REQUEST FOR APPLICATIONS

Issuance Date: July 1, 2016
Closing Date: July 31, 2016
Closing Time: 11:59 pm local time, Nairobi

Subject: Request for Applications (RFA) Number 003

Accelerating EAC Common Market Reforms through Higher Awareness, Transparency and Accountability

Reference: Issued Under the East Africa Trade and Investment Hub
USAID Contract No AID-623-C-14-00006

BACKGROUND
The East Africa Trade and Investment Hub (the Hub) is the U.S. Government’s flagship project under the presidential Trade Africa initiative, launched in 2013 to boost trade and investment with and within Africa. The Hub partners with East African and U.S. businesses to attract investment that drives economic growth and transforms the East African private sector into vibrant global trading partners. Improving the region’s trade competitiveness, encouraging the diversification of exports beyond natural resources, and promoting broader, more inclusive economic growth will lead to more food secure and resilient East African communities.

OBJECTIVES
The Hub is looking to partner with organizations that can help deliver innovative and sustained communications campaigns that support the implementation of the EAC Common Market Protocol.

Projects, upon successful implementation, will:
1. Support the region’s media and other relevant stakeholders to extend their role in the integration process beyond reporting, and to become active reforms agents that use their well-developed channels to foster higher awareness, transparency and more accountability for reforms.
2. Create a cadre of high quality regional integration reporters and editors across the EAC region through training; foster a culture of high quality and evidence-based reporting of regional integration issues by EAC media.
3. Significantly increase the penetration of key regional integration developments to the public and private sector by tracking implementation and creating awareness of the Common Market and Customs Union.
4. Develop innovative solutions that increase the levels of accountability and transparency among key stakeholders with responsibilities to implement the EAC Common Market Protocol.

Please refer to the Program Description for a complete statement of goals and expected results.

AWARD
Pursuant to 2 CFR 700.13, it is USAID policy not to award profit under assistance instruments such as grant awards. However, all reasonable, allocable, and allowable expenses, both direct and indirect, which are related to the grant program and are in accordance with applicable cost standards (2 CFR 200, 2 CFR 700 for non-profit organization, universities, and the Federal Acquisition Regulation (FAR) Part 31 for-profit organizations) may be paid under the grant.

Subject to the availability of funds, DAI anticipates issuing at least one grant to one organization up to a maximum amount of USD 300,000. The expected duration of DAI support or the period of performance is one year. DAI, as primary implementer of the East Africa Trade and Investment Hub program, reserves the right to fund any or none of the applications submitted.

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

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

Applications must be received at the Hub offices in Nairobi not later than 30 days after the date of issuance indicated at the top of this cover letter at the place designated below for receipt of applications. Applications and modifications thereof shall be submitted in pdf (preferred) or other electronic format to partnershipfundTIH@eatradehub.org.

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

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

Any questions concerning this RFA should be submitted in writing not later than 10 days prior to the closing date shown above to partnershipfundTIH@eatradehub.org. Applicants should retain for their records one copy of all enclosures which accompany their application.
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Section A – Grant Application Instructions

Application Procedure

A. Completion and submission of applications

Eligibility Requirements:

The applicant must:
1. Support outcomes and results consistent with and linked to the Hub’s Intermediate Results and objectives;
2. Support activities within the target East African Countries (EAC);
3. Be registered organizations, EAC organizations, (both for-profit and non-profit), or local government entities. EAC organizations should be registered under their respective countries. Individuals are not eligible for grant funding;
4. Provide evidence of a significant cost share commitment of at least 10%

Application Submission Requirements

- Applications must be submitted in electronic form to partnershipfundTIH@eatradehub.org

- Applications must include:
  - Completed Application Form
  - Completed Project Workplan (including the Public Relations and Communication Plan)
  - Projected Grant Budget and Budget Notes
  - CVs and Bio Data forms of all project team members
  - Completed Financial Capability Questionnaire and attachments
  - Statement of liability (part of application form)

Deadlines

Applications must be received not later than 30 days after the date of issuance indicated in the cover letter. Applications and modifications thereof shall be submitted in pdf (preferred) or other electronic format to partnershipfundTIH@eatradehub.org

Late Applications

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

B. Preparation Instructions – Technical

Page Limitation: Applications should be specific, complete, presented concisely and shall not exceed 15 pages (exclusive of annexes)

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

I. Executive Summary: The applicant must provide a description including purpose, understanding of the problem, scope, technical approach to solving the problem, methods, results of preliminary analyses, and recommendations.
2. Full Grant application: Details are contained in the Grant Proposal from Annex 2.

3. Monitoring (Results and Benchmarks): The applicant should define, to the maximum extent possible at the application stage, results and benchmarks for monitoring the performance towards attainment of program objectives. (Fill in details in the grant application section)

3. Sustainability: The applicant should describe how the project or its benefits will continue after grant funding ends. Fill in details in the grant application section on monitoring and evaluation. (Fill in details in the grant application section)

4. Personnel. Each applicant should provide, as part of their application, detailed curriculum vitae that demonstrate the Key Personnel’s, i.e. Executive Director and Finance Manager, ability to perform the duties outlined in the statement of work and in accordance with the evaluation factors found herein.

Executive Directors must meet the minimum education, training, and experience requirements set forth below:

a) Must possess at least a Bachelor’s Degree in Business Administration or related business field, Public Administration, Public Policy, Education or human services-related field; Masters preferred in the areas above.

b) At least three years’ experience in management with at least two of these years supervising staff with total responsibility for performance reviews required.

c) Experience in financial administration required.

d) Fundraising/grant writing, Program Management and non-profit board experience preferred

Finance Manager must meet the minimum education, training, and experience requirements set forth below:

a) Must possess at least a Bachelor’s Degree in Accounting, Finance or equivalent in Business Administration or related business field; Masters preferred in the areas above.

b) At least three years’ experience in Financial Management at senior level preferably in the Non-profit sector

c) Experience working with various donors and awardees

DAI will evaluate the CV to determine the individual’s knowledge, skills and abilities in the areas listed herein. (Fill in details in the Bio data form annex 5)

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

6. Past Performance: Applicants must present evidence of their past experience in conducting agribusiness competitions. Applicants may include descriptions of 3 projects or other similar activities undertaken. These references should include three (3) clients’ names and telephone numbers who will serve as references. (Fill in details in the grant application section)

7. Budget: All proposals must include a completed budget; USE attached excel template.

8. Cost Sharing Contribution: Details regarding the proposed cost sharing contribution by your organization must be included. Cost share commitment should be at least 10%.

