including type of funding, value, client, etc.)

5. *Documentation that the applicant adheres to appropriate financial and accounting standards*:
- copy of applicant's accounting policy
- copy of applicant's operations policies (Human Resources, Inventory)
- copy of procurement policies

6. Unique Entity ID (SAM)There is a mandatory requirement for the applicant to provide a Unique Entity ID (SAM) to DAI. Without a Unique Entity ID (SAM), DAI cannot deem an applicant to be "responsible" to conduct business with and therefore, DAI will not enter into an agreement with any such organization. The award of a grant resulting from this RFA is contingent upon the winner providing a Unique Entity ID (SAM) to DAI. Organizations who fail to provide a Unique Entity ID (SAM) will not receive an agreement and DAI will select an alternate awardee.
All U.S. and foreign organizations which receive a grant are required to obtain a Unique Entity ID (SAM) prior to signing of the agreement.

SECTION B. Special Grant Requirements

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

Separate Account: A separate account must be established to house all funds provided under the grant, as well as all interest income.

Permitted Uses of Project Income: The Grantee will inform DAI of any project income generated under the grant and agrees to follow USAID's disposition requirements for such program income, which is in accordance with 2 CFR 200.307. Program income earned under this agreement shall be applied and used in the following descending order:

1. Added to funds committed by USAID and the recipient to the project or program, and used to further eligible project or program objectives;
2. Used to finance the non-Federal share of the project or program; and

3. Deducted from the total project or program allowable cost in determining the net allowable costs on which the federal share of costs is based.

If the terms and conditions of the award do not specify how program income is to be used, then number 2) shall apply automatically. Grantees who are commercial organizations may not apply Option 1) to their program income.

Use of Funds: Funds provided under any grant awarded shall be used exclusively to successful application implementation and current activities under the grant. Use of funds may include, but are not limited to and dependent on the grant award type, engaging experts for activity development and execution, development of materials, business trips (if applicable), communication and outreach strategies for the activities, promotion of events/activities, as well as for implementation of other activities provided by the applicants and approved by Pro-Integrity/USAID.

Reporting Procedures: A description of reporting requirements will be included in the Grant Agreements. The types of reporting required, along with the schedule of reporting, will depend on the grant type and project duration. Reporting forms will be provided to Grantees.

Project Monitoring: DAI staff will monitor projects in terms of both programmatic and financial aspects. Grantees will be expected to facilitate monitoring by making relevant information available to DAI staff.

Restrictions: The Grant Funds provided under the terms of this Agreement shall <u>not</u> be used to finance any of the following:

1. Goods or services which are to be used primarily to meet military requirements or to support police or other law enforcement activities,

2. Surveillance equipment,

3. Equipment, research and/or services related to involuntary sterilization or the performance of abortion as a method of family planning,

4. Gambling equipment, supplies for gambling facilities or any hotels, casinos or accommodations in which gambling facilities are or are planned to be located,

5. Activities which significantly degrade national parks or similar protected areas or introduce exotic plants or animals into such areas, or

6. Establishment or development of any export processing zone or designated area where the labor, environmental, tax, tariff, and/or safety laws of the country in which such activity takes place would not apply.

7. Pharmaceuticals,

8. Pesticides,

9.   Logging equipment,

10.   Luxury goods (including alcoholic beverages and jewelry),

11.   Establishing or expanding any enterprise that will export raw materials that are likely to be in surplus in world markets at the time such production becomes effective and that are likely to cause substantial injury to U.S. producers,

12.   Activities which would result in the loss of forest lands due to livestock rearing, road construction or maintenance, colonization of forest lands or construction of dams or other water control structures,

13.   Activities which are likely to have a significant adverse effect on the environment, including any of the following (to the extent such activities are likely to have a significant adverse impact on the environment):

   i.)   Activities which may lead to degrading the quality or renewability of natural resources;
   ii.)   Activities which may lead to degrading the presence or health of threatened ecosystems or biodiversity;
   iii.)   Activities which may lead to degrading long-term viability of agricultural or forestry production (including through use of pesticides);
   iv.)   Activities which may lead to degrading community and social systems, including potable water supply, land administration, community health and well-being or social harmony.

14.   Activities which are likely to involve the loss of jobs in the United States due to the relocation or expansion outside of the United States of an enterprise located in the United States, or

15.   Activities which the Grantee is aware are reasonably likely to contribute to the violation of internationally or locally recognized rights of workers,

16.   Activities to support the production of agricultural commodities for export from Ukraine when such commodities would directly compete with exports of similar United States agricultural commodities to third countries and have a significant impact on United States exporters.

