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**Lebanon Enterprise Development (LED) Project**  
**Grants Annual Program Statement (APS) No. I**  
**2018/2019 Funding Round**

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Issuance Date:	8 October 2018
Application deadline:	30 September 2019
Anticipated cumulative amount:	750 Million Lebanese Pounds (L.L.)

The 2018/2019 funding round will expire by the mentioned date or full award of funds, whichever is earlier. Further rounds or changes to dates, amounts, or other contents of this statement may be announced on the LED Facebook page (@LebanonEnterpriseDevelopment).

Please submit all questions concerning this solicitation to the attention of Mr. Roger Karam, Grants and Procurement Manager, via email to [grants@lebanon-edp.com](mailto:grants@lebanon-edp.com).

Submit Concept Papers to: [grants@lebanon-edp.com](mailto:grants@lebanon-edp.com)

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#### **A. GRANTS PROGRAM OBJECTIVES**

The Lebanon Enterprise Development (LED) project, funded by the United States Agency for International Development (USAID), is seeking concept papers for activities that will serve as catalysts for investments that will substantially increase the competitiveness of Lebanese firms and industry sectors with the objective of creating new jobs supported by increased revenue.

LED and Chemonics employees may not ask for, and applicants are prohibited from offering, any money, fee, commission, credit, gift, gratuity, thing of value, or compensation to obtain or reward improper favorable treatment regarding this solicitation. Any improper request from a project employee should be reported to the chief of party or [BusinessConduct@chemonics.com](mailto:BusinessConduct@chemonics.com).

The following Annexes are included with this APS:

- Annex A – Concept Paper Application Form
- Annex B – Grants Program Administration, Governing Regulations, and Certifications
- Annex C – LED Result Framework
- Annex D – Vetting Information Table

## **B. LED GRANTS PROGRAM DESCRIPTION**

### **B1. Background**

LED is a three-year (October 2017-September 2020) project with a possible two-year extension to September 2022. LED's goal is to increase private sector employment opportunities (jobs) for Lebanese citizens, measured a Full-Time Equivalent (FTE) jobs<sup>1</sup>. To achieve this, LED provides technical assistance and grants focused on two objectives:

1. Create jobs by increasing competitiveness and enhancing growth of Lebanese client firms

LED offers customized technical assistance, i.e. expert consulting, business advisory services, coaching and mentoring, training, etc. to Lebanese businesses to help them overcome obstacles to growth that will increase sales and that will lead to new jobs for Lebanese citizens. Customized technical assistance is delivered principally by Lebanese business service providers and consultants or, as needed, by international consultants.

LED's technical assistance may be company-specific or benefit a group of firms that share common challenges or face similar business development opportunities. LED-supported solutions may address constraints that are common to many firms or that are shared by a sector, subsector, or market niche. Examples include overcoming deficiencies in the quality and quantity of the workforce; difficulty accessing new buyer/s or market/s or expanding sales (domestic or export) to existing ones; or other challenges that inhibit enterprise growth and employment for Lebanese citizens.

2. Improve Lebanon's business enabling environment to catalyze private sector investment and enable growth of enterprises and industry sectors

LED will work through private sector associations, syndicates, or other non-government organizations to identify, analyses, propose, and advocate for solutions to problems that are affecting the business enabling environment and that will lead to positive impacts such as reducing the cost of doing business, promoting exports, or improved access to finance.

### **B2. Grants Program Objective**

The objective of this grant program is to support LED's goal of creating new private sector employment opportunities for Lebanese citizens by leveraging the ideas, knowledge, skills, and resources of selected local organizations. The outcomes achieved by LED's grantees will bolster LED's overall impact on the Lebanese economy. Accordingly, LED invites NGOs (not-for-profit and for-profit), business and industry associations, syndicates, cooperatives of private enterprises to present activities they wish to implement with LED grant funding.

### **B3. Grants Program Support Areas**

LED will award grants that offer solutions to common or shared problems faced by multiple firms or by a sector, subsector, or market niche. For example, solutions may relate to improving market access, enhancing the quality and quantity of the workforce, facilitating access to finance, or to policy, regulatory, and administrative reforms for selected business environment problems.

LED's grant-supported solutions are summarized under two primary areas as follows:

1. *Firm or Industry Competitiveness*: Grants shall address constraints that result in directly improving business operations for firms. Examples include improved market development, exports and sales, workforce development, or access to finance.

