AMENDMENT NO. 2 TO RFA NO. RFA-SAREP-FY23-001

The Request for Applications (RFA) is amended as follows:

1. Include the Questions and Answers

2. Amend parts of Sections 5 and 9 by deleting and replace wording as follows:

I. Section 5: Eligible Organizations
   The following sub-points under para 3:
   - In the case of India, comply with applicable provisions of the Foreign Contributions Regulations Act FCRA and have an active and valid FCRA registration valid at least for 6 months as of the date of application
   - In the case of Nepal, comply with provisions of The Social Welfare Act, 2049 (1992), and / or Associations Registration Act, 2034 (1977) and / or The Income Tax Act, 2002 (2058), as may be applicable
   - In the case of Bhutan, comply with regulations and norms of Civil Society Organization Authority (CSOA), Bhutan and the Bhutan Royal Monetary Authority, as may be applicable
   - In the case of Sri Lanka, have the mandatory registrations and approvals from the relevant Government Ministry. In addition, comply with regulations specified by External Resources Department under the Ministry of Finance and provisions specified by Voluntary Social Service Organizations (Registration and Supervision) Act, No. 31 of 1980 as amended, as may be applicable
   - In the case of Maldives, comply with regulations and provisions of Ministry of Youth, Sports & Community Empowerment and the Associations Act 1/2003, as may be applicable
   - In the case of Bangladesh, comply with the provisions of Foreign Donations (Voluntary Activities) Regulations Act, 2016, as may be applicable.

Entities must submit documents to support their eligibility to receive foreign grants.

Deleted:
   The following sub-points under para 3:
   - In the case of India, comply with applicable provisions of the Foreign Contributions Regulations Act FCRA and have an active and valid FCRA registration valid at least for 6 months as of the date of application
   - In the case of Nepal, comply with applicable provisions of The Social Welfare Act, 2049 (1992), Associations Registration Act, 2034 (1977) and The Income Tax Act, 2002 (2058)
In the case of Bhutan, comply with applicable regulations and norms of Civil Society Organization Authority (CSOA), Bhutan and the Bhutan Royal Monetary Authority.

In the case of Sri Lanka, have the mandatory registrations and approvals from the relevant Government Ministry. In addition, comply with regulations specified by External Resources Department under the Ministry of Finance and provisions specified by Voluntary Social Service Organizations (Registration and Supervision) Act, No. 31 of 1980, as amended.

In the case of Maldives, comply with applicable regulations and provisions of Ministry of Youth, Sports & Community Empowerment and the Associations Act 1/2003.

In the case of Bangladesh, comply with the provisions of Foreign Donations (Voluntary Activities) Regulations Act, 2016.

II. Section 9: Grant application form instructions / Sub point 5
Applicants must complete Part I (items 1-9) and submit the signed form along with all the required documents in Part 2 plus the three attachments.

Deleted:
Applicants must complete Part I (items 1-6) and submit the signed form along with all the required documents in Part 2 plus the three attachments.

III. Section 9: Grant application form instructions / Part II / Sub point 10

10. Monitoring and Evaluation Plan (Required). The Monitoring and Evaluation Plan should contain a set of performance indicators and targets against those indicators that will permit continuous measurement of progress toward targeted results. The baseline data and its source should be clearly identified. For each performance indicator, the definition and the unit of measurement should be specified along with the plan for reporting and validation of results. See Attachment D. (2 pages maximum).

Deleted:

10. Monitoring and Evaluation Plan (Required). The Monitoring and Evaluation Plan should contain a set of performance indicators and targets against those indicators that will permit continuous measurement of progress toward targeted results. The baseline data and its source should be clearly identified. For each performance indicator, the definition and the unit of measurement should be specified along with the plan for reporting and validation of results. See Attachment D. (1.5 pages maximum).
SOUTH ASIA REGIONAL ENERGY PARTNERSHIP (SAREP)

REQUEST FOR APPLICATIONS: SAREP PARTNERSHIP FUND

October 17, 2022 Amendment 2

TASK ORDER NUMBER: 72038621F00002

RTI PROJECT NUMBER: 0217240.002

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## I SUMMARY OF FUNDING OPPORTUNITY

Table 1-1: SUMMARY OF FUNDING OPPORTUNITY

<table>
<thead>
<tr>
<th>#</th>
<th>CATEGORY</th>
<th>DETAILS</th>
</tr>
</thead>
<tbody>
<tr>
<td>1</td>
<td>Request for Applications (RFA) Number</td>
<td>RFA-SAREP-FY23-001, Amendment 2</td>
</tr>
<tr>
<td>2</td>
<td>Date of Announcement</td>
<td>October 17, 2022</td>
</tr>
<tr>
<td>3</td>
<td>Issuing Office</td>
<td>RTI International – USAID SAREP Program</td>
</tr>
<tr>
<td>4</td>
<td>Questions to be submitted by email to:</td>
<td><a href="mailto:sarep-grants@rti.org">sarep-grants@rti.org</a> (Subject: Questions – Name of the entity)</td>
</tr>
<tr>
<td></td>
<td></td>
<td><a href="mailto:sarep-grants@rti.org">sarep-grants@rti.org</a> (Subject: Application – Name of the entity)</td>
</tr>
<tr>
<td>5</td>
<td>Information Dissemination meeting</td>
<td>October 31, 2022</td>
</tr>
<tr>
<td>6</td>
<td>RFA Questions Due</td>
<td>November 10, 2022</td>
</tr>
<tr>
<td>7</td>
<td>Applications Submission deadline</td>
<td>December 15, 2022 – 23:59 Hours IST</td>
</tr>
<tr>
<td>8</td>
<td>Submission Method</td>
<td>Documents must be submitted electronically in English</td>
</tr>
<tr>
<td>9</td>
<td>Maximum ceiling amount</td>
<td>The ceiling amount for Grants is $500,000 except for US organizations, for which the ceiling amount is $250,000</td>
</tr>
<tr>
<td>10</td>
<td>Eligible countries for performance</td>
<td>Bangladesh, Bhutan, India, Maldives, Nepal, Sri Lanka</td>
</tr>
<tr>
<td>11</td>
<td>Grantees to be registered in any of the following countries</td>
<td>Grantees should be registered in any of the countries not expressly prohibited in ADS 310 (<a href="https://www.usaid.gov/sites/default/files/documents/310.pdf">https://www.usaid.gov/sites/default/files/documents/310.pdf</a>) and ADS 310mac (<a href="https://www.usaid.gov/sites/default/files/documents/1864/310mac.pdf">https://www.usaid.gov/sites/default/files/documents/1864/310mac.pdf</a>)</td>
</tr>
<tr>
<td>12</td>
<td>Grantees to be legally authorized to operate in</td>
<td>Bangladesh, Bhutan, India, Maldives, Nepal, Sri Lanka</td>
</tr>
<tr>
<td>13</td>
<td>Duration of award</td>
<td>Up to 24 months with potential renewal award based on performance review, but not to exceed SAREP project duration</td>
</tr>
</tbody>
</table>
The South Asia Regional Energy Partnership (SAREP) is the flagship regional energy program of the United States Agency for International Development (USAID) mission to India (USAID/I). This five-year initiative (2021-26) will improve access to affordable, secure, reliable, and sustainable energy in six countries—Bangladesh, Bhutan, India, Maldives, Nepal, and Sri Lanka—in line with these countries’ climate and clean energy priorities. The program is a key activity under the U.S. Government’s Clean Edge Asia -Enhancing Development and Growth through Energy initiative and aligns with USAID’s climate change priorities to advance equitable and ambitious actions to confront the climate crisis. The program helps the United States Government’s Indo-Pacific Vision and facilitates collaboration among the six countries in South Asia to accelerate the transition to clean energy, mitigate climate change, and promote energy security.

