



RFA Issuance Date: 11/17/2023  
Closing Date: 01/03/2024 (30 business days after issuance date)  
Closing Time: 16:00

**Subject:** Request for Applications (RFA) Number: RFA-HRASA-2023-006 on Poultry

The Feed the Future Haiti Resilience and Agriculture Sector Advancement (HRASA) Activity is funded by USAID and is part of the U.S Government's Feed the Future Initiative.

FTF HRASA is a five-year (2021-2026) project that seeks to increase individual, household, and community resilience through strengthened, well-functioning, and inclusive market systems. HRASA's activities are centered in two Resilience Focus Zones (RFZ)—one in the North/North-East/Central Plateau region and the other in the Southern Les Cayes region—and cover a total of 33 communes.

The project has a partnership mechanism, consisting of combined grant and local sub-contract funds, which will be used to de-risk private sector investment in selected market systems to benefit smallholders' farmers, young people, and women directly or indirectly. The objectives of HRASA are:

- I. Increased market system efficiency.
  - A. Increase private sector investment and engagement across market systems.
  - B. Increased household and community ability to recover from shocks and stresses.

The purpose of this RFA is to proceed with applications from research institutions established in Haiti which work in the development and testing of new tools, innovative technologies, and methods for the Modernization of Poultry sectors in the North, North-east, Central Plateau and South RFZs. The institution whose application best meets the requirements of this Request for Application (RFA) will be designated as a partner through which HRASA's investment can be directed to accomplish the following objectives:

- I. Develop and test with producers a novel method to produce a poultry feed using Black Soldier Fly larvae (*Hermetia illucens*) and other local ingredients (sugarcane syrup for example)
2. A cost and market (opportunities) analysis for the production and use of the Black Soldier Fly larvae as poultry feed (farmers or independent contractors)

The grant may include technical assistance, equipment's, research studies, demonstration plots among other means of intervention to achieve the fixed goals.

Through this RFA, Applicant is requested to apply for a grant to meet following targets:



- Percent of participant farmer households with improvement in targeted resilience capacities
- Value of annual sales of farms and firms receiving USG assistance
- Number of individuals in the agriculture system who have applied improved management practices or technologies with USG assistance.
- Number of youth and women with participation in the agricultural market system
- Number of new farmers with access to private sector led extension services with USG assistance.
- Number of individuals participating in the USG food security program

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 Subpart E for all US-based and for non-US based non-profit organizations, and the Federal Acquisition Regulation (FAR) Part 31 for for-profit organizations), may be paid under the grant.

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

*The total amount of funding currently available for this RFA is limited to (\$200,000) for a period of up to 2 years. DAI may choose to fully fund or incrementally fund the selected application(s). The amount of available funding is subject to change and DAI reserves the right to make no awards as a result of this RFA. DAI anticipates the start date upon award with a performance period of up to two years. DAI reserves the right to fund any or none of the applications submitted.*

Subject to the availability of funds, DAI intends to provide at least one grant to one market system actors up to a maximum amount of US \$200,000 or two grants : \$130,000 for the North, North-east and Plateau Central RFZ and \$70,000 for the South to support research and development of innovative technologies in Poultry sector. The expected duration of DAI support or the period of performance is 2 years. DAI, as primary implementer of the HRASA, 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 HRASA office in hard copy, or email not later than thirty business 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 HRASA Grants Team at [partnership\\_facility@haiti-rasa.com](mailto:partnership_facility@haiti-rasa.com) or hard copy to the following address: 44, Rue des Antilles, Pipo Ville, Mombin Lataille, Cap-Haitien, Haiti.

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 HRASA Grants Team, [info\\_partnership-facility@haiti-rasa.com](mailto:info_partnership-facility@haiti-rasa.com). Applicants should retain for their records one copy of all enclosures which accompany their application.

Thank you for your interest in HRASA activities.

Sincerely,

A handwritten signature in cursive script that reads "Harvey Schartup".

Harvey Schartup

Chief of Party

DAI, USAID Contractor

**RFA-HRASA-2023-006**  
**Haiti Resilience and Agriculture Sector Advancement (HRASA)**

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# Section A – Grant Application Instructions

## I. Application Procedure

### A. Completion and submission of applications

#### Eligibility Requirements

*All Research Institutions established in Haiti which work in the development and testing of new tools, innovative technologies and methods for the Modernization/ Adaptability and Resilience of Poultry sector, and which met the following requirements are eligible to respond to this RFA:*

- *Legally registered Organizations in Haiti and provide a valid copy of Fiscal Identification Number – NIF delivered by Haitian authorities.*
- *Demonstrate capacity to implement the grant activities.*
- *Demonstrate experience and capabilities that are in line with the objectives of the project as mentioned above.*