SECTION C. Selection Process

The review panel will convene to make evaluation and selection of applications; the panel will include technical experts to evaluate the proposals. Throughout the evaluation process, DAI shall take steps to ensure that members of the review panel do not have any conflicts of interest or the appearance of such with regard to the organization whose application is under review. An individual shall be

considered to have the appearance of a conflict of interest if that person, or that person's spouse, partner, child, close friend or relative works for or is negotiating to work for, or has a financial interest (including being an unpaid member of a Board of Directors) in any organization that submitted an application currently under the panel's review. Members of the panel shall neither solicit nor accept gratuities, favors, or anything of monetary value from parties to the awards.

All applications that meet the application requirements will be reviewed by the review panel. Verification of the application submission requirements will be conducted by Pro-Integrity technical and grants staff.

"After an application is received, if DAI determines that it is suitable, an award will be made following USAID review and approval and within approximately 20 working days of the review panel meeting provided that the awardee furnishes DAI with all the required documentation as itemized in Section A of this RFA.

The application will be evaluated according to the evaluation criteria set forth below. To the extent necessary (if award is not made based on an initial application), negotiations may be conducted with each applicant whose application, after discussion and negotiation, has a reasonable chance of being selected for award. **Award will be made to responsible applicants whose applications offer the best value**.

Pro-Integrity will use the following Application Evaluation Criteria[2] combination to select the applications from the pool:

Application Evaluation Criterion	Maximum Points
Project justification and design (proposed project design is well-structured, realistic, innovative/creative, it includes clear goals, objectives, methodology, coordination/collaboration approach, and link to the RFA priorities	30
Past performance (applicant has experience/proven history in conducting projects of a similar nature and scale in technical areas relevant to the RFA priorities and has positive track record in implementation of projects with international technical assistance)	30
Sustainability and impact	10
Proposed staff composition and external experts, clarity of the management plan (key personnel and expert have adequate professional and technical qualifications)	20
Quality of the budget and cost reasonableness	10
Total points that can be obtained	100

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[2] Should amendments to the Criteria be made after the RFA is announced, Pro-Integrity will publish the updated Evaluation Criteria as an update to this RFA and will additionally inform all applicants who will have submitted their application packages already.

Please note that even if an application is selected from the pool, this **should not be interpreted as an implicit promise of award** until the co-creation stage is complete, all documents are finalized, and the potential grant is approved in writing by USAID in consultation with the UK Dev. Please also note that after the grant agreement is signed and implementation commences, USAID retains the right to terminate the grant activity (activities) unilaterally in extraordinary circumstances.

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

Signing of Grant Agreements

Upon USAID approval of the applicant, a Grant Agreement will be prepared. After DAI and the successful applicant have signed the Grant Agreement, DAI will provide training on financial management and reporting on grant funds. All reporting and contractual obligations will be explained to the Grantees. Before receiving the first grant installment, *all Grantees must open a separate bank account* as this is the only means by which grant funds will be transferred from DAI to the Grantee.

SECTION D. Program Description

Background/Problem Identification.

The December 2022 USAID Anti-Corruption Policy[3] defines "strategic corruption" as a set of circumstances "when a government weaponizes corrupt practices as a tenet of its foreign policy". In turn, the focus on strategic corruption has been emphasized earlier, in the United States Strategy on Countering Corruption of December 2021[4].

Ukraine is not new to the phenomenon of strategic corruption: both *inside the country* and as manifested in the *geopolitical decisions and developments outside of its borders* – but with direct, vital relevance to Ukraine's security and governance interests. One could argue that decades-long dismantling of Ukraine's strategic enterprises and economy[5], creation and nurturing of a crony capitalism and oligarchy-based system in Ukraine[6], attempts to influence the country's political system from within[7] - have all been, at least in part, manifestations of strategic political corruption fomented by russia in Ukraine. Outside of Ukraine's borders, russia's continued work through networks of foreign political parties[8] as well as media, think tanks, and opinion leaders, electoral disinformation campaigns globally, as well as previously successful attempts to tie the European economies through lucrative natural gas deals – can all be suspected to contain elements of strategic corruption.

While the use of corruption as an element of foreign policy, debt entrapment or eroding social trust and unity through misinformation are not at all new to the world of geopolitics, it is recently that the emphasis on strategic (as well as transnational) corruption has started taking hold in the realm of international development. Pro-Integrity, as the flagship USAID and UK Dev anti-corruption initiative, has included this emphasis as one of the priorities and avenues for exploration.