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<sup>1</sup> One FTE job equals 260 working days (8 hours/day) or the cumulative of 12 months of full-time paid work, e.g. 3 jobs of 4 months each can be counted as 1 FTE job. FTE jobs allow for counting full-time and part-time (seasonal) employment.

2. *Improved Business Enabling Environment:* Grants shall address policy, regulatory, or administrative constraints to doing business that will reduce the cost of doing business, increase investment, or have other beneficial impacts, thereby accelerating private sector growth and job creation.

Applicants may propose grants that relate to one or both areas.

LED is open to supporting solutions in almost any sector, subsector, or market niche. However, LED will likely focus on the following sectors: agro-food; tourism and hospitality; pharmaceutical; information and communications technology; and manufacturing.

Illustrative activities include but are not limited to the following:

- Market/buyer research aimed at identifying new buyers for Lebanese goods and services.
- Organizing and preparing private enterprises to participate in trade/export promotion activities.
- Establishing or strengthening trade facilitation or business development units or services.
- Enterprise-level consulting, coaching, and technical assistance.
- Delivery of trainings, workshops, seminars, etc., including content/curriculum development.
- Curriculum development for short-term (1-3 month) workforce development programs that will train Lebanese citizens to fill job vacancies that are caused by the lack of qualified personnel.
- Training of trainers, especially for workforce development programs.
- Research, studies or analysis related to policy, regulatory or administrative reforms.
- Workshops, roundtables, seminars, stakeholder consultations, etc. related to policy, regulatory or administrative reforms.
- Preparing policy briefs, white papers, or draft policies, regulations or administrative reforms.
- Strategic communications and advocacy related to policy, regulatory or administrative reforms.
- Other activities that have a strong association with increased employment of Lebanese citizens.

Applicants may propose one or more of the above-mentioned activities or other activities that support the objective of LED's grant program.

All things being equal, LED will give preference to ideas impacting businesses and creating job opportunities outside of Beirut, especially in Bekaa, North Lebanon, and South Lebanon. In addition, ideas that favor employment for youth and women are preferred. These impacts will be verified by LED's monitoring, evaluation and learning (MEL) team at the end of the grant.

LED recognizes that some grantees may need technical assistance to more effectively carry out the proposed activities. Consequently, applicants are encouraged to specify their needs for technical assistance and/or training in their application, if necessary.

LED grants are not intended to fund the purchase of equipment or machinery or other assets for any private enterprise. However, limited equipment purchases may be authorized if required for grant implementation or as part of grantee capacity building.

Applicants must show a clear and credible link between their proposed grant activities and LED's expected results, as measured by the indicators shown in LED Results Framework in Annex C. At a minimum, grants are expected to contribute to increased private sector employment, leveraged private sector investment, and the value of incremental sales.

#### **B4. Sustainability and Scalability**

In addition, applicants should consider how the grant can be used to establish sustainable and scalable solutions that will exist and expand after the grant ends. Applicants should also consider the environmental effects; because no grants will be given when there are likely to be adverse effects on the environment. Rather, grants that enhance Lebanon's environment will be given preference.

## C. AWARD INFORMATION

### C1. General Information

Grants will be awarded and implemented according to USAID and U.S. Government regulations governing grants under contracts and LED internal grant management policies.

### C2. Award Information

LED anticipates awarding approximately 750 million Lebanese Pounds during this funding period through 4-10 anticipated grant awards. It is anticipated that each grant award may range from between 15,000,000 L.L. and 225,000,000 L.L., but the final amount will be dependent upon grant activities and final negotiation. No grant award may exceed 225,000,000 L.L. in value.

The duration of any grant award is expected to be from 3-12 months and no more than 18 months; but in all grants must be *fully completed* by June 30, 2020, inclusive of final reporting and financial reconciliation. The estimated start date of the first grants awarded under this solicitation is December 2018.