#### Application Submission Requirements

- Applications may be submitted:  
in hard copy at 44 Rue des Antilles, Pipo Ville, Mombin Lataille, Cap-Haitien, Haiti  
or  
by email (pdf and word format) to: [partnership\\_facility@haiti-rasa.com](mailto:partnership_facility@haiti-rasa.com)
- Applications in hard copy must be submitted in (1) original (with attachments) with electronic support (Hard-Compact disk/memory card will not be returned)
- Applications must include (*adjust as necessary*):
  - Completed Application Form
  - Completed Project Workplan
  - A cover letter briefly presenting the partner and listing attached documents.
  - Projected Grant Budget and Budget Notes
  - CVs and Biodata forms of all project team members
  - Completed Financial Capability Questionnaire and attachments.
  - Statement of liability (part of application form)
  - Copy of Fiscal Identification Number – NIF delivered by Haitian authorities.

#### Deadlines

Applications must be received by email or at 44 Rue des Antilles, Pipo Ville, Mombin Lataille, Cap-Haitien, Haiti: not later than 30 business days after issuance date in the cover letter.

Applications and modifications thereof shall be submitted in pdf (preferred) or other electronic format to [partnership\\_facility@haiti-rasa.com](mailto:partnership_facility@haiti-rasa.com) or hard copy to the following address: 44, Rue des Antilles, Pipo Ville, Mombin Lataille, Cap-Haitien, Haiti.

#### 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

This RFA is to request partner to apply for a grant to concur to HRASA's intermediate results (IR):

- IR1- Increased Market System Efficiency
- IR2- Increased Private Sector Investment and Engagement Across the Market Systems
- IR3- Increased Household and Community Ability to Recover from Shocks and Stresses

Percent of participant farmer households with improvement in targeted resilience capacities

Value of annual sales of farms and firms receiving USG assistance

Number of individuals in the agriculture system who have applied improved management practices or technologies with USG assistance.

Number of youth and women with participation in the agricultural market system

Number of new farmers with access to private sector led extension services with USG assistance.

Number of individuals participating in the USG food security program

**Page Limitation:** Applications should be specific, complete, presented concisely and shall not exceed twelve pages (exclusive of annexes). For the budget, please consult the attached model for a detailed presentation. **Applications submitted in response to this RFA must include the following information:**

- I. **Project Description:** To ensure above Intermediate Results (IR); the applicant must provide a title and a detailed description for the Grant. The Grant description must include:
  - a. Context, actual situation, describing the issues with the Poultry sector. Stats with references on the Institution diagnostic of the situation.
  - b. what is the hypothesis for the solution and what will be the effects on the Poultry sector, specifying the identified:
    - i. opportunities, advantages and disadvantages, risks
    - ii. goals,
    - iii. objectives
    - iv. activities, detailed activities and how they will be implemented.
    - v. intermediate results in the short and long term.

The Project Description should also include the timeline for the activities to be implemented.

The successful application must include an understanding of:

- The production of poultry and broilers in Haiti
- Traditional poultry farming

To facilitate the accomplishment of the objectives concerning the intensive, region-specific, and resilient production of poultry. The results of this grant are expected to include, but are not limited to:

Development of new methodologies to feed poultry.

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

Successful application will be evaluated based on but not limited to the applicability of using local ingredients for poultry feed as a substitute for imported poultry feed:

Local cost  
Cost comparison with imported poultry feed  
Feasibility  
Scalability  
Efficacy  
Research and field testing  
Local availability  
On farm vs industrial (small-scale)

**3. Sustainability:** The applicant should describe how the partnership, the project, or its benefits will continue after grant funding ends.

Successful applicant must demonstrate how the proposed solutions are adaptable by most poultry farmers in Haiti. Specific sustainability requirements are:

- Adaptability of technologies and tools proposed.
- Quality of tools proposed.
- Easy to maintain of all proposed solutions (how it will be guaranteed at low cost).
- Affordability to smallholders
- Economic opportunities to all actors

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

Staff may include but are not limited to:

- Program Director
- Project coordinator
- Finance Manager
- Poultry specialist Intern

**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.

Successful applicant must demonstrate:

- Capacity to complete complex research studies
- Capacity to comply to USAID rules and procedures.
- Experience of successfully achieved similar project or grant.

**6. Past Performance:** Applicants must present evidence of their experience. Applicants may include descriptions of projects or other similar activities. .

**7. Budget:** All proposals must include a completed budget; see Section C for more details. Budget must include the following cost categories if applicable:

- Human Resources (HR): Salaries and Fringes
- Travel (Lodging and Per diem)
- Equipment (unit cost above 1000.00 USD)
- Supplies (Unit cost below or equal to 1000.00 USD)
- Contractual (Any contract to be signed under the grant for services)
- Other (All activities cost)
- Operation (car, fuel, communications)

**8. Cost Sharing Contribution:** Details regarding the proposed cost sharing contribution by your organization may be included.