It is expected that interventions supported by Pro-Integrity will be complementary to broader USAID and UK Dev efforts globally to address this phenomenon – including to the programming such as the Global Accountability Program or the Countering Transnational Corruption Grand Challenge[9]. Pro-Integrity will also explore initiatives that touch upon the three priorities of the USAID Financial Transparency and Integrity Accelerator[10] - a suite of programs that are called to address issues of global-scale beneficial ownership, public procurement and minimizing the role of corruption "enablers"[11].

Countering strategic corruption is part of Pro-Integrity's **Expected Result 1.4.2**: "Transnational / Strategic Corruption Mitigation: Ukrainian civil society, think tanks, and academia collaborative engagement in researching, exposing, and reducing Ukraine's vulnerability to transnational and strategic corruption enhanced".

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[3] https://www.usaid.gov/sites/default/files/2022-12/USAID-Anti-Corruption-Policy.pdf
[4] https://www.whitehouse.gov/wp-content/uploads/2021/12/United-States-Strategy-on-Countering-Corruption.pdf
[5] https://www.youtube.com/watch?v=3kUfAadXSTw
[6] https://www.chathamhouse.org/2021/07/ukraines-system-crony-capitalism
[7] https://www.theguardian.com/world/2022/mar/20/ukraine-suspends-11-political-parties-with-links-to-russia
[8] https://www.atlanticcouncil.org/blogs/ukrainealert/putin-is-weaponizing-corruption-to-weaken-europe-from-within/
[9] https://www.usaid.gov/anti-corruption/countering-transnational-corruption-grand-challenge
[10] https://www.usaid.gov/anti-corruption/financialtransparencyandintegrity
[11] https://www.usaid.gov/anti-corruption/document/fti-cohorts-considerations-governments-working-alongside-civil-society-address-corruption-and-money-laundering-risks-various-gatekeeper-professions-and-sectors

<u>Scope of Grant</u>

The purpose of this Request for Applications (RFA) is to collect viable, innovative, transformative ideas and proposals that can help Pro-Integrity (1) make a tangible contribution to understanding of the strategic corruption phenomenon as it applies to Ukraine, (2) determine concrete steps that Ukraine can take to help counteract strategic corruption within its own governance systems (institutional resiliency) and vis-à-vis external stakeholders and partners, and (3) support and build coalitions and knowledge networks to exchange best practices and policy solutions to address strategic corruption in Ukraine and abroad.

Pro-Integrity will prioritize the following thematic domains within the broad field of countering strategic corruption:

1. Identify domestic (Ukrainian) steps to shield from strategic corruption interventions, increase the resilience of Ukraine's institutions, and explore policy documents (e.g., the National Anti-Corruption Strategy) that could incorporate relevant priorities, approaches and include practical steps to start allocating resources to address the problem within Ukraine;

2. Assess whether, in its current configuration, Ukraine's economy has broken free from the toxic effects of strategic corruption in the past (including both the private sector and the state-owned enterprises). Explore the status of oligarchy in Ukraine, contrast with the pre-full-fledged-war environment, and forecast – based on today's trends, if at all possible – what thematic economic domains would have to be under increased scrutiny to prevent a rollback of the situation[12];

3. Map out the networks of channels (social and digital media as well as think tanks and pundits) that promote discourse that mixes facts of anti-corruption investigations and corruption scandals in Ukraine with mis- / dis- / mal-information and purposefully aims at disrupting assistance to Ukraine from its allies;

4. Map out networks of actors that undermine the European political system by injecting narratives into the EU societies to undermine the Union's institutional resilience by appealing to democratic values of the freedom of expression, speech, thought, religion, and other democratic values, turning them against the stability of political systems;

5. Propose and implement activities aimed at building academic and practitioner-oriented networks that explore, research, analyze, debate, and advocate practical responses to, and share knowledge broadly and publicly on issues relevant to countering strategic corruption, linking it to Ukraine's domestic reforms and external geopolitical positioning.

Pro-Integrity **does not limit** potential applicants to the five abovementioned thematic priorities and welcomes applications that creatively combine them or offer additional approaches.

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[12] For instance, just to note two concrete examples: a) Ukraine's massive reconstruction post-war would entail enormous volumes of (re)construction work, which could be a lucrative sphere for adversarial strategic corruption interventions of malicious state actors that could use this situation both to generate revenue through multilayered company ownership but also to corrupt the elites responsible for reconstruction to undermine governance at the (sub)national levels; b) Ukraine's extractive industries and deposits of importance for the green transition, including lithium, among others (see: https://www.researchgate.net/publication/380754740_Prospects_for_the_lithium_deposits_development_in_Ukraine)

At the same time, the Pro-Integrity Grants Committee/Review Panel (including external experts invited to provide their feedback and scoring) reserves the right to assess whether applications that present ideas beyond the five thematic priorities are in line with the vision for Expected Result 1.4.2, and whether they are compatible with and complementary to other applications or intended programming beyond this RFA (for example, to activities that Pro-Integrity envisages through short-term technical expert assistance, institutional strengthening support, or commercially-procured research).