In-kind contributions are allowable as cost share, in accordance with 2 CFR 200.306. This includes such things as proportionate shares of management and other employee time, equipment, office supplies, and other costs of program operation. Rates for employee services shall be consistent with those paid for similar work in the recipient’s organization. The value of equipment (i.e., computers) shall not exceed the fair market value of equipment of the same age and condition. The basis for determining the valuation of services, equipment and supplies shall be documented in the application.
9. Other material: Applicants may also want to submit other material as attachments along with their applications such as letters of reference, newspaper clippings reporting on the organization’s activities, brochures or other promotional material. Support letters demonstrating partnerships and cooperation with private companies and local government are of particular interest. However, attachments should be limited to 5 pages and they will not be returned to the applicants.

C. Preparation Instructions – Financial and Administrative Documentation

1. Completed Budget. All budget lines must be clearly linked to specific project activities. Although DAI will support organization staff and operating costs that are necessary for reaching project goals, applicants should direct their resources primarily to project implementation, rather than organization operating costs. The format for the budget is included in the RFA; Use excel template attached for the budget form. Supporting information shall be provided, as necessary, in sufficient detail to allow a complete analysis of each line item cost.

2. Completed Financial Capability Questionnaire, which includes:
   a. Audited Financial Reports: Copy of the applicant’s 3 most recent financial reports, which have been audited by a certified public accountant or other auditor satisfactory to DAI. If no recent audit, a “Balance Sheet” and “Income Statement” for the most current and previous fiscal year.
   b. Incorporation Papers or Certificate of Registration and Statute
   c. Organizational chart

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

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

5. Documentation that the applicant has satisfactory operational and financial procedures and policies in place.
   - if applicable – NICRA, or if no NICRA, the profit and loss statements which include detail of the total costs of goods and services sold, by information of the applicant’s customary indirect cost allocation method, together with supporting computations of the basis for the indirect cost allocation method
   - cash flow, description of management structure, and/or oversight procedures, if available
   - copy of applicant’s accounting manual
   - copy of applicant’s operations manual
   - copy of purchasing policies and description of the applicant’s purchasing system (for large grantees)

Data Universal Numbering System (DUNS) There is a mandatory requirement for the applicant to provide a DUNS number to DAI. The Data Universal Numbering System is a system developed and regulated by Dun & Bradstreet (D&B) that assigns a unique numeric identifier, referred to as a "DUNS number" to a single business entity. Without a DUNS number, DAI cannot deem an applicant to be “responsible” to conduct business with and therefore, DAI will not enter into an agreement with any such organization. The award of a grant resulting from this RFA is contingent upon the winner providing a DUNS number to DAI. Organizations who fail to provide a DUNS number will not receive an agreement and DAI will select an alternate awardee.
All U.S. and foreign organizations which receive a grant with a value of $25,000 and above are required to obtain a DUNS number prior to signing of the agreement. Organizations are exempt from this requirement if the gross income received from all sources in the previous tax year was under $300,000. DAI requires that grant applicants sign the self-certification statement if the applicant claims exemption for this reason. For those required to obtain a DUNS number, see Annex 7 - Instructions for Obtaining a DUNS Number - DAI's Vendors, Subcontractors and Grantees. For those not required to obtain a DUNS number, see Annex 8 - Self Certification for Exemption from DUNS Requirement.

Section B. Special Grant Requirements

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

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

Permitted Uses of Program Income: The Grantee will inform DAI of any program income generated under the grant and agrees to follow USAID's disposition requirements for such program income, which is in accordance with 22 CFR 226.24. Program income earned under this agreement shall be applied and used in the following descending order:

1. Added to funds committed by USAID and the recipient to the project or program, and used to further eligible project or program objectives;
2. Used to finance the non-Federal share of the project or program; and
3. Deducted from the total project or program allowable cost in determining the net allowable costs on which the federal share of costs is based.

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

Use of Funds: Funds provided under the grant awarded shall be used exclusively to cover the direct costs for which the funds have been awarded. These costs may include but not limited to personnel hire, logistics, venue hire, public relations and marketing and prizes for finalists.

The funds must be used effectively and economically, and the expenses must be essential for the purpose for which the funds were awarded. Indirect or overhead costs related to ongoing expenses of operating the organization should not be included as direct costs of the grant/award for which the funds were awarded.

Diversion of grant funds to other uses will result in cancellation of award and retrieval of funds disbursed to the grant recipient.

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

- **Program report** to be submitted during project implementation according to a schedule determined by DAI. This report will include a description of project activities and progress
towards meeting the project goal; problems in project implementation; actions taken to overcome them; and plans on how the next phase of the project will be implemented.

- **Final program report** will describe how the project objectives and goals were reached, results of the project, and problems and solutions during implementation. This information should be presented in a manner suitable for presentation to the public.

- **Financial reports** will be submitted to DAI according to a schedule described in the grant agreements. Types of financial reports, as well as the schedule of reporting, will depend on the type of grant, length of project, and amount of grant funding. Financial reports will be required in order to receive grant installments. These reports will describe the amount of grant funds spent during the previous period, total amount spent to date, and amount remaining in each budget line item. In addition, all grant recipients are required to submit a detailed Final Financial Report.

Issuance of the final installment of grant funds is contingent upon DAI's receipt and acceptance of Final Financial and Final Program Reports.

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

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

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

2. Surveillance equipment,

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

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

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

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

7. Pharmaceuticals,

8. Pesticides,

9. Logging equipment,

10. Luxury goods (including alcoholic beverages and jewelry),
11. Establishing or expanding any enterprise that will export raw materials that are likely to be in surplus in world markets at the time such production becomes effective and that are likely to cause substantial injury to U.S. producers,

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

13. Activities which are likely to have a significant adverse effect on the environment, including any of the following (to the extent such activities are likely to have a significant adverse impact on the environment):
   i.) Activities which may lead to degrading the quality or renewability of natural resources;
   ii.) Activities which may lead to degrading the presence or health of threatened ecosystems or biodiversity;
   iii.) Activities which may lead to degrading long-term viability of agricultural or forestry production (including through use of pesticides);
   iv.) Activities which may lead to degrading community and social systems, including potable water supply, land administration, community health and well-being or social harmony.

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

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

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

**Other:** As mentioned, grants will be made available to the eligible types of organizations as highlighted in the application procedure in grant amounts to a maximum of USD 300,000 (all grants will be distributed in USD or local currency equivalent). Payment will be made according to a monthly or installment schedule, and in no event will more than 90% of the total agreed budget be disbursed prior to receiving and approving the Final Financial and Final Program Report.