### C3. Eligible Recipients

- Applicants must be a registered Lebanese NGO (not-for-profit or for-profit); industry/sector, trade, or other private sector association or syndicate; or individual private enterprise formally constituted, recognized by and in good standing with appropriate Lebanese authorities, and compliant with all applicable civil and fiscal regulations.
- Applicants must provide the following information which is required for vetting. This information is required at the concept stage.
  - Information of all the shareholders (including silent shareholders). Complete the Excel sheet in Annex D.
  - Copies of the IDs or passports (not إخراج قيد) for all shareholders and silent shareholders.
  - Submission of dual citizenship passports or IDs, if applicable.
  - Copies of the document showing who are the shareholders (تأسيس الشركة or similar).
  - Information concerning the role that each shareholder has, if applicable.
  - Information on whether the enterprise/organization has a board of directors. If it does, copies of the document (مجلس جمعيّة، اذاعة تجارية) and IDs or passports (not إخراج قيد). Complete the Excel sheet in Annex D.
  - Information on whether the enterprise/organization has an executive committee and which individuals manage the finances and operations. Copies of IDs or passports (not إخراج قيد). Complete the Excel sheet in Annex D.
  - Information about individuals who will be assigned to work on the LED project and copies of their IDs or passports (not إخراج قيد).
  - Information on whether the company is a branch of a larger company and reports to a head office or if the company is a subsidiary.
- Applicants must be able to demonstrate successful past performance in implementation of integrated development programs related to LED's priority areas.
- Applicants must have established outreach capabilities with linkages to the beneficiary group(s) identified in the program description. This should be reflected by the incorporation of the beneficiary perspective in the application.
- Applicants must display sound management in the form of financial, administrative, and technical policies and procedures and present a system of internal controls that safeguard assets; protect

against fraud, waste, and abuse; and support the achievement of program goals and objectives. LED will assess this capability prior to awarding a grant.

- Applicants must sign the following certification as part of their application to this APS. These are **not** needed for the concept paper phase. Only approved applicants need to sign these documents as part of a **post-award** grant agreement:
  - Prohibition on Providing Federal Assistance to Entities that Require Certain Internal Confidentiality Agreements – Representation (May 2017)
  - Certification of Representation by Organization Regarding a Delinquent Tax Liability or a Felony Criminal Conviction (AAPD 14-03, August 2014)
  - Certification Regarding Terrorist Financing

These three certifications are attached in Annex B. LED will review them with applicants.

- For any grant award(s) that is other than in-kind and equivalent to \$25,000 USD or more, grantees will be required to provide a Data Universal Numbering System (DUNS) number at the time of award. If the applicant already has a DUNS number, it should be included in their application. Otherwise, applicants will be expected to get a DUNS number before an award is made. LED will assist successful applicants with this process. DUNS numbers can be obtained online at <http://fedgov.dnb.com/webform/pages/CCRSearch.jsp>

#### **C4. Cost Reasonableness and Environmental Compliance**

All grant costs must be reasonable. Lowest-cost options that meet the needs of the grant activity should be used. Costs incurred and activities implemented must be within the normal operating practices of the applicant and in accordance with its written policies and procedures.

For applicants without an audited indirect cost rate or USAID-issued NICRA, the budget may include direct costs that will be incurred by the applicant to provide identifiable administrative and management costs that can be directly attributable to supporting the grant objective.

Additionally, LED will ensure environmental soundness and compliance in design and implementation as required by 22 CFR 216 and local laws.

#### **C5. Ineligible Expenses**

LED grant funds may not be utilized for the following:

- Construction, refurbishment, or infrastructure activities.
- Private ceremonies, parties, celebrations, or "representation" expenses.
- Purchases of restricted goods, such as certain agricultural commodities, motor vehicles (including motorcycles), pharmaceuticals and contraceptive items, pesticides, used equipment, U.S. government excess property, and fertilizers without the previous approval by the CO. If procurement of these restricted goods is necessary, Chemonics may decide to procure items directly and provide them in-kind to the grantee after receiving approval from the CO.
- Prohibited goods under USAID regulations, including but not limited to: military and surveillance equipment, police or law enforcement equipment, abortion equipment and services, weather modification equipment, luxury goods, and gambling equipment.
- Purchases of goods or services restricted or prohibited under the prevailing USAID source/nationality regulations per 22 CFR 228 and relevant Standard Provisions; or from countries Cuba, Iran, North Korea, (North) Sudan and Syria) or suppliers as may be identified by USAID's consolidated list of debarred, suspended, or ineligible subcontractors at [www.sam.gov](http://www.sam.gov).
- Any purchases or activities deemed unnecessary to accomplish grant purposes as determined by Chemonics, including any grantee headquarters expenses that are not directly linked to the implementation of the proposed program.
- Any purchase or activity, which has already been made.

- Previous obligations and/or bad debts.
- Fines and/or penalties.
- Creation of endowments.
- Other costs unallowable under USAID and/or federal regulations, such as alcoholic beverages.
- Indirect costs such as but not limited to overhead or indirect fringe (unless the applicant has documented proof of such rates through audits or USAID-issued NICRA).
- In general, costs not included in the approved budget may not be allowed unless approved in writing by Chemonics.