Immediate Outcomes and Illustrative Activities

Pro-Integrity welcomes applications that contribute to the following immediate outcomes:

- Ukrainian **domestic institutions and policies** (including overarching strategies) are **strengthened** to respond to manifestations of strategic corruption within Ukraine in line with USAID's Anti-Corruption Policy[13], and, where and if relevant, the Dekleptification Guide[14];

- A clear **mapping of Ukraine's vulnerabilities** to aggressor states and malign actors sowing corruption to destabilize and undermine public trust in government and undercut the country's Euro-Atlantic integration or entrap the country's vulnerable economy **emerges**, accompanied with **concrete and practical steps to improve the status quo**;

- Solid **networks of practitioners** (both based in Ukraine and abroad) to address the issues of strategic corruption **emerge** and begin their **consolidation** – to grow from one-off initiatives to sustainable communities of practice.

To contribute to these immediate outcomes, the applicants can consider (but should creatively interpret and add their own) the following activities (illustrative, non-exhaustive list):

- Conduct **qualitative and quantitative research** (including **economic assessments** and **modeling**) to estimate the effects of strategic corruption within Ukraine in the recent past (prior to the full-scale invasion), at present, and as may play out in the future;

- Conduct **social media mapping**, collecting and cataloging data on the nodes that produce and disseminate information, which may be classified as strategic corruption-related narratives that aim to harm Ukraine – domestically and abroad;

- Establish and strengthen **alliances** within Ukraine and abroad to capture narratives that portray Ukraine as a "hopelessly corrupt" state and design approaches to tackling these challenges, while abiding by principles of free speech;

- Work with **Ukrainian domestic institutions**, including but not limited to **state bodies** (e.g., the National Agency on Corruption Prevention (NACP), National Security and Defense Council's Center for Countering Disinformation (CCD)[15], Ministry of Culture and Information Policy's Centre for Strategic Communication[16]), businesses and civil society to develop **actionable data-driven domestic policies** to counter strategic corruption;

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[13] https://www.usaid.gov/anti-corruption/policy
[14] https://www.usaid.gov/anti-corruption/dekleptification - see specifically pages 22, 56 and 63
[15] https://cpd.aroksds.com.ua/en/
[16] https://spravdi.gov.ua/en/

- Organize, conduct, and capture **practical recommendations** from online, hybrid, or in-person **discussions, round-tables, conferences,** or sections at larger forums (domestic and foreign) to assemble and consolidate networks of practitioners and applied research academics working on issues of strategic corruption as relevant to the Ukrainian context;

- Design and run **domestic and international communications and advocacy campaigns** relevant to the identified strategic corruption themes;

- Produce **knowledge products** (reports, podcast series, other relevant knowledge transfer formats) in coordination with USAID and UK Dev Ukraine programs and complementary to the efforts led by the USAID Anti-Corruption Center to contribute to global knowledge[17] on anti-corruption work and **practical case studies**;

- Offer **activities** as part of **multi-country efforts** and programming by global players (such as OCCRP[18] or non-journalism networks) that would add work on Ukraine as complementary to existing projects and initiatives;

- Produce **edutainment series** on Ukraine's and international social media and traditional media channels[19] to inform the broader public of the mechanisms that strategic corruption operates and how it manifests in Ukraine and abroad in internal political affairs.

As necessary, the Pro-Integrity may suggest additional activities to the selected NGOs to ensure alignment with other project activities and priorities.

Personnel Requirements
- Please list all project team members, including their position, role in the project and a short description of their assigned responsibilities

Anticipated Deliverables
- Project deliverables will be dependent on the individual application.

Technical Supervisor Successful applicants will report to the Pro-Integrity Objective 1 Anti-Money Laundering Advisor.

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[17] See, for example, contributions to the USAID Anti-Corruption Evidence and Learning Week: https://usaidlearninglab.org/resources/usaid-anti-corruption-evidence-and-learning-week
[18] https://www.occrp.org/en
[19] Including but not limited to: https://www.youtube.com/@WAS_UA; https://www.youtube.com/@costua; https://www.youtube.com/@OstanniyCapitalist; https://www.youtube.com/@Document_history; https://www.youtube.com/@komikistoryk or other relevant online video-communities

Annex 1: Mandatory Standard Provisions

In-Kind Grant:
Under an in-kind grant, goods and services are procured directly by DAI in close coordination with the grantee. Once purchased, goods and services are delivered immediately to the grantee or to the grant activity. All procurement is undertaken on the grantees' behalf by DAI. Mandatory Standard Provisions:
(https://www.usaid.gov/ads/policy/300/303mat).