**Section C. Selection Process**

Within 5 working days of the deadline for submitting applications, a review panel will convene. The review panel will include three voting members who are the, relevant two Technical Advisors, and Monitoring & Evaluation Specialist. Throughout the evaluation process, DAI shall take steps to ensure that members of the review panel do not have any conflicts of interest or the appearance of such with regard to the organizations whose applicants are under review. An individual shall be considered to have the appearance of a conflict of interest if that person, or that person’s spouse, partner, child, close friend or relative works for or is
negotiating to work for, or has a financial interest (including being an unpaid member of a Board of Directors) in any organization that submitted an application currently under the panel’s review. Members of the panel shall neither solicit nor accept gratuities, favors, or anything of monetary value from parties to the awards.

All applications that meet the application requirements will be reviewed by the review panel. Verification of the application submission requirements will be conducted at the East Africa Trade and Investment Hub Headquarters.

If suitable applications are received, one or more awards will be made within __60__ working days of the review panel meeting provided that the awardee (s) furnish DAI with all the required documentation as itemized in Section A of this RFA.

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

DAI and USAID reserve the right to fund any or none of the applications received
Awards will be made based on the ranking of applications by the review panel according to the evaluation criteria and scoring system identified below:

<table>
<thead>
<tr>
<th>1. Conformity to the Hub's Project Objectives</th>
<th>VERY GOOD</th>
<th>GOOD</th>
<th>AVERAGE</th>
<th>POOR</th>
</tr>
</thead>
<tbody>
<tr>
<td>The proposed activity must directly support the Hub’s project objectives and contribute to one or more of the Hub’s intermediate results.</td>
<td>15</td>
<td>10</td>
<td>5</td>
<td>0</td>
</tr>
</tbody>
</table>

<table>
<thead>
<tr>
<th>2. Technical Approach</th>
<th>VERY GOOD</th>
<th>GOOD</th>
<th>AVERAGE</th>
<th>POOR</th>
</tr>
</thead>
<tbody>
<tr>
<td>Appropriateness of the proposed methodology, innovativeness, and ability to produce the intended outcomes. The technical approach must directly contribute to the achievement of the Hub’s expected results and performance under the activity, and must be measureable under one or more of the Hub’s indicators.</td>
<td>35</td>
<td>25</td>
<td>10</td>
<td>0</td>
</tr>
</tbody>
</table>

<table>
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<tr>
<th>3. Cross cutting issues</th>
<th>VERY GOOD</th>
<th>GOOD</th>
<th>AVERAGE</th>
<th>POOR</th>
</tr>
</thead>
<tbody>
<tr>
<td>Does the proposed activity incorporate gender issues into its approach?</td>
<td>5</td>
<td>3</td>
<td>2</td>
<td>0</td>
</tr>
</tbody>
</table>

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<thead>
<tr>
<th>4. Sustainability</th>
<th>VERY GOOD</th>
<th>GOOD</th>
<th>AVERAGE</th>
<th>POOR</th>
</tr>
</thead>
<tbody>
<tr>
<td>What is the probability that the activities will be sustainable over the long term without continued external support?</td>
<td>10</td>
<td>5</td>
<td>2</td>
<td>0</td>
</tr>
</tbody>
</table>

<table>
<thead>
<tr>
<th>5. Institutional Capacity</th>
<th>VERY GOOD</th>
<th>GOOD</th>
<th>AVERAGE</th>
<th>POOR</th>
</tr>
</thead>
<tbody>
<tr>
<td>The organization must present evidence that it possesses the technical, managerial, and financial capacity to accomplish the proposed task.</td>
<td>20</td>
<td>15</td>
<td>5</td>
<td>0</td>
</tr>
</tbody>
</table>

<table>
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<tr>
<th>7. Cost</th>
<th>VERY GOOD</th>
<th>GOOD</th>
<th>AVERAGE</th>
<th>POOR</th>
</tr>
</thead>
<tbody>
<tr>
<td>The proposed cost should be within the expected range as mentioned in the RFA and should be reasonable, allocable, and allowable.</td>
<td>5</td>
<td>3</td>
<td>2</td>
<td>0</td>
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<table>
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<tr>
<th>8. Cost Sharing</th>
<th>VERY GOOD</th>
<th>GOOD</th>
<th>AVERAGE</th>
<th>POOR</th>
</tr>
</thead>
<tbody>
<tr>
<td>What is the % cash and/or in-kind contribution from the grantee to the overall project? Is the applicant also partnering with other stakeholders to leverage funding?</td>
<td>5</td>
<td>3</td>
<td>2</td>
<td>0</td>
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</table>
Signing of Grant Agreements

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

**Scope of Work**

**ACCELERATING EAC COMMON MARKET REFORMS THROUGH HIGHER AWARENESS, TRANSPARENCY AND ACCOUNTABILITY**

**Industry Challenge**

The implementation process for the EAC Common Market Protocol suffers acute technical execution problems. Key constituencies that are critical for implementation of the common market – businesses, civil society, private sector associations – remain sub-optimally engaged in the reform process. And those that have formal responsibilities to implement the protocol often struggle to correctly identify and focus on the issues that require attention in order to sustain a well-directed and results-oriented reform process. The result is that several commitments entered into by the EAC Partner States remain unimplemented, largely attributable to weak planning, implementation and monitoring.

A low quality of private-public dialogue among key stakeholders further exacerbates the problem. Often times, private sector representatives lack the required evidence to advocate for their rights under the protocol, and remain sub-optimally engaged in public sector-established committees that have responsibilities to monitor and improve the level of implementation of the protocol. Government ministries and regulators on the other hand, prepare and advance reform priorities without sufficient consultation, leading to reform programs that fail to address the key priorities of the private sector. The envisaged common market, with potential benefits to consumers, businesses and citizens, remains far from completion.

The Hub, in partnership with the region’s private sector, has embarked on a series of partnerships with the private sector umbrella institutions to improve the quality of dialogue with the public sector and to develop and implement work plans to accelerate implementation of the protocol. This partnership started off with a series of dialogue meetings, which inter alia emphasized:

- the need for higher awareness on rights and obligations under the protocol so that the private sector can exercise opportunities under the common market more effectively;
- higher accountability to follow through on reform commitments by government ministries and regulators;
- the need for a higher level of participation during the formulation stage of laws, regulations and administrative actions that have the potential to affect the enjoyment of their rights under the protocol.