## **C6. Grant and Concept Paper Processing Information**

This is a two-stage application process: 1) submittal of concept paper and 2) submittal of full grant application following advice of merit<sup>2</sup> of the concept paper. Please see Annex A for detailed instructions for how to submit a concept note.

Detailed instructions on how to submit a full grant application will be provided to those applicants who are invited to submit full applications.

LED will assist applicants in understanding the application process and can provide coaching in application development at the request of applicants.

## **C7. Resource Leveraging**

In an effort to enhance the prospects of sustainable development impact, ensure activities are based upon core business interests, encourage extensive partner engagement and collaboration, and foster the development of market-based or market-informed approaches, applicants should include a “grantee contribution”, defined as quantifiable contributions, in cash or in-kind, provided by the grantee (from the applicant or other sources secured by the applicant) to a grant. A minimum grantee contribution of 1 to 1 is desired.

## **D. APPLICATION AND SUBMISSION INFORMATION**

### **D1. Instructions to Applicants**

Applicants must propose strategies for the implementation of the program description described above in Sections A-B, introducing innovations that are appropriate to their organizational strengths.

### **D2. Grant Application**

This is a two-stage application process. The first stage is for the applicant to submit a concept paper developed per Annex A below. Concept papers will be evaluated against the merit review criteria listed in Section D5 below. If the applicant successfully meets or exceeds the merit review criteria, LED will invite them to submit a full application (stage two). Only those applicants who meet or exceed the merit review criteria at the concept paper stage will be invited to submit a full grant application. Concept papers will be reviewed on a rolling basis until the application date mentioned on page 1 or until full award of funds, whichever is earlier.

Instructions and a template to be used when developing a concept paper are provided in Annex A. Applicants shall present their technical application and budget in the formats provided and shall follow the instructions and guidelines listed in the annex.

All grant activity costs must be within the normal operating practices of the applicant and in accordance with its written policies and procedures. For applicants without an audited indirect cost

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<sup>2</sup> Advice of merit of a submitted concept paper to proceed with a grant application is in no way a guarantee that the full grant application will be approved.

rate or USAID-issued NICRA, the budget may include direct costs that will be incurred by the applicant to provide identifiable administrative and management costs that can be directly attributable to supporting the grant.

Applications must be signed by an authorized agent of the Applicant.

### **D3. Applicant Self-Assessment**

All organizations selected for award are subject to a pre-award risk assessment conducted by LED, to ascertain whether the organization has the minimum management capabilities required to handle U.S. government funds. An applicant self-assessment is the first step in the pre-award risk assessment process. Organizations that fail to meet the requirements cannot receive an award.

### **D4. Submission Information**

Concept papers shall be submitted in English and may not be more than 6 pages.

Concept papers should be submitted in electronic and hard copy to the LED offices at the address below and should reference APS No. 1. LED will continue to accept concept papers through until funds are no longer available.

#### **Electronic Address** (for email submissions):

Subject: LED Grant APS No. 1  
Mr. Roger Karam  
LED Grants and Procurement Manager  
Lebanon Enterprise Development Project  
Email address: [grants@lebanon-edp.com](mailto:grants@lebanon-edp.com)

#### **Physical Address** (for hard-copy submissions):

Subject: LED Grant APS No. 1  
Mr. Roger Karam  
LED Grants and Procurement Manager  
Lebanon Enterprise Development Project  
Daoud Ammoun Str. Qubic Center  
10th Floor, Section ED, Horsh Tabet, Sin El Fil

In addition to the application forms, applicants should submit the following to LED:

- A copy of the applicant's valid legal registration
- Documents required for vetting, included Annex D filled with requested information.

### **D5. Application Merit Review Criteria**

As described above, applications will be evaluated in a two-step evaluation process:

- The first step is for applicants to submit a concept paper.
- If the concept paper is accepted, you will be asked to submit a more detailed application. Instructions, including deadlines for the submission of full applications, will be sent separately to those organizations who meet the minimum merit review criteria.

All concept papers and applications will be reviewed by an internal review panel comprised of LED technical implementation staff. The panel's recommendation/s may be reviewed by others.