Fixed Amount Awards:
A fixed amount award is used when there is reasonable certainty concerning cost, and where fixed payments are made based on the accomplishment of well-defined milestones. Mandatory Standard Provisions: (https://www.usaid.gov/ads/policy/300/303mat).

Simplified/Standard Grant:
A simplified or standard grant is used when it is not possible to develop well-defined milestones and when costs are not reasonably certain. Payments are made to grantee on a cost reimbursable basis. Mandatory Standard Provisions for Non US Nongovernmental Recipients: (https://www.usaid.gov/ads/policy/300/303mab). Mandatory Standard Provisions for US Nongovernmental Recipients:
(https://www.usaid.gov/ads/policy/300/303maa).

Annex 2: Certifications, Assurances, Other Statements of the Recipient

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

1. Assurance of Compliance with Laws and Regulations Governing Non-Discrimination in Federally Assisted Programs *(Note: This certification applies to Non-U.S. organizations if any part of the program will be undertaken in the United States.)*
2. Certification Regarding Lobbying *(This certification applies to grants greater than $100,000.)*
3. Prohibition on Assistance to Drug Traffickers for Covered Countries and Individuals (ADS 206)
4. Certification Regarding Support to Terrorists, Implementing Executive Order 13224
5. Certification Regarding Trafficking in Persons, Implementing Title XVII of the National Defense Authorization Act for Fiscal Year 2013 *(Note: This certification applies if grant for services required to be performed outside of the United States is greater than $500,000. This certification must be submitted annually to the USAID Agreement Officer during the term of the grant.)*
6. Certification of Recipient

In addition, the following certifications will be included **Part II – Key Individual Certification Narcotics Offenses and Drug Trafficking** *(Note: <u>Only as required per ADS 206 for Key Individuals or Covered Participants in covered countries</u>.)*

Part III – Participant Certification Narcotics Offenses and Drug Trafficking *(Note: <u>Only as required per ADS 206 for Key Individuals or Covered Participants in covered countries</u>.)*

Part IV – Representation by Organization Regarding a Delinquent Tax Liability or a Felony Criminal Conviction
Part V Prohibition on Providing Federal Assistance to Entities that Require Certain Internal Confidentiality Agreements
Part VI – Other Statements of Recipient
Part VII – Standard Provisions for Solicitations

Annex 3: Application Form

Note: Please fill in the Application in English language.

I. THE APPLICANT	
1. **Name of the Applicant** *(please include acronyms, if any)* (*according to official registration documents and date of establishment*)	
2. **Address of the Applicant** *(please include the official address, as well as the postal address)*	
Official address:	
Postal address:	
Telephone:	
E-mail:	
Website:	
Contact person:	
II. PROJECT INFORMATION	
1. **Project title**	
2. **Project duration**	
3. **Project geographic reach**	
4. **Summary Budget**	
Requested amount, USD:	
Other donors or third-party contribution to the project, USD, (if applicable):	
Total estimated cost, USD:	
5. **BRIEF STATEMENT OF PURPOSE/ PROJECT SUMMARY** • **Project Summary Statement:** (*The summary should clearly and concisely describe the project, its direct outcome(-s) and how it will contribute to the achievement of a higher-level result; it should be a maximum of 4 sentences. Provide the high-level overview of the problem and what the proposed grant will do to address this problem. For additional detail, the reader can refer to the background section below. The structure is as follows: Sentence 1 – Should reflect the Grant's objective(-s); Sentences 2-3 – Should provide brief and concise background about the problem; Sentence 4 – Should describe the grants outputs and planned outcomes.*	
6. **Background** **Specific Problem(s)/Opportunities**: (*in one-two paragraphs, please describe the specific problem(s)/opportunities that the proposed grant will address and the importance of this to Ukraine: briefly explain the background in the country or region with a specific focus on how it relates to the issue you are going to state in the Rationale.*) **Rationale:** (*in one paragraph, please describe why this project is important to Ukraine and how it contributes to achievement of Pro-Integrity's objectives: based on evidence, establish the specific issue, problem, or priority the program will address and clearly detail how the program is linked to*	

the problems. This paragraph explains the reader why the project should be prioritized, what problem/issue it will address, and why it is relevant to Pro-Integrity.)