In addition, the private sector in the region concur that peer-to-peer dialogue and joint action among the private sector apex institutions is an effective way to influence the removal of measures that continue to operate against further liberalization of trade and investment in the EAC region. Several of the private sector apex institutions will receive grants from the Hub to implement reform programs to follow through on the public-private dialogue series. These grants will complement ongoing Hub partnerships with the EAC Secretariat, ministries and regulators in the EAC Partner States who are currently implementing protocol facilitating initiatives such as implementation of the SPS protocol, set up of electronic notification systems, implementation of trade-enhancing technical regulations and information technology solutions for facilitating trade and customs operations.

**Proposed Intervention**

These initiatives need to be accompanied by strong communications that will raise awareness among key stakeholders to engage in the expected reforms process, increase transparency on the status of implementation of the protocol and the required actions to further liberalize trade and investment, and strengthen accountability for commitments to advance reforms, particularly those entered into during the
public-private dialogue process. The region’s media, communications actors and other related stakeholders are therefore important for the implementation process of the protocol. High quality, evidence-based reporting of developments that affect trade and investment in the region has potential to increase pressure for reforms and help maintain a focus on the most binding constraints to regional integration. Often times however, there exists a skills gap among reporters on of trade, investment and regional integration issues, and it is often difficult to find connections between key subjects in regional integration and other issues that resonate with participants in the domestic economy. The volume and quality of media engagement in regional integration issues therefore remains sup optimal.

The Hub therefore seeks to deliver innovative and sustained reform communications for the several projects to be implemented in support of the EAC Common Market.

**Objectives**

5. Support the region’s media and other relevant stakeholders to extend their role in the integration process beyond reporting, and to become active reforms agents that use their well-developed channels to foster higher awareness, transparency and more accountability for reforms.

6. Create a cadre of high quality regional integration reporters and editors across the EAC region through training; foster a culture of high quality and evidence-based reporting of regional integration issues by EAC media.

7. Significantly increase the penetration of key regional integration developments to the public and private sector by tracking implementation and creating awareness of the Common Market and Customs Union.

8. Develop innovative solutions that increase the levels of accountability and transparency among key stakeholders with responsibilities to implement the EAC Common Market Protocol.

**Potential Activities/ Tasks**

The Hub expects these activities to be implemented through media houses and other stakeholders with extensive reach within the EAC, and the Hub internal staff resources. Indicative activities would include:

- Regular dissemination of legal, regulatory and administrative environment updates, scans, case studies and research papers.
- Development and roll out of EAC regional integration modules in journalism training curricula to improve accuracy and volume of reporting on trade and investment issues.

**Expected Results**

Successful projects, upon successful implementation, will contribute to the liberalization of the trade and investment environment by:

- Encouraging higher accountability by the EAC Partner States, stronger and immediate response from key stakeholders on integration developments.
- Creating higher quantity, quality of reporting on trade and investment.
- Improvement of quality of private sector and public sector dialogue on EAC regional integration issues
- Building community awareness on the status of implementation of the EAC Common Market Protocol
- Improving accessibility to and communication with trade experts at the Hub
- Maintaining a high level of interest in EAC initiatives helping to foster broad based support for regional integration
- Facilitating the flow of information sharing and engagement between various national and regional audiences

**Sustainability**

A culture of evidence-based reporting by major media outlets, reporters and editors in the EAC will have been fostered (and tracked), leading to more accurate tracking of business reform and implementation of the EAC Common Market Protocol. It is expected that the region’s media and other outlets will strengthen the culture of using analytic reports for their analysis and reporting, without further financing from the Hub.
Key private sector constituencies will also have stronger influencing ability of the public sector, and help maintain the implementation focus of the EAC Common Market protocol on business climate reforms. This will be achieved through having widely referenced and accurate information tools as the basis for reaching policy conclusions internally with their members, and driving these policy conclusions through, during their discussions with public sector officials. The rate at which target reports are used as anchors for discussions by the private sector will be tracked.

**Monitoring & Evaluation**

Each proposal should have a clear monitoring plan outlining specific milestones and timelines will be developed as part of the work plans to facilitate effective monitoring and evaluation of the project activities. The proposals should provide for monthly and quarterly progress updates will be provided to show the progress made in attaining project milestones and outline any impediments to successful accomplishment of intended results to facilitate corrective actions in a timely manner.

Provided as separate attachments

Mandatory Standard Provisions for US Nongovernmental Recipients:


And/or

Mandatory Standard Provisions for Non-US Nongovernmental Recipients:
(http://www.usaid.gov/missions/sa/usaidsa/mandatorystandard.pdf)
Executive Summary

The applicant must provide a description including purpose, understanding of the problem, scope, technical approach to solving the problem, methods, results of preliminary impact, and recommendations.
I. THE APPLICANT

1. Name of applicant
   (please include also acronyms, if any)

2. Address of applicant
   (please include official address as well as postal address)
   Official address:
   Postal address:

3. VAT registration number
   (if applicable)

4. Telephone

5. Fax

6. E-mail

7. Web site

8. Contact person

II. PROJECT INFORMATION

1. Title of proposed project

2. Location and duration
   Location: [city / commune], [county]
   Duration: ____ months, from [month] [year] to [month] [year]

3. Summary Budget

<table>
<thead>
<tr>
<th>Total budget</th>
<th>(local currency)</th>
<th>(100%)</th>
</tr>
</thead>
<tbody>
<tr>
<td>Amount requested</td>
<td>(local currency)</td>
<td>(%)</td>
</tr>
<tr>
<td>Applicant contribution</td>
<td>(local currency)</td>
<td>(%)</td>
</tr>
<tr>
<td>Exchange rate used</td>
<td>1 USD = local currency</td>
<td>(date)</td>
</tr>
</tbody>
</table>
4. OPTIONAL: Partners involved in the project – Use if appropriate

(Please list all partner organizations involved in the project; insert as many lines as necessary)

<table>
<thead>
<tr>
<th>NAME OF PARTNER</th>
<th>ROLE IN THE PROJECT</th>
<th>CONTACT DATA</th>
</tr>
</thead>
<tbody>
<tr>
<td></td>
<td></td>
<td>Official address:</td>
</tr>
<tr>
<td></td>
<td></td>
<td>Phone and fax:</td>
</tr>
<tr>
<td></td>
<td></td>
<td>E-mail:</td>
</tr>
<tr>
<td></td>
<td></td>
<td>Contact person:</td>
</tr>
</tbody>
</table>

III. PROJECT DESCRIPTION

1. Project summary

(Please provide a brief summary of your project and any necessary background information; the summary must be no more than 5 page and should clearly address what your project will accomplish, in addition to why and how it will be implemented.)