SAREP seeks to encourage targeted action and drive systems change by engaging policymakers, regulators, utilities, private sector, investors, and think tanks among others, through four key technical objectives and three cross-cutting themes:

**Objective 1: Enhanced regional energy markets and integration.** SAREP will facilitate development of regional power markets, improve coordination and planning, strengthen national and regional institutions, drive consensus on power trade, and institutionalize a supporting framework and mechanisms. The expected outcome is increased cross-border electricity trade in the region by transitioning to tri- and multilateral power trade and a regionally integrated grid that will lead to an energy-secure South Asia.

**Objective 2: Increased deployment of advanced energy solutions and systems.** SAREP will enhance and accelerate deployment of clean energy technologies for transition to net zero emissions by helping partner countries reach near-term climate goals and avoid locking in longer-term emissions trajectories. These technologies include renewable energy, energy efficiency, energy storage, off-grid, behind-the-meter technologies and smart appliances, electric vehicles, green hydrogen, and solutions and tools to support renewable energy integration including market products among others.

**Objective 3: High-performing modern utilities.** SAREP will enable modernization of transmission, system operation and distribution utilities in the region to improve their technical, financial, and operational performance, grid resilience, enhance customer service, and promote adaptability to new technical advancements. The expected outcome is modern, financially viable utilities that enable clean energy transition and efficient energy markets.

**Objective 4: Transparent, best-value procurement and private sector investment mobilized.** SAREP will facilitate increased private sector investments and enhance domestic and international finance for clean energy deployment. SAREP will also enable improved procurement processes and governance, adoption of best-value procurement practices, promote PPP models, and improve bankability of clean energy projects.

SAREP’s activities and outcomes also support and contribute to the Strategic Clean Energy Partnership (SCEP) and the Climate Action and Finance Mobilization Dialogue (CAFMD) under the recently established U.S.-India Climate and Clean Energy Agenda 2030 Partnership. Through this collaboration, India and the U.S. aim to demonstrate swift climate action that is
inclusive, resilient, and based on national and regional priorities. Countries in the region will also benefit from this collaboration through sharing of the learnings, best practices, lessons, and templates from previous experience which can be customized and replicated in other South Asian countries.

**Private sector engagement.** SAREP will enable and enhance private sector participation, leverage and mobilize resources, strengthen the enabling environment, increase awareness and understanding of solutions to enhance private sector finances, and promote replication of successful approaches.

**Gender diversity and inclusion.** SAREP will increase awareness and enable inclusion considerations in the energy sector, particularly mainstreaming gender in the energy sector. It will also engage and promote women leaders and entrepreneurs across the region.

**Pollution mitigation.** SAREP will advance clean energy deployment to reduce air pollution associated with the energy sector.

SAREP aims to achieve the following outcomes (Expected Results) over the duration of the Program.

![Expected Results](image)

These outcomes will be achieved through a combination of activities delivered through:

1. **SAREP Task Order** being implemented by RTI International and its consortium members and subcontractors.

2. **SAREP Partnership Fund** i.e., grants administered by RTI International, as part of the SAREP Task Order.
3 PURPOSE OF THE SAREP PARTNERSHIP FUND

The SAREP Partnership Fund (SPF) will support market-based transformative solutions to enable the clean energy transition, particularly by engaging the private sector, local organizations, and new and underutilized partners. It will also harness innovative business models, solutions, technologies, resources, experiences, and networks of relationships that exist across stakeholders. SPF will achieve this by catalyzing country and regional activities to complement the technical assistance provided by SAREP. SPF aims to expand and maximize the impact of USAID resources in an innovative and sustainable manner through the SPF activities designed, owned, and implemented by grantees under the SAREP Program.

This Request for Applications (RFA) RFA-SAREP-FY23-001 is the second of six rounds of calls for applications planned under the SPF. This RFA focuses on activities specific to all six SAREP countries – Bangladesh, Bhutan, India, Maldives, Nepal and Sri Lanka.

Through this RFA, SPF is inviting applications to fund qualified organizations for supporting activities and programs consistent with the SAREP’s purpose of improving access to affordable, secure, reliable, and sustainable energy, and its four objectives. All proposals must address one or more of SAREP’s four objectives:

- Objective 1: Enhanced regional energy markets and integration.
- Objective 2: Increased deployment of advanced energy solutions and systems.
- Objective 3: High-performing modern utilities.
- Objective 4: Transparent, best-value procurement and private sector investment mobilized.

Applicants should submit proposals that enable and deliver strong and long-lasting development results.

As per USAID procurement guidelines, the grant instrument is used when the principal purpose is to financially support the recipient in its accomplishment of a public purpose. Further to that, this RFA provides prospective applicants with requisite information and a fair opportunity to develop and submit applications to SPF for potential funding. Local organizations, new and underutilized partners are especially encouraged to participate in the process. (To know more on USAID’s New Partnerships Initiative (NPI) click on the following link: https://www.usaid.gov/npi/npi-key-definitions.)

To achieve the results outlined under the four technical objectives, the SAREP Partnership Fund will support the types of activities illustrated below:

- Pilot demonstrations
- Incubation support
- Feasibility studies, detailed project reports, and market assessments
- Knowledge management and dissemination
- Policy advocacy and consensus building
- Knowledge sharing, exchange, and institutional capacity development
- Developing business models and innovative solutions, and structuring of innovative financial transactions to enable clean energy transition
- Design and deploy new decision-making tools
Other eligible activities, or a combination of the above activities with or without other eligible activities, can also be proposed, provided they support achievement of above-mentioned outcomes and are consistent with the four technical objectives. Activities that are ineligible for funding are listed in Section 4 below.

Issuance of this RFA neither constitutes an award nor a commitment on the part of RTI or USAID to pay for costs or defray expenses incurred in the submission of the application. In addition, this RFA is not intended to replace any current or future funding agreements that the organizations may have with any government department/multilateral or bilateral agencies.

The awards will be based on a competitive ranking of applications (described below) and subsequent discussions which will include negotiation with RTI.
4 INELIGIBLE ACTIVITIES

The SAREP Partnership Fund cannot be utilized for the following activities:

- Support expansion of capacity or extend the operational life of carbon-intensive fossil fuel-based energy projects (e.g., oil, fossil [natural] gas, and coal). Support for natural gas for household energy access projects, in particular clean cooking projects, can be considered, if no cleaner options are feasible

- Purchases of restricted goods, such as agricultural commodities, motor vehicles, pharmaceuticals, contraceptive products, pesticides, used equipment, or fertilizers without the previous approval of the USAID Task Order Contracting Officer (TOCO)

- Purchase of prohibited goods under USAID regulations, including but not limited to police or law enforcement equipment, abortion equipment and services, weather modification equipment, luxury goods, and gambling equipment

- Purchases of any equipment or services from specific companies, or their subsidiaries and affiliates, including Huawei Technologies Company, ZTE Corporation, Hytera Communications Corporation, Hangzhou Hikvision Digital Technology Company, and Dahua Technology Company (“Covered Technology”)

- Purchases of goods or services restricted or prohibited under the prevailing USAID source/ nationality and other regulations; or from countries or suppliers as may be identified by USAID's consolidated list of debarred, suspended, or ineligible subcontractors at http://www.sam.gov