7. Program Goals and Objectives

The overall program goal is ___ *(please insert, if the planned grants has more than one objective, in this case the goal should be overarching of all grants objectives)*

It will focus on achieving ___*(insert number of objectives, if more than 1)* specific objectives:

Objective 1: [*insert Objective 1 statement*]

Objective XX: [*insert Objective XX statement, if applicable*]

8. Description of Program Activities/ Recipient Responsibilities

(Under each objective, please provide description of activities (activities with methodological/technical approach and partners if applicable, and communication and advocacy actions if applicable) together with results and outputs)

Objective 1:

Activity 1:

Activity XX:

Objective XX:

Activity 1:

Activity XX:

9. Expected Outcomes/Planned Outputs

(Under each objective, please provide grant award planned outputs and expected outcomes that contribute to achieving the objectives)

Objective 1:

    Outcome 1.1

        Output 1.1.1

        Output 1.1.Y

    Outcome 1.2

        Output 1.2.1

        Output 1.2.Y

Objective XX:

    Outcome XX.1

        Output XX.1.1

        Output XX.1.Y

    Outcome XX.2

        Output XX.2.1

        Output XX.2.Y

10. Beneficiaries (no more than one page)

Please, indicate direct beneficiaries (refer to the number of individuals who receive something from the grant (workers, students, teachers, youth). This should be a number that can be counted, meaning individuals with contact information. It does not include partner staff, nor should it include anybody who will not individually see a direct impact. DO NOT include the

awardee staff) and secondary (indirect) beneficiaries of the proposed project. Where possible and for those activities that involve direct citizen engagement, please estimate the number of persons directly involved, including war veterans, women, youth, people with disabilities, internally displaced persons, representatives of national minorities or other defined groups. Please also indicate target groups if applicable.

For media or communications activity, please clearly indicate the target audience.

11. **Gender Equality and Social Inclusion (GESI)**

Can you describe your organization's Gender Equality and Social Inclusion (GESI) efforts? Describe the ways of including gender issues in the project's interventions; describe if there are any obstacles and how will be addressed?

12. **Sustainability of initiative and durability of results, risk mitigation** (maximum 1-3 pages)

- Describe how the activities of your project will be sustained after the funding ends. How will the activities or results of your project continue.
- Please describe identified risk factors and their likelihood together with mitigation strategy.
- What are the strategies to minimize risks related to the on-going war? (including the security of participants at events) and proposed measures for a highly-flexible and adaptive approach to implementation.

13. **Project activity schedule and timeline (preliminary, high-level outline)**

(Based on the proposed activities, please fill in the work plan using the template provided in Annex 4)

III. THE APPLICATS ORAGANIZATION AND PAST PERFORMANCE

Brief information about the applicant's organization (maximum 1 page)

- *Main areas of expertise – describe your organization's main competencies in the areas of public integrity, transparency and accountability. Describe your organization's mission.*
- *Describe beneficiaries, target audience and partners of your organization.*
- *Explain what kind of in-house or outside experts your organization involves in its daily work.*

Provide a list of your organization's three current or latest projects in the areas targeted by the Pro-Integrity funded by international donors or local organizations.

Results of previous work (maximum 1 page)

- *Provide evidence of your organization's experience in the areas targeted by the Pro-Integrity.*

Describe qualitative and quantitative results, achieved by your organization in the areas covered by the Pro-Integrity.

1. Based on your organization's experience please describe if relevant (1-2 pages max)

	a. Your organization's history of cooperation with the anti-corruption ecosystem, other government accountability and transparency actors, collaboration with businesses or relevant coalitions b. Experience in national, international, regional advocacy efforts. Please include two examples of such campaigns and their brief outcomes (maximum 1-2 pages) c. Experience in conducting communications and outreach campaigns on transparency and integrity. d. Any other relevant activities to support anti-corruption efforts

IV. STATEMENT OF LIABILITY

I, the undersigned, being the person responsible in the applicant organization for this project, certify that the information given in this application is true and accurate. Name and surname:	
Position	
Signature & stamp (if available):	
Date	

V. Past Performance

Include projects that best illustrate your work experience relevant to this Application, sorted by decreasing order of completion date.

Projects should have been undertaken in the past seven years.

#	Project Title	Description of Activities	Location Province/ District	Client Name/Tel No and email address	Amount in US$	Start and End Dates	Completed on schedule. (Yes/No)	Completion Letter Received? (Yes/No)	Type of Agreement, Subcontract, Grant, PO (fixed price, cost reimbursable)
1									
2									
3									
4									
5									

Annex 4: Workplan

USAID/UK Dev Pro-Integrity Grant Implementation Plan

Name of Applicant:

Activity Name	Activity Description	Implementation Timeline (ex. Months ##1-2 or Month #4)	Outputs/Results (Describe results activity will achieve and provide qualitative and quantitative data whenever applicable)

Annex 5: Budget (to be included as a separate document)

Annex 6: CV Form

Note: While CVs need not be reformatted for this application, they should contain the following information at a minimum.