2. Project goal, activities and results

(Please provide accurate and detailed information, no more than 10 page.)

a) How will the project goals be achieved?

b) What are the specific activities that you will undertake?

c) What are the specific expected results that your project will bring about?

3. OPTIONAL: Beneficiaries - Not more than one page

a) How many people will directly benefit from your project? Please describe who these beneficiaries will be (e.g. age, gender, and other commonalities).

b) If applicable, describe how you will serve the needs of youth, women, or other underserved groups.
4. Cost share Not more than 2 pages
   (Explain the cost share to the project in terms of type of contribution and value.)

5. Monitoring and evaluation Not more than 2 pages

   a) How will you know that your project was successfully implemented? What criteria will you use to
      measure the achievements of your project?
      (Please include the tools you will use to monitor project activities and evaluate project results)

6. Sustainability Not more than 2 pages

   a) Describe how the activities in your project will be sustained after funding ends. How will the activities
      or results of your project continue?

7. Project activity schedule and timeline (work plan)
   (Based on the activities listed in section III.2(b) above, please fill in the work plan using the template provided in
   Annex 3)

IV. PROJECT TEAM

Please list all project team members, including their position, role in the project and a short description of their
assigned responsibilities. (Insert as many lines as necessary).
(Please attach CVs for key personnel involved in the project, using the template provided in Annex 5; also include BioData
Form to be filled out by all key personnel)

<table>
<thead>
<tr>
<th>NO</th>
<th>NAME &amp; SURNAME</th>
<th>POSITION</th>
<th>ROLE IN THE PROJECT</th>
<th>DESCRIPTION</th>
</tr>
</thead>
<tbody>
<tr>
<td>1</td>
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<tr>
<td>8</td>
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<td></td>
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</tr>
</tbody>
</table>

V. APPLICANT CAPABILITY AND PAST PERFORMANCE

1. Organizational capability and resources
   Annual income over the past three years, mentioning the names of your main financial contributors (where applicable)
<table>
<thead>
<tr>
<th>YEAR</th>
<th>TOTAL ANNUAL INCOME (in USD)</th>
<th>MAIN FINANCIAL CONTRIBUTORS</th>
</tr>
</thead>
<tbody>
<tr>
<td></td>
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</tbody>
</table>

a) Please describe the various resources at the disposal of your organization such as: equipment, offices etc.

2. Past performance

Please describe no more than three major projects in which your organization was involved over the past three years, using the table below.

a) Project title

b) Duration (months)

c) Year

d) Location

e) Role of your organization  
(leader, partner)

f) Project objectives

g) Project results

h) Total budget (USD)

i) Funding sources and types of funding (grants, contract, or other)  
Please include contact information for funding sources.

VI. PROJECT BUDGET

Please provide a detailed budget for the entire duration of the project, using the template provided as an attachment.
Use the summary budget template below for the application form and provided the detailed excel budget with budget notes to support the cost reasonability;

<table>
<thead>
<tr>
<th>Summary Lines</th>
<th>DAI (Local currency)</th>
<th>DAI (USD)</th>
<th>Cost Share (USD)</th>
</tr>
</thead>
<tbody>
<tr>
<td>1. Salaries</td>
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<tr>
<td>2. Equipment</td>
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<tr>
<td>3. Travel, transportation, and allowances</td>
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<tr>
<td>4. General/ operational costs</td>
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<td></td>
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<tr>
<td>5. Activity costs</td>
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<td></td>
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<tr>
<td><strong>Total</strong></td>
<td></td>
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</tbody>
</table>

**VII. STATEMENT OF LIABILITY**

I, the undersigned, being the person responsible in the applicant organization for this project, certify that the information given in this application is true and accurate.

<table>
<thead>
<tr>
<th>Name and surname:</th>
<th></th>
</tr>
</thead>
<tbody>
<tr>
<td>Position:</td>
<td></td>
</tr>
<tr>
<td>Signature &amp; stamp:</td>
<td></td>
</tr>
<tr>
<td>Date and Place:</td>
<td></td>
</tr>
<tr>
<td>ACTIVITY</td>
<td>Who is Responsible</td>
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</table>
Annex 4: Budget

Budget will be provided separately as an Excel document.
## Annex 5: BioData Form

**MB Control No. 0412-0520; Expiration Date: 02/28/2014**

### CONTRACTOR EMPLOYEE BIOGRAPHICAL DATA SHEET

<p>| | |</p>
<table>
<thead>
<tr>
<th></th>
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</thead>
<tbody>
<tr>
<td>1. Name (Last, First, Middle)</td>
<td>2. Contractor’s Name</td>
</tr>
<tr>
<td>3. Employee’s Address (include ZIP code)</td>
<td>4. Contract Number</td>
</tr>
<tr>
<td>7. Duration of Assignment</td>
<td>8. Telephone Number (include area code)</td>
</tr>
<tr>
<td>9. Place of Birth</td>
<td>10. Citizenship (If non-U.S. citizen, give visa status)</td>
</tr>
<tr>
<td>11. Names, Ages, and Relationship of Dependents to Accompany Individual to Country of Assignment</td>
<td></td>
</tr>
</tbody>
</table>

### 12. EDUCATION (include all college or university degrees)

<table>
<thead>
<tr>
<th>NAME AND LOCATION OF INSTITUTION</th>
<th>MAJOR</th>
<th>DEGREE</th>
<th>DATE</th>
<th>LANGUAGE</th>
<th>Proficiency Speaking</th>
<th>Proficiency Reading</th>
</tr>
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<tr>
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<td>2/S</td>
<td>2/R</td>
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<td></td>
<td>2/S</td>
<td>2/R</td>
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### 13. LANGUAGE PROFICIENCY (see Instruction on Page 2)

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</tbody>
</table>

### 14. EMPLOYMENT HISTORY

1. Give last three (3) years. List salaries separate for each year. Continue on separate sheet of paper if required to list all employment related to duties of proposed assignment.

2. Salary definition – basic periodic payment for services rendered. Exclude bonuses, profit-sharing arrangements, commissions, consultant fees, extra or overtime work payments, overseas differential or quarters, cost of living or dependent education allowances.