- Construction, infrastructure, renovation, and rehabilitation projects. Definition of “Construction” for purposes of this manual means construction, alteration, or repair (including dredging and excavation) of buildings, structures, or other real property and includes, without limitation, improvements, renovation, alteration, and refurbishment. The term includes, without limitation, roads, power plants, buildings, bridges, water treatment facilities, and vertical structures

- Other costs unallowable under USAID rules and/or federal regulation 2 CFR 200 Subpart E, such as fees/profits by the recipient (including sub-awardees)

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1 It is the policy of RTI to comply fully with Section 889 of the National Defense Authorization Act (NDAA), which prohibits the government from obtaining (through a contract or other instrument) certain telecommunications equipment or services produced by one of five Chinese companies or their subsidiaries and affiliates. Under its policies, RTI cannot provide the federal Government equipment that contains technology produced by one of the banned entities or cannot use equipment or services that incorporates technology produced by one of the banned entities regardless of whether the use relates to a federal Government project. RTI is required to conduct a reasonable inquiry to uncover information in RTI’s possession about the identity of the producer or provider of covered telecommunications equipment or services used by RTI.
5 ELIGIBLE ORGANIZATIONS

The SAREP Partnership Fund grants can be provided to private sector / for-profit entities; not-for-profit organizations; nongovernmental organizations (NGOs); civil society organizations; business service organizations; industry, trade, or other private sector associations; educational/training or academic institutions; and think tank/research entities which are eligible to receive foreign funded grants in accordance with applicable local regulations. Government and or quasi-government (parastatal entities) are not eligible to apply for and receive grants funded under this RFA. All applicants will be bound by various USAID regulations as relevant and set forth in the US Code of Federal Regulations and Automated Directive System.

Grantees should be registered in any of the countries not expressly prohibited in ADS 310 (https://www.usaid.gov/sites/default/files/documents/310.pdf) and ADS 310mas (https://www.usaid.gov/sites/default/files/documents/1864/310mac.pdf). ADS 310 states that Grants/cooperative agreements using USAID program funds may be made/entered into without regard to the nationality of the prime recipient as long as that organization is not otherwise restricted by statute, regulation, Agency policy, or administrative determination (i.e., suspension and debarment) from receiving assistance.

SAREP grantees must be compliant with requirements set forth in the US Code of Federal Regulations (CFR) Title 22, Part 228, Automated Directives System (ADS) Chapter 303, ADS 591, and 2 CFR 200 Subpart E for Cost Principles and Subpart F for Audit Requirements. To be eligible for funding grantees must:

- Have no real or apparent conflicts of interest that could jeopardize the impartiality of the selection process or arise and affect project implementation. Applicants will be required to proactively declare any such potential conflicts so that they are mitigated in advance of applicant consideration. Any such conflicts can be personal, business, or finance related

- Be legally authorized to receive foreign funded grants and conduct activities in the country for which application is made and accordingly demonstrate compliance with all applicable local legal and regulatory requirements such as but not limited to:

  - In the case of India, comply with applicable provisions of the Foreign Contributions Regulations Act FCRA and have an active and valid FCRA registration valid at least for 6 months as of the date of application
  
  - In the case of Nepal, comply with provisions of The Social Welfare Act, 2049 (1992), and / or Associations Registration Act, 2034 (1977) and / or The Income Tax Act, 2002 (2058), as may be applicable
  
  - In the case of Bhutan, comply with regulations and norms of Civil Society Organization Authority (CSOA), Bhutan and the Bhutan Royal Monetary Authority, as may be applicable
  
  - In the case of Sri Lanka, have the mandatory registrations and approvals from the relevant Government Ministry. In addition, comply with regulations specified by
External Resources Department under the Ministry of Finance and provisions specified by Voluntary Social Service Organizations (Registration and Supervision) Act, No. 31 of 1980 as amended, as may be applicable

- In the case of Maldives, comply with regulations and provisions of Ministry of Youth, Sports & Community Empowerment and the Associations Act 1/2003, as may be applicable

- In the case of Bangladesh, comply with the provisions of Foreign Donations (Voluntary Activities) Regulations Act, 2016, as may be applicable.

Entities must submit documents to support their eligibility to receive foreign grants.

- Have internal controls and processes to safeguard assets and protect against fraud and waste

- Have written and well-articulated ethics/conflict of interest policies

- Have sound financial systems and accountability with up-to-date accounts consistent with local laws and regulations

- Be willing to abide by all applicable USAID regulations and complete, sign, and abide by all required certifications, including the Branding and Marking requirements

- Be willing to report on achievements and outputs in line with RTI's approved monitoring and evaluation plan

- Already has or commit to secure a SAM Unique Entity ID (UEI) number if the anticipated grant award is $25,000 or more. The UEI number has replaced the now redundant DUNS number. The UEI number can be obtained at www.sam.gov (Submit copy of UEI number or proof of registration in SAM.Gov for UEI number in case the UEI number has not been obtained)

- Be willing and able to ensure compliance regarding environmental monitoring and mitigation. The Foreign Assistance Act of 1961, as amended, Section 117, requires that the impact of USAID-funded activities on the environment be considered and that environmental sustainability be considered in designing and carrying out development programs. The environmental impacts of USAID-financed activities must be identified prior to a final decision to proceed and appropriate environmental safeguards are adopted for all activities. SAREP will provide guidance post award to each grant recipient develop an environmental monitoring and mitigation plan that is fully compliant with USAID regulations, per https://www.usaid.gov/our_work/environment/compliance/22cfr216

Ineligible Grantees

The following types of applicants will not be eligible for receiving grants from SAREP:

- Any Public International Organization, unless approved by the USAID/India Mission Director

- Government or quasi-Government (parastatal entities)
• Entities that have a previous record of misusing U.S. Government funds
• Political parties or partisan political organizations
• Organizations or groups that promote any illegal activities
• Applicants engaged in or proposing activities that may have a negative environmental impact, unless such negative environmental impacts are an incidental byproduct of activities that otherwise advance the purposes of the Partnership Fund and can be effectively mitigated²
• Applicants that have child protection, human trafficking, or exploitation violations and are in violation of international human rights standards
• Applicants that are affiliated with RTI or any of its subcontractors, officers, directors, or employees
• Any entity and/or its key personnel that has an active exclusion in the U.S. Government’s System of Award Management (www.sam.gov)
• Any entity and/or its key personnel that appear on the U.S. Department of Treasury Office of Foreign Assets Control (OFAC) Specially Designated Nationals (SDN) and Blocked Persons list (https://sanctionsssearch.ofac.treas.gov/)
• Any entity with members directly or indirectly involved in money laundering, acts of terrorism, gambling, or drugs
• Any entity that is undergoing bankruptcy or restructuring under a legal or regulatory process
• Any entity which based upon the due diligence to be conducted by RTI, appears to be ineligible for receiving the Grant under this RFA or carry out the proposed activities out of the amount of the Grant to be given under this RFA

² In accordance with the USAID environmental regulations and SAREP Environmental Mitigation and Monitoring Plan.
6 PARTNERSHIP FUND GRANT EVALUATION CRITERIA

Application shall be screened and evaluated per the following process:

Pre-screening: All applications meeting the minimum eligibility criteria (Section 5) and conformance to the application content requirements of this RFA (Section 9) will be evaluated by SAREP’s Technical Evaluation Committee (TEC).

A three-step evaluation process will be adopted:

- Step 1: Alignment with and relevance to the SAREP objectives. Alignment and Relevance will be based on contribution to one or more of SAREP’s four technical objectives and expected results described in Section 2 above.

- Step 2: Applications meeting the compliance and relevance check shall be evaluated based on the following selection criteria with weights as provided below in Table 6-1.