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 local government are of particular interest. However, attachments should be limited to five 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.

See attached Annex 5 for the budget form. Supporting information shall be provided, as necessary, in sufficient detail to allow a complete analysis of each line-item cost.

**2. Completed Financial Capability Questionnaire,** which includes:

- a. **Audited Financial Reports:** Copy of the applicant's most recent financial report, which has been audited by a certified public accountant or other auditor satisfactory to DAI. If no recent audit, a "Balance Sheet" and "Income Statement" for the most current and previous fiscal year.
- b. **Incorporation Papers or Certificate of Registration and Statute**
- c. **Organizational chart**

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

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

**5.** 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)

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

All U.S. and foreign organizations which receive a grant with a value of \$25,000 and above **are required** to obtain a Unique Entity ID (SAM) 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 Unique Entity ID (SAM), see Annex 8- Instructions for Obtaining a Unique Entity ID (SAM)- DAI'S Vendors, Subcontractors and Grantees.

For those not required to obtain a Unique Entity ID (SAM), see Annex 9- Self Certification for Exemption from Unique Entity ID (SAM) Requirement

## Section B. Special Grant Requirements

The applicant shall bear in mind the following specific 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 2 CFR 200.307. Program income earned under this agreement shall be applied and used in the following descending order:

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

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

**Use of Funds:** Funds provided under any grant awarded shall be used exclusively to the purpose of the approved grant. Diversion of grant funds or Goods 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, but not limited to any, 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 Haiti 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 local registered organizations eligible in grant amounts not to exceed 200,000 USD (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.

Subject to the availability of funds, DAI intends to provide at least one grant to one market system actors up to a maximum amount of US \$200,000 or two grants : \$130,000 for the North, North-east and Plateau Central RFZ and \$70,000 for the South to support research and development of innovative technologies in Poultry sector. The expected duration of DAI support or the period of performance is 2 years. DAI, as primary implementer of the HRASA, reserves the right to fund any or none of the applications submitted.

## Section C. Selection Process

Within fifteen working days of the deadline for submitting applications, a review panel will convene. The review panel will include HRASA Technical Staff. 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 HRASA Headquarters by the Grants Team.

If suitable applications are received, one or more awards will be made within sixty working days of the review panel meeting provided that the awardee (s) furnish (es) 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.**

Awards will be made based on the ranking of applications by the review panel according to the evaluation criteria and scoring system identified below:

**1. Past performance and capability.**

The applicant's past experience and capabilities in conducting projects of a similar nature.

**Exceptionally good = 25 points; good = 15 points; average = 5 points; poor = 0 points**

**2. Project justification and design.**

Is the design innovative, creative, and realistic?

**Exceptionally good = 25 points; good = 15 points; average = 5 points; poor = 0 points**

**3. Potential impact on \_Market Development System.**

- Is the project likely to improve MSD?

**Exceptionally good = 12.50 points; good = 10 points; average = 5 points; poor = 0 points**

#### 4. Cost effectiveness.

- Is the cost reasonable in terms of the expected results?

**Exceptionally good = 12.50 points; good = 7.5 points; average = 5 points; poor = 0 points**

#### 5. Potential for sustainability

- Is the project or its benefits likely to continue after grant funding ends?

**Exceptionally good = 25 points; good = 7.5 points; average = 5 points; poor = 0 points**

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

## Section D. Program Description

### Objective

Haiti Resilience and Agriculture Sector Advancement (HRASA) project plans to award grants to organizations that will benefit families and communities by strengthening Haiti's agricultural market systems, to be more sustainable, inclusive, and resilient. HRASA's activities will:

1. Improve market system efficiency,
2. Increase private sector investment and engagement, and
3. Strengthen household and community resilience—their ability to recover from shocks and stresses.

HRASA supported activities will be centered in two Resilience Focus Zones (RFZ)—one in the North/North-East/Central Plateau region and the other in the Southern Les Cayes region—and cover a total of 32 communes.

### Background

The USAID/Feed the Future funded HRASA, will work to reduce risks for private sector investment in targeted value chains to benefit smallholder farmers, youth, and women directly or indirectly. The project implemented by DAI Global LLC will facilitate partnerships with and among agricultural market stakeholders – smallholder farmers, farmer groups, input suppliers, equipment dealers, buyers, wholesalers, retailers, financial institutions, service providers, and others – to improve the resilience of Haiti's agricultural market systems, helping smallholder farmers, youth and women escape poverty and chronic vulnerability.