Curriculum Vitae

Proposed position in the project:

Name (First, Middle, Last):

Citizenship:

Education:

Name and location of institution	Major(s) or Degree(s) obtained:

Language proficiency – indicate proficiency on a scale of 1 (poor) to 5 (native):

Language	Reading	Speaking	Writing

Membership of NGOs or other professional bodies:

Key skills and qualifications relevant to the project (e.g. computer literacy, etc.):

Employment history:

Position Title	Employer's name and address	Dates of employment From (month, year)	To (month, year)	Short description of tasks performed

Other relevant information: (e.g. publications, seminars/courses etc.):

Annex 7: Financial Capability Questionnaire

Accounting System and Financial Capability Questionnaire
For DAI Grantees

The main purpose of this questionnaire is to understand the systems adopted by your institution for financial oversight and accounting of grant funds, especially those provided through the U.S. Federal Government. The questionnaire will assist DAI program and accounting staff to identify the extent to which your institution's financial systems match the requirements of the U.S. Federal Government. This information will help the program staff work with you and your institution to review any problem areas that may be identified; thereby avoiding any problems or oversights which would be reportable should an audit of the program or institution be required.

The questionnaire should be completed by the financial officer of your institution in collaboration with DAI program staff. This questionnaire is informational only, and will not have any bearing on the agreement to support your institution based on the technical merit of the proposal. Therefore, please answer all questions to the best of your knowledge.

While 2 CFR 200 does not cover awards to non-U.S. recipients, DAI shall rely on the standards established in that regulation in determining whether potential non-U.S. recipients are responsible to manage Federal funds. A determination shall be made on the potential recipient's ability, or potential ability, to comply with the following USAID and federal-wide policies:

1) 2 CFR 200 Subpart D (Financial and Program Management);

2) 2 CFR 200 Subpart D (Property Standards);

3) 2 CFR 200 Subpart D (Procurement Standards); and

4) 2 CFR 200 Subpart D (Performance and Financial Monitoring and Reporting).

SECTION A: General Information

Please complete this section which provides general information on your institution.

Name of Institution: _____

Name and Title of Financial Contact Person: _____

Name of Person Filling out Questionnaire: _____

Mailing Address: _____

_____

_____

Street Address (if different) _____

_____

Telephone, Fax, Email (if applicable) _____

Enter the beginning and ending dates of your institution's fiscal year:

From: (Month, Day) _____ To: (Month, Day) _____

SECTION B: Internal Controls

Internal controls are procedures which ensure that: 1) financial transactions are approved by an authorized individual and are consistent with U.S. laws, regulations and your institution's policies; 2) assets are maintained safely and controlled; and 3) accounting records are complete, accurate and maintained on a consistent basis. Please complete the following questions concerning your institution's internal controls.

1. Does your institution maintain a record of how much time employees spend on different projects or activities?

Yes: ☐   No: ☐

2. If yes, how?

_____

_____

_____

3. Are timesheets kept for each paid employee?

Yes: ☐   No: ☐

4. Do you maintain an employment letter or contract which includes the employee's salary?

Yes: ☐   No: ☐

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

Yes: ☐   No: ☐ (if no, explain)

_____

_____

_____

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

_____

_____

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

Yes: ☐   No: ☐

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

9. Is the person(s) responsible for approving transactions familiar with U.S. Federal Cost principles as described in 2 CFR 200 Subpart E?

Yes: ☐   No: ☐

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

Yes: ☐   No: ☐

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

Yes: ☐   No: ☐

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

Yes: ☐   No: ☐

If yes, how long are such records kept? _____

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

Yes: ☐   No: ☐

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

Yes: ☐   No: ☐

15. Who would be responsible for financial reports? _____

SECTION C: Fund Control and Accounting Systems

Fund Control essentially means that access to bank accounts and/or other cash assets is limited to authorized individuals. Bank balances should be reconciled periodically to the accounting records. If cash cannot be maintained in a bank, it is very important to have strict controls over its maintenance and disbursement.

An Accounting System accurately records all financial transactions, and ensures that these transactions are supported by documentation. Some institutions may have computerized accounting systems while others use a manual system to record each transaction in a ledger. In all cases, the expenditure of funds provided by the USAID-funded program must be properly authorized, used for the intended purpose, and recorded in an organized and consistent manner.