- Step 3: Discussions and negotiations with the shortlisted applicants based on suggestions and feedback from the TEC.

A Grant Award will be signed with the successful applicants, subject to completion of all pre-award requirements. Activities implemented prior to the Grant Award cannot be funded through SPF.

The following selection criteria and scoring will be used for the review. Table 6-1 lists the selection criteria and points by major category of evaluation.

<table>
<thead>
<tr>
<th>#</th>
<th>CRITERIA</th>
<th>WEIGHT</th>
</tr>
</thead>
<tbody>
<tr>
<td>1.</td>
<td><strong>Technical Approach and Merit</strong></td>
<td>60%</td>
</tr>
<tr>
<td></td>
<td>a. Innovativeness of the Concept</td>
<td></td>
</tr>
<tr>
<td></td>
<td>b. Expected impact and its scale</td>
<td></td>
</tr>
<tr>
<td></td>
<td>c. Soundness of the implementation plan and strategy</td>
<td></td>
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<tr>
<td></td>
<td>d. Relevance and potential for scaling and replication across South Asia</td>
<td></td>
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<tr>
<td></td>
<td>e. Sustainability after the end of grant support</td>
<td></td>
</tr>
<tr>
<td></td>
<td>f. Funds leveraged (in kind or in cash) in relation to the grant amount sought</td>
<td></td>
</tr>
<tr>
<td></td>
<td>g. Environment sustainability and greenhouse gas (GHG) mitigation potential</td>
<td></td>
</tr>
<tr>
<td></td>
<td>h. Demonstrated evidence of collaboration/commitment with host institutions, i.e., a beneficiary that will enable sustainability and scaling of the grant-funded activities</td>
<td></td>
</tr>
<tr>
<td></td>
<td>i. Return on investments, i.e., impact achieved relative to the grant amount proposed</td>
<td></td>
</tr>
<tr>
<td>2.</td>
<td><strong>Organizational capabilities</strong></td>
<td>20%</td>
</tr>
<tr>
<td></td>
<td>a. Quality of the technical and management team</td>
<td></td>
</tr>
<tr>
<td></td>
<td>b. Organizational capacity and soundness of management and accounting practices</td>
<td></td>
</tr>
<tr>
<td></td>
<td>c. Applicants local to the country of implementation or otherwise demonstrate local knowledge and implementation experience</td>
<td></td>
</tr>
</tbody>
</table>


## Definitions of Evaluation Criteria Rubrics

1. **Technical Approach and Merit.** The extent to which the proposed activity demonstrates innovative or unique approaches (that enable large impact or reduce cost or improve performance, etc.) to achieve the desired outcomes. The quality and feasibility of the proposal in terms of the viability of the proposed technical approach, including the expected impact and its scale, soundness of the implementation plan and strategy including its timeliness, relevance and its potential for scaling and replication, sustainability beyond the grant support, funds leveraged from other partners, environmental sustainability and greenhouse gas (GHG) mitigation potential, demonstrated commitment from a host institution (such as a Government entity, public institution, utilities, municipalities, financial institutions, trading companies, etc.), and return on investment, i.e., impact achieved in relation to the funding sought (60%)

2. **Organizational Capability.** Evidence of the applicant’s capability to undertake and accomplish the proposed activities. The application should demonstrate the organization’s effectiveness in terms of internal structure, technical capacity, and personnel. In addition, the organization must demonstrate adequate financial management capability. The evaluation will be based principally on the background, qualifications, reputation, performance timeliness, appropriateness, and skills of its personnel; and the “track record,” service quality, client satisfaction, and achievements related/similar to the grant opportunity. Organizations need to demonstrate understanding of local context and experience of working in the region (20%)

3. **Gender diversity and inclusion.** Extent of integration of inclusion and gender mainstreaming in the proposed activities (10%)

4. **Past Performance.** Reference checks to determine if the applicant was successful in achieving its goals as specified in the award; effectively able to plan and manage its award; and how proactive and responsive the applicant was in addressing obstacles during performance (10%)

### Table: CRITERIA and WEIGHT

<table>
<thead>
<tr>
<th>#</th>
<th>CRITERIA</th>
<th>WEIGHT</th>
</tr>
</thead>
<tbody>
<tr>
<td>3</td>
<td>Commitment to gender diversity and inclusion (applicant’s gender and diversity approach should be integrated into the technical design)</td>
<td>10%</td>
</tr>
<tr>
<td>4</td>
<td>Past performance record</td>
<td>10%</td>
</tr>
</tbody>
</table>
7 TIMELINES

The expected schedule of activities is provided below in Table 7-1:

<table>
<thead>
<tr>
<th>#</th>
<th>ACTIVITY</th>
<th>TIMELINE</th>
</tr>
</thead>
<tbody>
<tr>
<td>1</td>
<td>Release of RFA</td>
<td>October 17, 2022</td>
</tr>
<tr>
<td>2</td>
<td>Information Dissemination</td>
<td>October 31, 2022</td>
</tr>
<tr>
<td>3</td>
<td>Questions from potential applicants due</td>
<td>November 10, 2022</td>
</tr>
<tr>
<td>4</td>
<td>Answers to questions due</td>
<td>November 23, 2022</td>
</tr>
<tr>
<td>5</td>
<td>Complete applications due</td>
<td>December 15, 2022 (23:59 hours IST)</td>
</tr>
</tbody>
</table>
8 BUDGET, PROGRAM INCOME, AND AUDIT

A. In accordance with ADS 302, the total value of any individual grant to a U.S. organization, if any, must not exceed the Simplified Acquisition Threshold (SAT), which is $250,000. The applicable ceiling for grant awards to non-U.S. organizations is $500,000.

B. The term “leverage” describes non-U.S. Government resources, including cash and in-kind gifts and services provided through private-sector partnerships. Leverage directly contributes to a USAID project or activity or augments its results by making it more sustainable or effective. Leverage must meet all of the following criteria:

- It is verifiable from the records of the contributor, the recipient, or other entities that access and use the resources
- It is measurable
- It creates a tangible and intended impact under a project and
- Its availability is attributable to USAID’s engagement

C. Grant Program Income generated or earned by the Grantee because of the Grant Award, e.g., fees for services performed and for the sales of services, use or rental of real or personal property acquired with grant funds, sale of commodities or items fabricated under the grant, payments of principal and interest on loans made with grant funds; and any donations that are solicited by the Grantee during a grant activity shall be reported to USAID SAREP. Program Income earned under Grant Awards shall be applied and used in the following descending order:

1. Added to funds committed by USAID and the Grantee 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 Grant Award do not specify how Program Income is to be used, then number 2 above shall apply automatically. Grantees shall have no obligation to the U.S. Government regarding Program Income earned after the end of the grant period. Costs incurred when generating Program Income may be deducted from gross income to determine program income if the costs have been charged to the Grant Award and comply with applicable rules for allowable costs under grants.

D. Upon completion of the project, the recipient will provide all required final progress, performance, and financial reports.