**Concept papers** will be evaluated against the criteria below.

Does the organization meet the eligibility requirements? **(Pass/Fail)**

Does the grant concept propose solution/s to at least one of the areas of interest to LED, namely (i) Firm or Industry Competitiveness or (ii) Improved Business Enabling Environment? **(Pass/Fail)**

Concept papers from organizations that do not pass both criteria above will not be evaluated. Eligible concept papers will be assessed against the criteria shown in the table below.

<b>Merit Review Category</b>	<b>Rating (Points)</b>
Impact and Target Achievement	25
Feasibility of Design and Technical Approach	25
Management and Programmatic Capacity	20
Cost Effectiveness	15
Grantee Contribution	15
<b>Overall Rating (out of 100 points)</b>	<b>100</b>

These merit review criteria elements are described more fully below.

- *Impact and Target Achievement.* The extent to which the proposed activity will achieve project goals, specifically the extent to which there is a clear and credible link between the proposed activities and LED’s expected results, especially increased private sector employment, leveraged private sector investment, and the value of incremental sales, as shown in the LED Results Framework in Annex C.
- *Feasibility of Design and Technical Approach.* The quality and feasibility of the application in terms of the viability of the proposed technical approach, (i.e., the proposed technical approach can reasonably be expected to produce the intended outcomes).
- *Management and Programmatic Capacity.* Evidence of the capability to undertake and accomplish the proposed activities. The application should demonstrate the organization’s effectiveness in terms of internal structure, technical capacity, and key personnel. In addition, the organization must demonstrate adequate financial management capability.
- *Cost effectiveness.* The degree to which budgeting is clear and reasonable and reflects best use of organizational and grant resources.
- *Grantee Contribution.* The degree to which the grantee contributes resources. “Grantee contribution” is defined as the quantifiable contributions, in cash or in-kind, provided by the grantee (from the applicant or other sources secured by the applicant) to a grant. A minimum grantee contribution of 1 to 1 is desired.

**Full applications** from applicant’s whose concept papers have been selected will be evaluated against criteria that are specified when the applicant is invited to submit a full application.



## ANNEX A — GRANT CONCEPT PAPER FORM

Concept papers are short and simple with three sections—technical, financial, and timeline—as outlined below. Concept papers should not exceed 6 pages—4 pages for the technical, 1 page for the financial, and 1 page for an implementation timeline.

### A. Technical Section (4 pages maximum)

#### A1. Summary

Title of Proposed Project (1 sentence)	
Overall Objective of Project (2-3 sentences)	
Fit with LED Project Support Areas (per Section B)	
Number of Anticipated FTE Jobs Created <sup>3</sup>	
Total Project Cost (L.L.)	
Amount of Funding Requested from LED (L.L.)	
Value of Grantee Contribution <sup>4</sup> (L.L.)	
Other Donors/Partners (if applicable)	
Expected Start Date of the Project/Grant	
Length of Proposed Project (in months)	
Geographical Location/s of the Project/Grant	
Name of Organization	
Address	
Telephone, Fax And Email	
Type of Organization (For-Profit, Non- Profit, Etc.,)	
Director of Organization/Association	
Contact Name for Proposed Grant	
Telephone Number for the Contact Person	

#### A2. Description of Proposed Project

Clearly describe the development problem to be addressed or opportunity to be capitalized on and provide a thorough description of:

- A. The project objectives
- B. The proposed approach:
  - What will be implemented
  - Implementation activities
  - Implementation timeline
- C. The anticipated outputs to be achieved (how success will be defined and achieved)
- D. Identify and quantify your results relative to one or more expected results and indicators shown in the LED Results Framework in Annex C.
- E. Roles and responsibilities of the grantee (and partners, if present).

<sup>3</sup> Employment is measured as full-time equivalent (FTE) jobs. One FTE job equals 260 working days (8 hours per day) or the cumulative of 12 months of full-time paid work. For example, three jobs that last 4 months each can be counted as one FTE job. FTE jobs allow for counting full-time and part-time (seasonal) employment.

<sup>4</sup> Grantee contribution is defined as the quantifiable contributions, in cash or in-kind, provided by grantees (from the applicant or other sources secured by the applicant) to a grant.

- F. Local community/stakeholder engagement, alliances and partnerships (if applicable).
- Please describe your partners, other funding partners or supports.
  - For activities that impact local communities or the public that require Government or other support, give a description of consultations held, support secured, or future plans for such.

### **A3. Applicant Information**

Introduce your organization—explain what the organization does. Describe how this project /grant relates to your organization and fits with your organizations goals/objectives. Describe any relevant experience that the organization has implementing similar projects/grants.