1. Does your institution maintain separate accounting of funds for different projects by:

Separate bank accounts: ☐
A fund accounting system: ☐

2. Will any cash from the grant funds be maintained outside a bank (in petty cash funds, etc.)?

Yes: ☐   No: ☐

3. If yes, please explain the amount of funds to be maintained, the purpose and person responsible for safeguarding these funds.

_____

_____

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

_____

_____

_____

_____

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

    Yes: ☐   No: ☐

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

_____

_____

_____

7. Are your financial reports prepared on a:

Cash basis: ☐   Accrual basis: ☐

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

Yes: ☐   No: ☐

9. Is your institution's accounting system capable of separating the receipts and payments of the grant from the receipts and payments of your institution's other activities?

Yes: ☐   No: ☐

10. Is your institution's accounting system capable of accumulating individual grant transactions according to budget categories in the approved budget?

Yes: ☐   No: ☐

11. Is your institution's accounting system designed to detect errors in a timely manner?

Yes: ☐   No: ☐

12. How will your institution make sure that budget categories and/or overall budget limits for the grant will not be exceeded?

_____

_____

_____

_____

13. Are reconciliations between bank statements and accounting records performed monthly and reviewed by an appropriate individual?

Yes: ☐   No: ☐

14. Briefly describe your institution's system for filing and keeping supporting documentation.

_____

_____

_____

_____

SECTION D: Audit

The grant provisions require recipients to adhere to USAID regulations, including requirements to maintain records for a minimum of three years to make accounting records available for review by appropriate representatives of USAID or DAI, and, in some cases, may require an audit to be performed of your accounting records. Please provide the following information on prior audits of your institution.

1. Is someone in your institution familiar with U.S. government regulations concerning costs which can be charged to U.S. grants (2 CFR 200 Subpart E "Cost Principles")?

      Yes: ☐   No: ☐

2. Do you anticipate that your institution will have other sources of U.S. government funds during the period of this grant agreement?

      Yes: ☐   No: ☐

3. Have external accountants ever performed an audit of your institution's financial statements?

      Yes: ☐   No: ☐

If yes, please provide a copy of your most recent report.

4. Does your institution have regular audits?

Yes: ☐   No: ☐

If yes, who performs the audit and how frequently is it performed?

_____

_____

_____

5. If you do not have a current audit of your financial statements, please provide this office with a copy of the following financial statements, if available:

   a. A "Balance Sheet" for the most current and previous year; and
   b. An "Income Statement" for the most current and previous year.

6. Are there any circumstances that would prevent your institution from obtaining an audit?

Yes: ☐   No: ☐

If yes, please provide details:

_____

_____

_____

CHECKLIST AND SIGNATURE PAGE

DAI requests that your institution submit a number of documents along with this completed questionnaire. Complete this page to ensure that all requested information has been included.

Complete the checklist:

 Copy of your organization's most recent audit is attached.

 If no recent audit, a "Balance Sheet" "Income Statement" for the most current and previous fiscal year.

 All questions have been fully answered.

 An authorized individual has signed and dated this page.

Optional:

 Incorporation Papers or Certificate of Registration and Statute is attached.

 Information describing your institution is attached.

 Organizational chart, if available is attached (if applicable).

The Financial Capability Questionnaire must be signed and dated by an authorized person who has either completed or reviewed the form.

Approved by:

_____

Print Name

_____

Signature

_____

Title   Date _____

Annex 8: Application Checklist

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

☐ The application is submitted in electronic format.

☐ Applicable certifications and assurances are signed and included (see Annex 2)

☐ The workplan is included (Annex 4)

☐ Budget is included.

☐ The CVs Form is included (Annex 6)

☐ The statement of liability is signed and stamped (part IV. of application form – Annex 3)

☐ Completed Financial Capability Questionnaire (Annex 7)

☐ Audited Financial Reports: Copy of the applicant's most recent financial report, which has been audited by a certified public accountant or other auditor satisfactory to DAI. If no recent audit, a "Balance Sheet" and "Income Statement" for the most current and previous fiscal year.)

☐ Incorporation Papers or Certificate of Registration and Statute

☐ Organizational Chart

☐ Documentation that the applicant has the ability to comply with the award conditions, taking into account all existing and currently prospective commitments of the applicant. The applicant must demonstrate its ability to segregate funds obtained from the award of a capital grant from other activities of the organization. A separate bank account is required should a grant award be made. (Documentation may include certification from the applicant's bank or a summary of previous awards, including type of funding, value, client, etc.)

☐ Documentation that the applicant has a satisfactory record of integrity and business ethics. (Documentation may include references from other donors or clients and a summary of previous awards, including type of funding, value, client, etc..)

☐ Evidence of an Unique Entity ID (SAM) Unique Entity ID (SAM)Requirement.