E. SAREP requires an external audit of SAREP Partnership Funds at any time during the period of the Grant. If audit costs are not included in the approved Budget, SAREP will amend this Grant to realign the Budget to cover the costs of the audit. The audit firm selected must be pre-approved by SAREP. The scope of work for the audit shall be pre-approved by SAREP and shall include a requirement that the auditors’ test all material expenditures charged to the SAREP Partnership Funds for reasonableness, allocability, and allowability.
The audit report shall include either a separate statement or an integral comment from the auditors regarding their conclusions regarding the reasonableness, allocability, and allowability of these material costs. The audit report shall include the auditors’ recommendations regarding the organization’s compliance with local laws and terms and conditions of this Grant and any recommendations regarding improving internal controls. Two copies of the audit report with auditor’s recommendations are due to the SAREP Grants Director no later than 15 days after the final audit report.
9 GRANT APPLICATION FORM INSTRUCTIONS

Instructions:

1. Questions from applicants should be:

   - Sent electronically to sarep-grants@rti.org (Subject: Questions – Name of the entity).
   - Last date for receiving questions is mentioned under section 7 - Timelines.
   - Questions should be serially numbered and refer and cite the specific section of RFA to which they relate to.
   - Each applicant is requested to consolidate all questions and send them in a single batch.
   - Answers to questions received from potential applicants shall be compiled together and shall be made publicly available.

2. All Applicants are required to complete and submit the below application form in hard copy or electronically.

3. All the attachments (A, B, and C) referenced in this application are required parts of the application and must be attached to the completed application form. Therefore, a complete application should consist of this form and all the attachments.

4. By signing and submitting this application, the Applicant attests to the Anti-Terrorism Certification in item 15.

5. Applicants must complete Part I (items 1-9) and submit the signed form along with all the required documents in Part 2 plus the three attachments.

6. Applicants should note that in accordance with ADS 302.3.4.13.c.(3), the applicable standard provisions in ADS 303 are also applicable to all grant awards made under this RFA. These standard provisions can be referenced at https://www.usaid.gov/sites/default/files/documents/303mab.pdf for Non-U.S. Nongovernmental Organizations and at https://www.usaid.gov/sites/default/files/documents/303maa.pdf for U.S. Nongovernmental Organizations.

Part I – Application – All Applicants must complete ALL FIELDS of Part I.

| 1. Date of application: |  
| 2. Name of Applicant: |  
| 3. Address of Applicant: |  
| 4. UEI Number: (see attachment C) |  
| 5. Names and titles of officer(s) authorized to represent the Applicant and his/her alternate: | a. Authorized Officer:  
| | b. Alternate: |  
| 6. Proposed period of performance: | Start date: MM/YYYY  
| | End date: MM/YYYY |  

<table>
<thead>
<tr>
<th><strong>7. Proposed budget in USD), please include exchange rate considered for budget calculations:</strong></th>
</tr>
</thead>
<tbody>
<tr>
<td><strong>8. Geographic focus</strong></td>
</tr>
<tr>
<td>---</td>
</tr>
<tr>
<td><strong>9. Signature/Name/Title</strong></td>
</tr>
</tbody>
</table>

**Part II should contain below information.**

7. **Executive Summary** (No more than 1 Page) and a **Program Description** (10 pages maximum, excluding required attachments detailed below) *(Required)*. Applicants are required to submit the **additional details as specified in sub-section (a) to (l) below.**

The Applicant must describe the project goal, objectives, implementation plan, detailed activities, and expected results and impact. It should also include a brief problem statement describing the specific problem to be addressed by the award, and which SAREP objective will be addressed. The program description must be results-oriented and demonstrate likely success in achieving the stated indicators and be responsive to the selection criteria as outlined in this RFA, including fund-leveraging strategy. The application must include details of collaboration or partnership, that result in additional resources being leveraged by SPF funding.

For the sake of clarity, a result is described as a significant, intended, and measurable change in the condition of the beneficiary or a change in the host country, institutions, or other entities that will affect the beneficiary directly or indirectly. Clear identification of the beneficiaries, their number, location, and anticipated benefits that they will receive is required.

Applicants are also required to submit additional information as described below. All the below documents below at bullet (a) to (l) should be in a single pdf (printable) file with different sections clearly demarcated and easily identifiable. Budget sheet (Attachment A) is required as an excel file while the Budget narrative should be in the single pdf file.

a) Completed Application Cover Sheet with project title; organization name and contact information including contact person, address, telephone, fax, and email address (Part I)

b) Completed and signed Grant Application Form (Part II)

c) Implementation Plan and strategy. See Application Form. (5 pages maximum)

d) Monitoring and evaluation plan. See application Form (2 pages maximum)

e) Sustainability Plan. Describe how project activities will be sustained beyond USAID SAREP Activity funding. (1 Page maximum)

f) Organizational capabilities, technical and management team, and brief (up to 1-page CVs of 2-3 key personnel) (combined limit of 5 pages)

g) Budget (Attachment A) and Budget Narrative. See instructions on Grant Application Form.
h) Completed Organizational Control Environment Questionnaire (Attachment B)

i) Past Performance References, as described below.

j) Anti-Terrorism Certification. See instructions on Grant Application Form.

k) For Non-U.S. Organizations, submit proof of registration in the relevant country as per ADS 310

l) For non-US Organizations, submit documents and licenses to prove their eligibility to receive foreign grants

Details regarding expected information and page limits are described below:

8. Implementation Plan and strategy (Required). A high-quality implementation plan should clearly demonstrate the approach to achieve the anticipated results. It should provide specific inputs on activities, processes, or strategies to be adopted to achieve the results. Further, it should articulate why and how the planned activities lead to the intended results, anticipated risks, and mitigation strategies. A GANTT chart showing anticipated timetable for activities and results should also be included. (5 pages maximum)

9. Sustainability Plan (Required). Describe how project activities will be sustained beyond USAID SAREP activity funding. (1 page maximum)

10. Monitoring and Evaluation Plan (Required). The Monitoring and Evaluation Plan should contain a set of performance indicators and targets against those indicators that will permit continuous measurement of progress toward targeted results. The baseline data and its source should be clearly identified. For each performance indicator, the definition and the unit of measurement should be specified along with the plan for reporting and validation of results. See Attachment D. (2 pages maximum)

11. Organizational capabilities, technical and management team description (up to 1-page; plus CVs of 2-3 key personnel) (Required). (Combined limit of 5 pages). If the applicant is proposing a partnership with other organizations, organizational and technical capabilities must be presented for each partner and the management team description must demonstrate how the partnership will be effectively coordinated. The TEC will consider the consolidated credentials of the consortium with primary emphasis on the prime grantee. Commitment letters detailing the scope and budget of each of the members is required.

12. Budget and Budget Narrative (Required). Each application must contain a detailed line-item budget (US Dollars) presented in MS Excel (with formulas) accompanied by a budget narrative in PDF format explaining all costs. Lump sum budgets will be considered non-responsive and will be rejected. An acceptable budget will have all costs broken out by unit costs and should clearly show the number of units used for each line item. Each line item should identify the type of cost, e.g., labor units, units of materials and/or equipment, travel, transportation, communications, etc. The narrative will describe how the Applicant arrived at each unit cost and the number of units for each line item.

13. Organizational Control Environment Questionnaire (Required). All Applicants are required to complete the questionnaire attached to this application. U.S. Agency for International Development (USAID) regulations require RTI International (RTI) to obtain
information from all Applicants to determine an Applicant’s ability to comply with prescribed standards for

(a) financial management, (b) property management, (c) procurement, and (d) reports and records. Please answer all questions to the best of your ability; do not leave blanks. Failure to provide the necessary information may cause your application to be rejected.

Applicants are required to submit the completed Organizational Control Environment Questionnaire as Attachment B to this application

14. Past Performance References (Required). All Applicants are subject to a past performance reference check. Applicants should provide the contact information for partners (international donor, government department, private donor, other organization) of minimum 5 (five) references with whom the Applicant has worked in the last three (3) years, in the implementation of a similar program. The reference information shall include the procuring/financing organization, location, current telephone, or e-mail information, points of contact, award number if available, Dollar or value of activity, and brief description of work and dates performed.