## B. Grant Concept Paper Financial Section (1 page maximum)

Please use this table to list major cost items and projected resources to be contributed by the grantee.

All Activity Cost Item	Total Activity Cost	Your Cash Contribution	Your In-Kind Contribution	Your Partners Cash Contribution	Your Partners In-Kind Contribution	Remaining Cost Requested for LED Grant
Examples	In LL	In LL	In LL	In LL	In LL	<b>Cost less all your contributions</b>
Labor/Consultant 1	<b>LL 1,500,000</b>	750,000 LL	150,000 LL	300,000 LL	100,000 LL	<b>200,000 LL</b>
Labor/Consultant 2, etc.						
Training/workshop...						
Other activities...						
Communications...						
Policy research...						
Etc.						
<b>TOTAL</b>						

### Cost Notes:

- Provide a brief explanation of each cost item and an explanation of the amount requested through the LED grant.
- In the event in-kind contribution is included in the budget, please include a short description of the following: description of the in-kind contribution item(s); source of the contribution (applicant vs. third party); and how the value was estimated.

## C. Implementation Timeline (1 page maximum)

## **ANNEX B – GRANTS PROGRAM ADMINISTRATION, GOVERNING REGULATIONS AND CERTIFICATIONS**

### **A. Authority/Governing Regulations**

LED grant awards are made under the authority of the U.S. Foreign Affairs Act and USAID's Automated Directive System (ADS) 302.3.5.6, "Grants Under Contracts." Awards made to non-U.S. organizations will adhere to guidance provided under [ADS Chapter 303](#), "Grants and Cooperative Agreements to Non-Governmental Organizations" and will be within the terms of the USAID Standard Provisions as linked in the annexes, as well as the LED grants procedures.

ADS 303 references an additional regulatory document issued by the U.S. Government's Office of Management and Budget (OMB) and USAID:

2 CFR 200 [Uniform Administrative Requirements, Cost Principles, and Audit Requirements for Federal Awards, Subpart E](#)

Full text of 2 CFR 200 can be found at [http://www.ecfr.gov/cgi-bin/text-idx?tpl=/ecfrbrowse/Title02/2cfr200\\_main\\_02.tpl](http://www.ecfr.gov/cgi-bin/text-idx?tpl=/ecfrbrowse/Title02/2cfr200_main_02.tpl).

LED is required to ensure that all organizations receiving USAID grant funds comply with the guidance found in this circular, as applicable to the respective terms and conditions of their grant.

Under the LED grant program, USAID retains the right at all times to terminate, in whole or in part, LED grant-making authorities

### **B. Award and Administration Information**

- All grants will be negotiated, denominated, and funded in Lebanese Pounds.
- All costs funded by the grant must be allowable, allocable, and reasonable. Grant applications must be supported by a detailed and realistic budget.
- Issuance of this APS and assistance with application development do not constitute an award or commitment on the part of LED, nor does it commit LED to pay for costs incurred in the preparation and submission of an application. Further, LED reserves the right to accept or reject any or all applications received and reserves the right to ask further clarifications from the offerors. Applicants will be informed in writing of the decision made regarding their application.

### **C. Mandatory and Required As Applicable Standard Provisions**

- Standard Provisions for U.S. and Non-U.S. Nongovernmental organizations receiving a fixed amount award can be accessed through the following URL:  
<http://www.usaid.gov/sites/default/files/documents/1868/303mat.pdf>
- Standard Provisions for Non-U.S., Nongovernmental recipients receiving all other types of grants can be accessed through the following URL:  
<http://www.usaid.gov/sites/default/files/documents/1868/303mab.pdf>

### **D. Required Certifications**

Applicants must sign the following required certifications prior to receiving a grant. These are **not** needed for the concept paper phase. Only approved applicants need to sign these documents as part of a **post-award** grant agreement:

- Prohibition on Providing Federal Assistance to Entities that Require Certain Internal Confidentiality Agreements – Representation (May 2017)
- Certification of Representation by Organization Regarding a Delinquent Tax Liability or a Felony Criminal Conviction (AAPD 14-03, August 2014)
- Certification Regarding Terrorist Financing

The required certification documents are provided on the following pages.

**PROHIBITION ON PROVIDING FEDERAL ASSISTANCE TO ENTITIES THAT REQUIRE CERTAIN INTERNAL CONFIDENTIALITY AGREEMENTS – REPRESENTATION (MAY 2017)**

(a) Definitions.