<table>
<thead>
<tr>
<th>POSITION TITLE</th>
<th>EMPLOYER’S NAME AND ADDRESS</th>
<th>POINT OF CONTACT &amp; TELEPHONE #</th>
<th>Dates of Employment (M/D/Y)</th>
<th>Annual Salary</th>
</tr>
</thead>
<tbody>
<tr>
<td></td>
<td></td>
<td></td>
<td>From To Dollars</td>
<td></td>
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</tr>
</tbody>
</table>

### 15. SPECIFIC CONSULTANT SERVICES (give last three (3) years)

<table>
<thead>
<tr>
<th>SERVICES PERFORMED</th>
<th>EMPLOYER’S NAME AND ADDRESS</th>
<th>Dates of Employment (M/D/Y)</th>
<th>Days at Rate</th>
<th>Daily Rate</th>
</tr>
</thead>
<tbody>
<tr>
<td></td>
<td></td>
<td>From To</td>
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</tbody>
</table>

AID 1420-17 (04/2007)
Page 1 of 2
16. CERTIFICATION: To the best of my knowledge, the above facts as stated are true and correct.

<table>
<thead>
<tr>
<th>Signature of Employee</th>
<th>Date</th>
</tr>
</thead>
</table>

17. CONTRACTOR’S CERTIFICATION *(To be signed by responsible representative of Contractor)*

Contractor certifies in submitting this form that it has taken reasonable steps (in accordance with sound business practices) to verify the information contained in this form. Contractor understands that USAID may rely on the accuracy of such information in negotiating and reimbursing personnel under this contract. The making of certifications that are false, fictitious, or fraudulent, or that are based on inadequately verified information may result in appropriate remedial action by USAID, taking into consideration all of the pertinent facts and circumstances, ranging from refund claims to criminal prosecution.

<table>
<thead>
<tr>
<th>Signature of Contractor’s Representative</th>
<th>Date</th>
</tr>
</thead>
</table>
INSTRUCTION

Indicate your language proficiency in block 13 using the following numeric Interagency Language Roundtable levels (Foreign Service Institute Levels). Also, the following provides brief descriptions of proficiency levels 2, 3, 4, and 5. “S” indicates speaking ability and “R” indicates reading ability. For more in-depth description of the levels refer to USAID Handbook 28 or superseding policy directive.

2. Limited working proficiency

S  Able to satisfy routine special demands and limited work requirements.

R  Sufficient comprehension to read simple, authentic written material in a form equivalent to usual printing or typescript on familiar subjects within familiar contexts.

3. General professional proficiency

S  Able to speak the language with sufficient structural accuracy and vocabulary to participate effectively in most formal and informal conversations on practical, social, and professional topics.

R  Able to read within a normal range of speed and with almost complete comprehension of a variety of authentic prose material on unfamiliar subjects.

4. Advanced professional proficiency

S  Able to use the language fluently and accurately on all levels normally pertinent to professional needs.

R  Able to read fluently and accurately all styles and forms of the language pertinent to professional needs.

5. Functional native proficiency

S  Speaking proficiency is functionally equivalent to that of a highly articulate well-educated native speaker and reflects the cultural standards of a country where the language is natively spoken.

R  Reading proficiency is functionally equivalent to that of the well-educated native reader.

PAPERWORK REDUCTION ACT INFORMATION

The information requested by this form is necessary for prudent management and administration of public funds under USAID contracts. The information helps USAID estimate overseas logistic support and allowances, the educational information provides an indication of qualifications, the salary information is used as a means of cost monitoring and to help determine reasonableness of proposed salary.
PAPERWORK REDUCTION ACT NOTICE

Public reporting burden for this collection of information is estimated to average thirty minutes per response, including the time for reviewing instructions, searching existing data sources, gathering and maintaining the data needed, and completing and reviewing the collection of information. Send comments regarding this burden estimate or any other aspect of this collection of information, including suggestions for reducing this burden, to:

United States Agency for International Development
Office of Acquisition and Assistance
Policy Division (M/OAA/P)
Washington, DC  20523-7100;

and

Office of Management and Budget
Paperwork Reduction Project (0412-0520)
Washington, DC  20503
Annex 6: Financial Capability Questionnaire

Accounting System and Financial Capability Questionnaire
For DAI Grant Recipients

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

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

While 22 CFR 226 does not cover awards to non-U.S. recipients, DAI shall rely on the standards established in that regulation in determining whether potential non-U.S. recipients are responsible to manage Federal funds. A determination shall be made on the potential recipient's ability, or potential ability, to comply with the following USAID and federal-wide policies:

1) 22 CFR 226.20 - 226.28 (Financial and Program Management) (See Mandatory Reference, 22 CFR 226.20 - 226.28);

2) 22 CFR 226.30 - 226.37 (Property Standards) (See Mandatory Reference, 22 CFR 226.30 - 226.37);

3) 22 CFR 226.40 - 226.49 (Procurement Standards) (See Mandatory Reference, 22 CFR 226.40 - 226.49); and

SECTION A: General Information

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

Name of Institution: ________________________________________________________________

Name and Title of Financial Contact Person: ____________________________________________

Name of Person Filling out Questionnaire: ______________________________________________

Mailing Address: __________________________________________________________________

________________________________________________________________________________

Street Address (if different) __________________________________________________________________

________________________________________________________________________________

Telephone, Fax, Email (if applicable) _________________________________________________

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

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

SECTION B: Internal Controls

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

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

   Yes: ☐    No: ☐

2. If yes, how?

   ______________________________________________________________________________
   ______________________________________________________________________________
   ______________________________________________________________________________

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3. Are timesheets kept for each paid employee?

   Yes: ☐  No: ☐

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

   Yes: ☐  No: ☐

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

   Yes: ☐  No: ☐ (if no, explain)

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

   ______________________________________
   ______________________________________
   ______________________________________

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

   Yes: ☐  No: ☐

7. The person responsible for approving financial transactions is: ________________ Title: ________________

8. Is the person(s) responsible for approving transactions familiar with U.S. Federal Cost principles as described in OMB Circular A-122?

   Yes: ☐  No: ☐

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

   Yes: ☐  No: ☐
10. Does your institution require supporting documentation (such as original receipts) prior to payment for expenditures?

Yes: ☐  No: ☐

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

Yes: ☐  No: ☐

If yes, how long are such records kept? ________________________________

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

Yes: ☐  No: ☐

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

Yes: ☐  No: ☐

14. Who would be responsible for financial reports? ________________________________

SECTION C: Fund Control and Accounting Systems

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

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

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

   Separate bank accounts: ☐

   A fund accounting system: ☐

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

   Yes: ☐  No: ☐
If yes, please explain the amount of funds to be maintained, the purpose and person responsible for safeguarding these funds.