<table>
<thead>
<tr>
<th>PAST PERFORMANCE REFERENCES</th>
</tr>
</thead>
<tbody>
<tr>
<td>CONTACT NAME/ORGANIZATION</td>
</tr>
<tr>
<td>(1)</td>
</tr>
<tr>
<td>(2)</td>
</tr>
<tr>
<td>(3)</td>
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<tr>
<td>(4)</td>
</tr>
<tr>
<td>(5)</td>
</tr>
</tbody>
</table>

15. Anti-Terrorism Certification (Required). It is a requirement by USAID and a condition of award that the Applicant must certify that it does not support terrorism. Applicants unable to submit this signed certification will not be eligible for an award.

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

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

a) Before providing any material support or resources to an individual or entity, the Applicant will verify that the individual or entity does not (i) appear on the master list of Specially Designated Nationals and Blocked Persons, which list is maintained by the U.S. Treasury’s Office of Foreign Assets Control (OFAC) and is available online at OFAC’s Website: https://home.treasury.gov/policy-issues/financial-sanctions/specially-designated-nationals- and-blocked-persons-list-sdn-human-readable-lists, or (ii) is not included in any supplementary information concerning prohibited individuals or entities that may be provided by USAID through RTI.

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

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

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

3. For purposes of this certification:

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

b. “Terrorist act” means:

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

ii. An act of premeditated, politically motivated violence perpetrated against noncombatant targets by subnational groups or clandestine agents; or

iii. Any other act intended to cause death or serious bodily injury to a civilian, or to any other person not taking an active part in hostilities in a situation of armed conflict, when the purpose of such act, by its nature or context, is to intimidate a population, or to compel a government or an international organization to do or to abstain from doing any act.
c. “Entity” means a partnership, association, corporation, or other organization, group, or subgroup.

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

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

In agreement to the terms and conditions above:

<table>
<thead>
<tr>
<th>Name of Applicant Organization:</th>
</tr>
</thead>
<tbody>
<tr>
<td>Name and title of officer or his/her alternate authorized to represent the Applicant (either name that appears in Box 5, Part 1 of this Application).</td>
</tr>
<tr>
<td>Signature:</td>
</tr>
</tbody>
</table>
ATTACHMENT A: DETAILED BUDGET FORMAT

See the separate Excel attachment (Attachment A-1) for full Excel budget format. Excel budget format may also be found [here](#). Reference instruction 12 under Section 9 Grant Application Form Instructions for guidance (additional guidance on how to use this template will be provided during the information dissemination meeting).

<table>
<thead>
<tr>
<th>Category</th>
<th>Description</th>
<th>Units</th>
<th>Rate</th>
<th>Amount</th>
</tr>
</thead>
<tbody>
<tr>
<td>1. SALARIES</td>
<td>Full-time, part-time, hours, cost, location, etc.</td>
<td>$/hr</td>
<td></td>
<td></td>
</tr>
<tr>
<td>2. MATERIALS</td>
<td>Full-time, part-time, hours, cost, location, etc.</td>
<td>$/kit</td>
<td></td>
<td></td>
</tr>
<tr>
<td>3. TRAVEL/MARKETING</td>
<td>Full-time, part-time, hours, cost, location, etc.</td>
<td>$/day</td>
<td></td>
<td></td>
</tr>
<tr>
<td>4. OTHER</td>
<td>Full-time, part-time, hours, cost, location, etc.</td>
<td>$/month</td>
<td></td>
<td></td>
</tr>
</tbody>
</table>

**Note:** As indicated in Section 6, point 11 of the RFA, this detailed budget should be accompanied by a budget narrative in PDF format explaining all costs. The same attachment required for applications received as each unit cost in the budget.
ATTACHMENT B: ORGANIZATIONAL CONTROL ENVIRONMENT QUESTIONNAIRE

1. Legal name of applicant organization: ______________________________________

2. Address of the applicant: ________________________________________________

3. Email Id of the applicant: ________________________________________________

4. Telephone No. of the applicant: __________________________________________

5. Name and title of individual completing this questionnaire: ____________________

6. Signature of Individual Completing: _______________________________________

7. UEI Number: ____________________________________________________________

GENERAL INFORMATION

1. Type of Organization:

☐ Nongovernmental (NGO) / Non-Profit
☐ Educational / Academic
☐ For-Profit
☐ Other ____________

2. Constitution of the Organization:

☐ Trust
☐ Society
☐ Company (such as registered under Section 8 of the Indian Companies Act 2013)
☐ Other ________________ (please specify)

Please attach a copy of the constitution documents of the Organization such as Memorandum, Articles, Trust Deeds, By-laws as applicable.

3. Is your organization incorporated or legally registered?

☐ Yes
☐ No

4. City and country of incorporation or legal registration _________________________

5. Date of incorporation or legal registration and registration number of the Organisation: ________________________________
6. Is your organization required to pay taxes on revenue/income, or is it exempt from such taxes?

☐ Required to pay taxes on revenue/income
☐ Exempt from taxes on revenue/income

7. Please list the number of employees of your organization:

______________ Full-time employees
______________ Part-time employees

8. Has your organization received funding from any agency of the U.S. Government in the last 3 years?

☐ Yes
☐ No

If YES, please identify the source and specify the amount(s) received from each source, by year below:

9. What is your organization’s fiscal year?


10. Do you anticipate expending $300,000 or more in funds received directly or indirectly from the U.S. Agency for International Development during your fiscal year?

☐ Yes
☐ No

11. Has the organization ever been audited in accordance with United States Federal Guidelines such as A-133 or ADS 591?

☐ Yes
☐ No

If so, covering what period?

What was the auditor’s opinion? (Circle One)
Unqualified Approval / Qualified Approval / No opinion rendered
12. Is your organization currently or has ever been formally excluded (debarred or suspended) from receiving US Government funding?

☐ Yes
☐ No

13. Has there been any inquiry/investigation/legal proceeding initiated against the Organization or its office bearers since the date of its establishment?

☐ Yes
☐ No

If yes, please provide details thereof

14. Has the Organization ever been punished for violation of foreign exchange laws or any law relating to foreign contribution?

☐ Yes
☐ No

If yes, please provide details thereof

___________________________________________________________
INDIRECT/OVERHEAD RATES

1. Does your organization have a Negotiated Indirect Rate Agreement (NICRA) with the U.S. Government?
   - [ ] Yes
   - [ ] No

   If YES, please attach a copy to this Questionnaire and go to the next section.

   If NO, does your organization plan to charge an indirect or overhead rate to the budget of the grant agreement?
   - [ ] Yes
   - [ ] No

   If YES, please describe the basis upon how the indirect rate was determined.

2. Has the indirect rate been audited?
   - [ ] Yes
   - [ ] No

   If YES, please provide a copy of an audit report with the audited indirect rate and an explanation of the indirect rate costs.

3. Is the indirect rate charged equally to all funders of your organization?
   - [ ] Yes
   - [ ] No

   If NO, please explain.

FINANCIAL MANAGEMENT

1. Is your accounting system [ ] manual or [ ] automated? If automated, what accounting software program are you using? Specify.

2. Do you have documented policies and procedures for processing transactions in accordance with laws, regulations, or management policy? If you answer yes, you also agree to make these documents available for inspection.
   - [ ] Yes
   - [ ] No

3. Is your accounting system capable of accurate, current, and complete reporting of the utilization of grant funds for all types of costs (including but not limited to labor, travel, materials, and equipment)?
   - [ ] Yes
   - [ ] No
4. Do you use a written chart of accounts containing a description of each account and are journal entries prepared, reviewed, compared with supporting details where necessary, and approved each accounting period?