“Contract” has the meaning given in 2 CFR Part 200.

“Contractor” means an entity that receives a contract as defined in 2 CFR Part 200.

“Internal confidentiality agreement or statement” means a confidentiality agreement or any other written statement that the recipient requires any of its employees or subrecipients to sign regarding nondisclosure of recipient information, except that it does not include confidentiality agreements arising out of civil litigation or confidentiality agreements that recipient employees or subrecipients sign at the behest of a Federal agency.

“Subaward” has the meaning given in 2 CFR Part 200.

“Subrecipient” has the meaning given in 2 CFR Part 200.

(b) In accordance with section 743 of Division E, Title VII, of the Consolidated and Further Continuing Appropriations Act, 2015 (Pub. L. 113-235) and its successor provisions in subsequent appropriations acts (and as extended in continuing resolutions), Government agencies are not permitted to use funds appropriated (or otherwise made available) for federal assistance to a non-Federal entity that requires its employees, subrecipients, or contractors seeking to report waste, fraud, or abuse to sign internal confidentiality agreements or statements that prohibit or otherwise restrict its employees, subrecipients, or contractors from lawfully reporting such waste, fraud, or abuse to a designated investigative or law enforcement representative of a Federal department or agency authorized to receive such information.

(c) The prohibition in paragraph (b) of this provision does not contravene requirements applicable to Standard Form 312, (Classified Information Nondisclosure Agreement), Form 4414 (Sensitive Compartmented Information Nondisclosure Agreement), or any other form issued by a Federal department or agency governing the nondisclosure of classified information.

(d) Representation. By submission of its application, the prospective recipient represents that it will not require its employees, subrecipients, or contractors to sign or comply with internal confidentiality agreements or statements prohibiting or otherwise restricting its employees, subrecipients, or contractors from lawfully reporting waste, fraud, or abuse related to the performance of a Federal award to a designated investigative or law enforcement representative of a Federal department or agency authorized to receive such information (for example, the Agency Office of the Inspector General).

(END OF PROVISION)

\_\_\_\_\_  
Signature

\_\_\_\_\_  
Type or Print Name

\_\_\_\_\_  
Position Title

\_\_\_\_\_  
Date of Execution

**REPRESENTATION BY ORGANIZATION REGARDING A DELINQUENT TAX LIABILITY OR A FELONY CRIMINAL CONVICTION (AUGUST 2014)**

(a) In accordance with section 7073 of the Consolidated Appropriations Act, 2014 (Pub. L. 113-76) none of the funds made available by that Act may be used to enter into an assistance award with any organization that –

(1) Was “convicted of a felony criminal violation under any Federal law within the preceding 24 months, where the awarding agency has direct knowledge of the conviction, unless the agency has considered, in accordance with its procedures, that this further action is not necessary to protect the interests of the Government”; or

(2) Has any “unpaid Federal tax liability that has been assessed for which all judicial and administrative remedies have been exhausted or have lapsed, and that is not being paid in a timely manner pursuant to an agreement with the authority responsible for collecting the tax liability, where the awarding agency has direct knowledge of the unpaid tax liability, unless the Federal agency has considered, in accordance with its procedures, that this further action is not necessary to protect the interests of the Government”.

For the purposes of section 7073, it is USAID’s policy that no award may be made to any organization covered by (1) or (2) above, unless the M/OAA Compliance Division has made a determination that suspension or debarment is not necessary to protect the interests of the Government.

(b) Applicant Representation:

(1) The Applicant represents that it is [ ] is not [ ] an organization that was convicted of a felony criminal violation under a Federal law within the preceding 24 months.

(2) The Applicant represents that it is [ ] is not [ ] an organization that has any unpaid Federal tax liability that has been assessed for which all judicial and administrative remedies have been exhausted or have lapsed, and that is not being paid in a timely manner pursuant to an agreement with the authority responsible for collecting the tax liability.

\_\_\_\_\_  
Signature

\_\_\_\_\_  
Type or Print Name

\_\_\_\_\_  
Position Title

\_\_\_\_\_  
Date of Execution

## **CERTIFICATION REGARDING TERRORIST FINANCING**

### **Certification Regarding Terrorist Financing, Implementing Executive Order 13224**

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

1. The Recipient, to the best of its current knowledge, did not provide, within the previous ten years, and will take all reasonable steps to ensure that it does not and will not knowingly provide, material support or resources to any individual or entity that commits, attempts to commit, advocates, facilitates, or participates in terrorist acts, or has committed, attempted to commit, facilitated, or participated in terrorist acts, as that term is defined in paragraph 3. The Certification in the preceding sentence will not be deemed applicable to material support or resources provided by the Recipient pursuant to an authorization contained in one or more applicable licenses issued by the U.S. Treasury's Office of Foreign Assets Control (OFAC).