__________________________________________________________________________
__________________________________________________________________________
__________________________________________________________________________
__________________________________________________________________________

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

__________________________________________________________________________
__________________________________________________________________________
__________________________________________________________________________
__________________________________________________________________________

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

   Yes: ☐              No: ☐

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

__________________________________________________________________________
__________________________________________________________________________
__________________________________________________________________________
__________________________________________________________________________

7. Are your financial reports prepared on a:

   Cash basis: ☐       Accrual basis: ☐

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

   Yes: ☐              No: ☐
9. Is your institution's accounting system capable of separating the receipts and payments of the grant from the receipts and payments of your institution's other activities?

Yes: □       No: □

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

Yes: □       No: □

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

Yes: □       No: □

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

________________________________________________________________________

________________________________________________________________________

________________________________________________________________________

________________________________________________________________________

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

Yes: □       No: □

13. Briefly describe your institution’s system for filing and keeping supporting documentation.

________________________________________________________________________

________________________________________________________________________

________________________________________________________________________

________________________________________________________________________

SECTION D: Audit

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

1. Is someone in your institution familiar with U.S. government regulations concerning costs which can be charged to U.S. grants (OMB Circular A-122 "Cost Principles for Nonprofit Institutions" and OMB Circular A-110 "Uniform Administrative Requirements for Grants and Agreements with Institutions of Higher Education, Hospitals and Other Non-Profit Institutions")?

   Yes: □       No: □

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

   Yes: □       No: □

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

   Yes: □       No: □

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

4. Does your institution have regular audits?

   Yes: □       No: □

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

   __________________________________________________________

   __________________________________________________________

   __________________________________________________________

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

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

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

   Yes: □       No: □

   If yes, please provide details:

   __________________________________________________________
CHECKLIST AND SIGNATURE PAGE

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

Complete the checklist:
□ Copy of your organization’s most recent audit is attached.
□ If no recent audit, a "Balance Sheet" "Income Statement" for the most current and previous fiscal year.
□ All questions have been fully answered.
□ An authorized individual has signed and dated this page.

Optional:
□ Incorporation Papers or Certificate of Registration and Statute is attached.
□ Information describing your institution is attached.
□ Organizational chart, if available is attached (if applicable).

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

Approved
by:
_________________________
Print Name
_________________________
Signature
_________________________
Title ______________________ Date ________________
INSTRUCTIONS FOR OBTAINING A DUNS NUMBER
DAI'S VENDORS, SUBCONTRACTORS & GRANTEES

Note: There is a Mandatory Requirement for your Organization to Provide a DUNS number to DAI

I. SUBCONTRACTS/PURCHASE ORDERS: All domestic and foreign organizations which receive first-tier subcontracts/purchase orders with a value of $25,000 and above are required to obtain a DUNS number prior to signing of the agreement. Your organization is exempt from this requirement if the gross income received from all sources in the previous tax year was under $300,000. Please see the self-certification form attached.

II. MONETARY GRANTS: All foreign entities receiving first-tier monetary grants (standard, simplified and FOGs) with a value equal to or over $25,000 and performing work outside the U.S. must obtain a DUNS number prior to signing of the grant. All U.S. organizations who are recipients of first-tier monetary grants of any value are required to obtain a DUNS number; the exemption for under $25,000 applies to foreign organizations only.

NO SUBCONTRACTS/POs ($25,000 + above) or MONETARY GRANTS WILL BE SIGNED BY DAI WITHOUT PRIOR RECEIPT OF A DUNS NUMBER.

Note: The determination of a successful offeror/applicant resulting from this RFP/RFQ/RFA is contingent upon the winner providing a DUNS number to DAI. Organizations who fail to provide a DUNS number will not receive an award and DAI will select an alternate vendor/subcontractor/grantee.

Background:
Summary of Current U.S. Government Requirements- DUNS and Reporting in FSRS Database

The Data Universal Numbering System (DUNS) is a system developed and managed by Dun and Bradstreet that assigns a unique nine-digit identifier to a business entity. It is a common standard worldwide and users include the U.S. Government, European Commission and the United Nations. The DUNS number will be used to better identify related organizations that are receiving U.S. federal funding, and to provide consistent name and address data for electronic application systems.

The U.S. Government requires that all applicants for first-tier monetary grants (i) and all first-tier subcontracts/purchase orders of $25,000 or above have a DUNS number prior to DAI issuing an award to that entity.

REQUIREMENT FOR DAI TO REPORT DATA IN THE FSRS DATABASE:

In addition, in accordance with the Federal Funding Accountability and Transparency Act of 2008; FAR 52.204-10, “Reporting Executive Compensation and First-Tier Subcontract Awards” (Revised July 2010); and Subpart 4.14—“Reporting Executive Compensation and First-Tier Subcontract Awards,” effective March 1, 2011, DAI is required to report any newly awarded first-tier subcontracts $25,000 or above in the FSRS (Functional Security Requirements Specifications) database at http://www.fsrs.gov.

In accordance with AAPD 11-01 amended, all foreign entities receiving first-tier monetary grants (standard, simplified and FOGs) with a value equal to or over $25,000 and performing work outside the U.S. must obtain a DUNS number prior to signing of the grant. All U.S. organizations who are recipients of first-tier monetary grants of any value are required to obtain a DUNS number; the exemption for under...
$25,000 applies to foreign organizations only. In accordance with the AAPD as well as 2 CFR Parts 25 and 170, DAI is required to report on grantees in the FSRS database. The reported information for subcontracts and grants will be available for the public to view at http://usaspending.gov.

Instructions detailing the process to be followed in order to obtain a DUNs number for your organization begin on the next page.

**THE PROCESS FOR OBTAINING A DUNS NUMBER IS OUTLINED BELOW:**

1. Log on to the D&B (Dun & Bradstreet) DUNS registration website to begin the process of obtaining a DUNS number free of charge.
   
   http://fedgov.dnb.com/webform/index.jsp
   
   Please note there is a bar on the left for Frequently Asked Questions as well as emails and telephone numbers for persons at Dun & Bradstreet for you to contact if you have any questions or difficulties completing the application on-line. DAI is not authorized to complete the application on your organization’s behalf; the required data must be entered by an authorized official of your organization.

2. Select the Country where your company is physically located.

3. You will first be asked to search the existing DUNS database to see whether a DUNS number already exists for your organization/entity. Subcontractors/grantees who already have a DUNS number may verify/update their DUNS records.

4. Potential DAI subcontractors/vendors/grantees who do not already have a DUNS number will be shown the screen below. To request a new DUNS Number, the “Request a New D-U-N-S Number” button needs to be selected.
5. Enter the information regarding your organization listed on the next three screens. (See screen shots below.) Make sure you have the following information available (in English) prior to beginning the process of entering this section in order to ensure successful registration.