☐ Yes
☐ No

5. Is your accounting system capable of tracking and documenting the utilization (see above) of grant funds by source?

☐ Yes
☐ No

6. Are the liquid assets (cash) of your organization kept in an interest-bearing bank account?

☐ Yes
☐ No

7. What is the name of your organization’s bank?

8. Do you agree to make all financial records relating to the utilization of grant funds available for audit?

☐ Yes
☐ No

9. Are duties and/or authorities separated so that no one individual has complete authority over an entire financial transaction?

☐ Yes
☐ No

10. Are transactions approved by persons having the authority to do so in accordance with established policies and procedures?

☐ Yes
☐ No

11. Are key records matched before a transaction is approved (i.e., matching purchase order, receiving report, and vendor invoice before the invoice is approved for payment)?

☐ Yes
☐ No

12. Are calculations, extensions, additions, and accounting classifications independently reviewed?

☐ Yes
☐ No

13. Who (name/title/position) reviews requests for payments by the organization?
14. Who (name/title/position) approves payments made by the organization?


15. Who (name/title/position) signs on checks issued as payment by the organization?


16. Is it your policy and practice that the person receiving cash does not have the authority to sign checks and reconcile bank accounts and does not have access to accounting records other than cash receipts?

☐ Yes
☐ No

17. Is it your policy and practice that different person prepare checks, sign checks, reconcile bank accounts, and have access to cash receipts?

☐ Yes
☐ No

18. Are your transactions assigned a unique sequential transaction reference number in the accounting software or on transaction document/voucher?

☐ Yes
☐ No

19. Is it your policy and practice that receiving reports, inspection documents, etc., are matched with billing notices or other documents used to record delivered orders and related liabilities to provide assurance that only valid transactions are recorded?


20. Are vendor invoices and shipping documents date stamped and tracked to ensure they are recorded on a timely basis?

☐ Yes
☐ No

21. Are your source documents canceled after processing to provide assurance that the same documents will not be reused and will not result in recording transactions more than once (i.e., only original documents are used to process transactions)?

☐ Yes
☐ No

22. Are your financial statements prepared by authorized personnel having sufficient experience and expertise to ensure compliance with applicable accounting principles?

☐ Yes
☐ No
23. Who (name/title/position) prepares the financial reports for the organization?

24. How frequently does the organization prepare financial statements?
   - [ ] Monthly
   - [ ] Quarterly
   - [ ] Annually

25. What financial monitoring systems are in place to ensure that activity budgets are not exceeded?

26. Are operating costs compared with approved budgets and variances explained?
   - [ ] Yes
   - [ ] No

27. Does your Organisation adhere to good practice guidelines in compliance with Financial Action Task Force (FATF) requirements?
   - [ ] Yes
   - [ ] No

PERSONNEL:

1. Does your organization utilize an electronic timesheets system in accordance with United States Government regulations?
   - [ ] Yes
   - [ ] No

2. Does your organization have a timekeeping policy requiring employees to submit timesheets at least once a month?
   - [ ] Yes
   - [ ] No

If the answers to the prior questions have been negative, please explain how do you record the hours worked for the assign project/activity?

PROCUREMENT AND PROPERTY MANAGEMENT SYSTEM

1. Does your organization have a written procurement manual?
   - [ ] Yes
   - [ ] No
2. Do you always solicit quotations from vendors before making a purchase over the local currency equivalent of $3,000?

☐ Yes
☐ No

3. Do you have a property management manual?

☐ Yes
☐ No

4. Are incoming and outgoing assets counted, inspected, and received or given up on the basis of proper authorization in accordance with established procedures?

5. Are assets on hand periodically inspected and counted, and the results compared with asset records?

☐ Yes
☐ No

6. Are there different individuals responsible for purchasing merchandise or services, receiving merchandise or services, and approving vouchers?

☐ Yes
☐ No

REPORTS AND RECORDS

1. Are cash receipt totals recorded before cash is transmitted for deposit?

☐ Yes
☐ No

2. Are secured facilities used when appropriate, and access to critical forms and equipment limited to authorized personnel?

☐ Yes
☐ No

3. Is access to programs and data files restricted to authorized personnel only?

☐ Yes
☐ No

4. Are assets and records protected against physical harm?

☐ Yes
☐ No
5. Are the sources of summarized data compared with the underlying subsidiary records and/or documents before the data are accepted for inclusion in summarized records and reports?

☐ Yes
☐ No

6. Are procedures followed to check the completeness and accuracy of data summarization, and exceptions reviewed and resolved by authorized persons?

☐ Yes
☐ No

Insurance

Does the organization maintain any of the following types of insurance? Copies of current insurance certifications (or insurance policy) should be available for review.

Worker’s Compensation: ☐ Yes ☐ No

Amount of Coverage: ____________________

Name of Carrier: ____________________

Property Insurance: ☐ Yes ☐ No

Amount of Coverage: ____________________

Name of Carrier: ____________________

General Liability Insurance: ☐ Yes ☐ No

Amount of Coverage: ____________________

Name of Carrier: ____________________

Other (please explain): 

Amount of Coverage: ____________________

Name of Carrier: ____________________
ATTACHMENT C: UNIQUE ENTITY IDENTIFIER (UEI)

WHAT IS A UNIQUE ENTITY IDENTIFIER (UEI, or Unique Entity ID) & WHY DOES MY ORGANIZATION NEED TO OBTAIN ONE?

The U.S. government is transitioning away from the DUNS number as the primary organizational identifier to the twelve-digit alphanumeric Unique Entity Identifier (UEI) starting April 4, 2022.

The UEI will be requested in, and assigned by, SAM (www.sam.gov). Organizations will no longer have to go to a third-party website to obtain their identifier. This transition allows the United States government to streamline the entity identification and validation process, making it easier and less burdensome for entities to do business with the government.

**If your entity is registered in SAM.gov today**, your Unique Entity ID (SAM) has already been assigned and is viewable in SAM.gov. This includes inactive registrations. The Unique Entity ID is currently located below the DUNS Number on your entity registration record. Remember, you must be signed in to your SAM.gov account to view entity records. To learn how to view your Unique Entity ID (SAM) go to [this help article](#).

**If your entity is not registered in SAM.gov today**, please visit [www.sam.gov](#) to begin the registration process.

The process to obtain UEI number should take no more than 3 business days. Please refer to the quick start guide on the following page.
Quick Start Guide for Getting a Unique Entity ID

SAM.gov is the official free, government-operated website for the management of government awards. There is NO charge to register or maintain your entity information in SAM.gov.

You can get a Unique Entity ID for your organization without having to complete a full entity registration. If you only conduct certain types of transactions, such as reporting as a sub-awardee, you may not need to complete an entity registration. Your entity may only need a Unique Entity ID.

If your entity is registered in SAM.gov, you already have a Unique Entity ID

If you have an active or inactive registration in SAM.gov today, you have already been assigned a Unique Entity ID. It’s viewable on your entity registration record in SAM.gov. Learn how to view your Unique Entity ID (SAM) here.

If your entity is not registered in SAM.gov and you only want a Unique Entity ID

If you want to only get a Unique Entity ID and do not want to complete a full entity registration in SAM.gov, follow the steps below.

1. Go to SAM.gov and select “Sign In” from the upper right corner of the page. If you do not have a SAM.gov account, you will need to create one. SAM.gov uses Login.gov for authentication. More help with using Login.gov can be accessed here. Once you create your user credentials, you will return to SAM.gov to complete your profile.