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

a. Before providing any material support or resources to an individual or entity, the Recipient will verify that the individual or entity does not (i) appear on the master list of Specially Designated Nationals and Blocked Persons, which list is maintained by the U.S. Treasury's Office of Foreign Assets Control (OFAC) and is available online at OFAC's website: <http://www.treas.gov/offices/eotffc/ofac/sdn/tl1sdn.pdf>, or (ii) is not included in any supplementary information concerning prohibited individuals or entities that may be provided by USAID to the Recipient.

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

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

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

3. For purposes of this Certification

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

(i) "Training" means instruction or teaching designed to impart a specific skill, as opposed to general knowledge.

(ii) "Expert advice or assistance" means advice or assistance derived from scientific, technical, or other specialized knowledge.



b. "Terrorist act" means-

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

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

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

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

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

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

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

Grantee Name \_\_\_\_\_

Grantee's Authorized Representative Name \_\_\_\_\_

Grantee's Authorized Representative Title \_\_\_\_\_

Grantee Authorized Representative Signature \_\_\_\_\_

Date \_\_\_\_\_

## ANNEX C — LED ACTIVITY RESULTS FRAMEWORK AND INDICATORS

### LED contributes through PSD to DO2: Inclusive Economic Growth Enhanced

1. Proportion of female participants in USG-assisted programs designated to increase access to productive economic resources

### PSD Project Objective: Increased Productive Employment in Lebanon Through Direct Support for the Private Sector

#### LED Activity Goal: Increase employment opportunity for Lebanese citizens

2. Value of new private sector investment leveraged by USG assistance
3. Number of Full Time Equivalent (FTE) jobs created as a result of USG assistance
  - a. FTE employment of firms assisted under USG programs

### PSD IR 1: Increased Private Sector Competitiveness for Lebanese Firms

#### LED Objective 1: Create jobs by increasing competitiveness and enhancing growth of Lebanese client firms

4. Number of for-profit enterprises, producer organizations, water users, associations, women groups, trade and business associations, and community-based organizations (CBOs) that applied improved organization-level technologies or management practices as a result of USG assistance
  - b. Number of MSMEs, including farmers and other organizations, benefitting from new horizontal and vertical market linkages
5. Number of firms profiled for potential USG-funded assistance for improved business performance

### LED Objective 1 – continued

#### PSD IR 1.1: Increased domestic and export sales of client firms

6. Value of incremental sales (domestic and export) collected at firm level for enterprises as a result of USG assistance
  - c. Value of incremental sales (domestic and export) collected at the farm level for small holder producers as a result of USG assistance
  - d. USD sales of firms receiving USG-funded assistance for improving business performance\*\*

#### PSD IR 1.2: Increased workforce development

7. Number of individuals with improved skills following completion of USG-assisted workforce development programs
8. Number of individuals with better employment following completion of USG-assisted workforce & business development programs

### PSD IR 2.1: Increased access to finance for client firms

- e. Total value of loans accessed as a result of USG assistance)
- f. Total value of equity financing generated by enterprises as a result of USG assistance

### LED Objective 2

#### PSD IR 1.2: Improved Lebanon's business enabling environment

9. Number of policies/regulations/administrative procedures in development stages of analysis, drafting and consultation, legislative review, approval or implementation as a result of USG assistance
10. Number of reports, studies, and analysis produced about prioritized BEE issues
11. Number of steps in the 6-stage policy process that business enabling environment reforms or instruments have completing as a result of LED-assistance
12. Number of non-state actors engaged or partnered to assess or address prioritized BEE issues

### PSD IR 2.2: Productivity of client firms improved

- g. Number of farmers and microenterprises who have applied new technologies or management practices as a result of USG assistance
- h. Increase in volume of production per unit attributed to USAID assistance

### LED Objective 3

#### Communicate results through outreach and share project knowledge with the public and private sectors.

13. Number of presentations produced for social media and other communications channels that aim to create awareness about LED and its accomplishments
14. Number of BEE outreach activities undertaken by or supported by LED that are focused on prioritized BEE issues