- Legal Business Name (commas are allowed, periods are not allowed)
- Address
- Phone
- Name of Owner/Executive
- Total Number of Employees
- Annual Sales or Revenue (US Dollar equivalent)
- Description of Operations

6. Note that some fields are Optional, however all other fields must be completed to proceed further with the application process. For example, all applicants must complete the Organization Information sections. The Company Name and Physical Address fields are self-populated based on information previously entered during the initial DUNS search. The question marks to the left of the field provide additional information when you click on them.

7. You must select the legal structure of your organization from the pull down menu. To assist you in selecting the appropriate structure that best represents your organization, a brief description of the various types follows:

- **Corporation** – A firm that meets certain legal requirements to be chartered by the state/province in which it is headquartered by the filing of articles of incorporation. A corporation is considered by law to be an entity separate and distinct from its owners. It can be taxed; it can be sued; it can enter into contractual agreements.
• **Government** - central, province/state, district, municipal and other U.S. or local government entities. Includes universities, schools and vocational centers owned and operated by the government.

• **Limited Liability Company (LLC)** - This is a type of business ownership combining several features of corporation and partnership structures. It is designed to provide the limited liability features of a corporation and the tax efficiencies and operational flexibility of a partnership. Its owners have limited personal liability for the LLC’s debts and obligations, similar to the status of shareholders in a corporation. If your firm is an LLC, this will be noted on the organizations registration and licensing documents.

• **Non-profit** - An entity which exists for charitable reasons and is not conducted or maintained for the purpose of making a profit. Any money earned must be retained by the organization, and used for its own expenses, operations, and programs. Most organizations which are registered in the host country as a non-governmental organization (NGO) rather than as a commercial business are non-profit entities.

Community based organizations, trade associations, community development councils, and similar entities which are not organized as a profit making organization should select this status, even if your organization is not registered formally in country as an NGO.

• **Partnership** - a legal form of operation in which two or more individuals carry on a continuing business for profit as co-owners. The profits and losses are shared proportionally.

• **Proprietorship** - These firms are owned by one person, usually the individual who has day-to-day responsibility for running the business. Sole proprietors own all the assets of the business and the profits generated by it.

8. One of the most important fields that must be filled in is the Primary SIC code field. (See screen shot below.) The Primary Standard Industrial Code classifies the business’ most relevant industry and function.
9. If you are unsure of which SIC Code your organization’s core business falls under, please refer to the following website:  http://www.osha.gov/oshstats/sicser.html

You will need to enter certain keywords to bring up the potential SIC Codes. In the case above, “Research” was entered as the keyword, and resulted in the following:

PLEASE NOTE: Many of the DAI subcontractors and grantees fall under one of the following SIC codes:

8742 Management Consulting Services
1542 General Contractors-Nonresidential Buildings, Other than Industrial Buildings and Warehouses or one of the codes within:

Industry Group 357: Computer And Office Equipment
Industry Group 355: Special Industry Machinery, Except Metalworking
Industry Group 356: General Industrial Machinery And Equipment
Industry Group 359: Miscellaneous Industrial And Commercial

10. Description of Operations- Enter a brief description of the primary services you provide the example below, “agricultural technical assistance” was chosen as the primary function of the business.
11. The Annual Sales or Revenue figure should be provided in USD (US Dollar) equivalent.

12. Once all of the fields have been completed, click on “Submit Your Request” to be taken to the Verification page.

13. Note: Representative (Principal, Owner or Officer) needs to verify and provide affirmation regarding the accuracy of the data under criminal or civil penalties as per Title 18, Section 1001 of the US Criminal Code.

14. Once “Yes, Continue” button is clicked, the registration application is sent to D&B, and a DUNS number should be available within 24-48 hours. DUNS database can be checked in 24-48 hours by entering the Business Information in the Search window – which should now display a valid result with the new DUNS number for the entity.
Annex 8:  Self Certification for Exemption from DUNS Requirement

Legal Business Name: ____________________________________________________________

Physical Address: ______________________________________________________________

Physical City: _________________________________________________________________

Physical Foreign Province (if applicable): __________________________________________

Physical Country: ______________________________________________________________

Signature of Certifier __________________________________________________________

Full Name of Certifier (Last Name, First/Middle Names): _____________________________

Title of Certifier: ______________________________________________________________

Date of Certification (mm/dd/yyyy): ______________________________________________

The subcontractor/vendor whose legal business name is provided herein, certifies that we are an organization exempt from obtaining a DUNS number, as the gross income received from all sources in the previous tax year is under USD $300,000.

*By submitting this certification, the certifier attests to the accuracy of the representations and certifications contained herein. The certifier understands that s/he and/or the subcontractor/vendor may be subject to penalties, if s/he misrepresents the subcontractor/vendor in any of the representations or certifications to the Prime Contractor and/or the US Government. The subcontractor/vendor agrees to allow the Prime Contractor and/or the US Government to verify the company name, physical address, or other information provided herein. Certification validity is for one year from the date of certification.

Annex 9: Application Checklist

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

- The application dossier is comprised of ____ original and ____ copies of all documents
- The application is submitted also in electronic format
- The workplan is included (Annex 3)
- Budget is included
- In the budget, the applicant’s contribution is identified and is at least ____% of total project costs
- The CVs and BioData Forms are included (Annex 5)
- The statement of liability is signed and stamped (last page of application form – Annex 2)
- Completed Financial Capability Questionnaire (Annex 6)
- Audited Financial Reports: Copy of the applicant’s most recent financial report, which has been audited by a certified public accountant or other auditor satisfactory to DAI. If no recent audit, a “Balance Sheet” and “Income Statement” for the most current and previous fiscal year.
- Incorporation Papers or Certificate of Registration and Statute
- Organizational Chart
- Documentation that the applicant has the ability to comply with the award conditions, taking into account all existing and currently prospective commitments of the applicant. The applicant must demonstrate its ability to segregate funds obtained from the award of a capital grant from other activities of the organization. A separate bank account is required should a grant award be made. (Documentation may include certification from the applicant’s bank or a summary of previous awards, including type of funding, value, client, etc.)
- Documentation that the applicant has a satisfactory record of integrity and business ethics. (Documentation may include references from other donors or clients and a summary of previous awards, including type of funding, value, client, etc.)
- Evidence of a DUNS Number or a Self Certification for Exemption from DUNS Requirement.