2. After you sign in, the system will navigate you to your Workspace. On the “Entity Management” widget, select the “Get Started” button.
3. Select the “Get Unique Entity ID” button on the next page.
4. On the next page, enter information about your entity. All fields are required, unless marked as optional.
5. On the next page, your entity name and address will be validated by SAM.gov. The next page will show an entity matched in SAM.gov. If your entity information is correct, select “Next.”

a. If the match shown is not your entity or you are unable to find a match, you can create a help ticket with the Federal Service Desk from the page. Select the “Create Incident” button to contact the Federal Service Desk (FSD).
6. You may be required to enter your entity’s date and state of incorporation to complete validation.
7. On the next page, you will choose whether to allow your entity record to be publicly displayed in SAM.gov. Note that if you deselect this box and restrict the public display of your entity, only you and federal government users will be able to view your entity. Then, you must certify under penalty of law that you are authorized to conduct transactions for the entity. Then, select “Receive Unique Entity ID.”
8. On the last page, your Unique Entity ID will be displayed and you can begin to use it for your entity. Select “Done” to go back to your Workspace.
Restrictions

Grant funds provided under the terms of this RFA shall not be used to finance any of the following commodities as per ADS 312, Eligibility of Commodities:

Ineligible Commodities: Military equipment, surveillance equipment, commodities, or equipment for the support of police or other law enforcement activities, abortion equipment and services, luxury goods, gambling equipment, weather modification equipment.

Restricted Commodities: Agricultural commodities, motor vehicles, pharmaceuticals, contraceptives and condoms, pesticides, used equipment, fertilizer.

Others: Purchases of goods or services restricted or prohibited under the prevailing USAID source and nationality and other regulations found under ADS 310 or from countries and suppliers as may be identified by USAID’s consolidated list of debarred, suspended, or ineligible subcontractors at http://www.epls.gov/.

Sub-grants cannot be made in contravention of host country laws and regulations.
ATTACHMENT D: GRANT APPLICATION M&E TEMPLATE

1. Provide a narrative description of how the grant will be monitored and evaluated.

2. Provide a narrative description of how the organization will use monitoring data to guide programming decisions and interventions.

3. Using the SAREP Performance Indicators below, complete the table and include clear targets and the SAREP indicator that aligns to measure progress. Include activities and action items from your grant implementation plan.

<table>
<thead>
<tr>
<th>ACTIVITY</th>
<th>SAREP PERFORMANCE INDICATOR</th>
<th>TARGET</th>
<th>DATA SOURCE</th>
<th>METHOD OF DATA COLLECTION</th>
<th>FREQUENCY OF DATA COLLECTION</th>
</tr>
</thead>
<tbody>
<tr>
<td>Applicant to insert SAREP indicator that aligns to its project</td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
</tbody>
</table>
ATTACHMENT E: SAREP LOGICAL FRAMEWORK AND M&E INDICATORS

The SAREP team has selected and developed indicators to track the performance of all outcomes based on desired results articulated in the SAREP Logical Framework, shown here:
The following SAREP performance indicators include USAID Standard Foreign Assistance Framework Indicators, Asia EDGE indicators, and custom indicators drawing on various resources.

<table>
<thead>
<tr>
<th>#</th>
<th>Performance Indicator</th>
</tr>
</thead>
<tbody>
<tr>
<td></td>
<td><strong>Goal-Level Indicators</strong></td>
</tr>
<tr>
<td>G1</td>
<td>Amount of investment mobilized in USD for energy projects/CE as supported by USG assistance (Combination of EG7.2-1 and EG.12-4), in millions of USD</td>
</tr>
<tr>
<td>G2</td>
<td>Number of beneficiaries with improved energy services due to USG assistance (EG.7.1-1), in millions</td>
</tr>
<tr>
<td>G3</td>
<td>Generation capacity (MW) installed as supported by USG assistance</td>
</tr>
<tr>
<td>G4</td>
<td>Greenhouse gas (GHG) emissions, estimated in metric tons of CO2e, reduced, sequestered, or avoided through clean energy as supported by USG assistance (EG. 12-6)</td>
</tr>
</tbody>
</table>

**Workstream 2 Indicators- Objective 1: Enhanced Regional Energy Markets Integration**

1.1 Amount of electricity (MWh) traded as supported by USG assistance (O4.1)

1.2 Number of institutions with improved capacity to develop and implement policies to foster regional coordination;

**Workstream 2 Indicators- Objective 2: Increased Deployment of Advanced Energy Solutions and Systems**

2.1 Generation capacity (MW) supported by USG assistance that has achieved financial closure

2.2 Amount of energy (MWh) saved from energy efficiency as supported by USG assistance (O2.2)

2.3 Number of innovative technologies or methodologies developed, piloted and/or adopted as a result of USG assistance;

**Workstream 2 Indicators- Objective 3: High-Performing Modern Utilities**

3.1 Percent of energy utilities with improved financial and operational performance as supported by USG assistance (AO1)

**Workstream 2 Indicators- Objective 4: Transparent, Best Value Procurement and Private Sector Investment Mobilized**

4.1 Percent of procurements using RFPs, auctions, or similar processes, as supported by USG assistance
4.2 MW competitively procured, as supported by USG assistance (O3.2)

### Cross-cutting Indicators

<table>
<thead>
<tr>
<th>Indicator</th>
<th>Description</th>
<th>Supported by USG Assistance</th>
</tr>
</thead>
<tbody>
<tr>
<td>5.1</td>
<td>Number of laws, policies, regulations, or standards to enhance energy sector governance or to address CE formally proposed, adopted or implemented</td>
<td>(EG.7.3-1)</td>
</tr>
<tr>
<td>5.2</td>
<td>Number of institutions supported to draft, propose, or adopt policies, standards or performance specifications;</td>
<td></td>
</tr>
<tr>
<td>5.3</td>
<td>Number of people trained in technical energy fields supported by USG assistance (EG.7.3-2);</td>
<td></td>
</tr>
<tr>
<td>5.4</td>
<td>Projected greenhouse gas emissions reduced or avoided from adopted laws, policies, regulations, or technologies related to clean energy as supported by USG assistance.</td>
<td></td>
</tr>
</tbody>
</table>

### Gender Diversity and Inclusion

<table>
<thead>
<tr>
<th>Indicator</th>
<th>Description</th>
<th>Supported by USG Assistance</th>
</tr>
</thead>
<tbody>
<tr>
<td>5.5</td>
<td>Number of legal instruments drafted, proposed, or adopted with USG assistance designed to promote gender equality or non-discrimination against women or girls at the national or subnational level (GNDR -1);</td>
<td></td>
</tr>
<tr>
<td>5.6</td>
<td>Percent of female participants in USG-assisted programs designed to increase access to productive economic resources (assets, credit, income, or employment) (GNDR-2);</td>
<td></td>
</tr>
<tr>
<td>5.7</td>
<td>Increased membership of South Asian Women in Energy network through SAREP support</td>
<td></td>
</tr>
<tr>
<td>5.8</td>
<td>Increased percentage of women with new employment in the energy sector within SAREP partner institutions supported by USG assistance</td>
<td></td>
</tr>
</tbody>
</table>

### Private Sector

<table>
<thead>
<tr>
<th>Indicator</th>
<th>Description</th>
<th>Supported by USG Assistance</th>
</tr>
</thead>
<tbody>
<tr>
<td>5.9</td>
<td>Number of new tenders in the energy sector with active participation from international bidders</td>
<td></td>
</tr>
<tr>
<td>5.10</td>
<td>Number of firms receiving USG-funded technical assistance for improving business performance (EG 5.2-1)</td>
<td></td>
</tr>
</tbody>
</table>