Through the partnership facility the prospective partners will contribute to the project's overall objectives through a focus on either or both of two areas of opportunity:

- *Catalytic* opportunities to reduce or manage risks for partners' investments and prove the business case for new models, practices, and technologies that improve market efficiency, and
- *Inclusive* opportunities that build the capacity of women, youth, and other vulnerable and marginalized populations.

## **Annex I: Mandatory Standard Provisions**

*Awards to U.S. organizations will be administered in accordance with 2 CFR 200 Subpart E, ADS 303 and USAID Standard Provisions for U.S. nongovernmental organizations. For non-U.S. organizations, USAID Standard Provisions for non-U.S. non-governmental organizations would apply. Applicants may obtain copies of the referenced material at the following websites:*

2 CFR 200: [http://www.ecfr.gov/cgi-bin/text-](http://www.ecfr.gov/cgi-bin/text-idx?SID=0a5b7fee6378930cce72564449dd8bb7&mc=true&node=sp2.1.200.d&rgn=div6)

[idx?SID=0a5b7fee6378930cce72564449dd8bb7&mc=true&node=sp2.1.200.d&rgn=div6](http://www.ecfr.gov/cgi-bin/text-idx?SID=0a5b7fee6378930cce72564449dd8bb7&mc=true&node=sp2.1.200.d&rgn=div6)

Standard Provisions for U.S. Nongovernmental Recipients:

<https://www.usaid.gov/sites/default/files/documents/1864/303maa.pdf>

Standard Provisions for Non-U.S., Nongovernmental Recipients:

<https://www.usaid.gov/sites/default/files/documents/1868/303mab.pdf>

Mandatory Standard Provisions for US Nongovernmental Recipients:

<https://www.usaid.gov/sites/default/files/documents/1864/303maa.pdf>

or

Mandatory Standard Provisions for Non-US Nongovernmental Recipients:

<https://www.usaid.gov/sites/default/files/documents/1868/303mab.pdf>

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

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

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

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

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

**Part IV – Representation by Organization Regarding a Delinquent Tax Liability or a Felony Criminal Conviction**

**Part V – Other Statements of Recipient**

**Part VI – Standard Provisions for Solicitations**

*(Note: Parts V & VI – Are included in the grant file as part of the grant application.)*



## Annex 3: Application Form

Annex three

### APPLICATION FORM

#### I. THE APPLICANT

1. Name of applicant

*(Please also include 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

Total budget	(Local currency)	(100%)
▪ Amount requested	(Local currency)	(%)
▪ Applicant contribution	(Local currency)	(%)
▪ Exchange rate used	1 USD = local currency	(date)

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)*

NAME OF PARTNER	ROLE IN THE PROJECT	CONTACT DATA
		Official address:  Phone and fax: E-mail: Contact person:
		Official address:  Phone and fax: E-mail: Contact person:

**III. PROJECT DESCRIPTION ADJUST THIS ENTIRE SECTION AS NECESSARY**

I. Project summary

*(Please provide a summary of your project and any necessary background information; the summary must be no more than \_\_\_\_ 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 \_\_\_\_ page.)*

- a) How will the project state goal to be achieved or rephrase as appropriate\_\_\_\_\_?
- 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 - Revise as appropriate*

- 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

*(Explain the cost share to the project in terms of type of contribution and value.)*

---

#### 5. Monitoring and evaluation

- 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

- 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 4)*

---

### IV. PROJECT TEAM

Please list all project team members, including their position, role in the project and a concise 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 6; also include a I 420 Biodata Form to be filled out by all key personnel)*

NO	NAME & SURNAME	POSITION	ROLE IN THE PROJECT	DESCRIPTION
1				
2				
3				
4				
5				
6				
7				
8				

## V. APPLICANT CAPABILITY AND PAST PERFORMANCE

### I. Organizational capability and resources

Annual income over the past three years, mentioning the names of your main financial contributors (where applicable)

YEAR	TOTAL ANNUAL INCOME (In USD)	MAIN FINANCIAL CONTRIBUTORS

- 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) <i>Please include contact information for funding sources.</i>	

## VI. PROJECT BUDGET

Please provide a detailed budget for the entire duration of the project, using the template provided in Annex 5.

Budget summary

Requested budget	Contributions (if any)	Total budget	Project duration

## 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.

Name and surname:	
Position:	
Signature & stamp:	
Date and Place:	

**Annex 4: Workplan (calendar for activity)**

**ANNEX 4**

**Name of applicant:**

*Please see Annex 4*

Objective	Goal	Activity	Input	Output	Starting date	End date

## **Annex 5: Budget**

*Budget template is provided separately in an Excel document.*

## **Annex 6: CV Form and Biodata Form**



## Curriculum Vitae

Proposed position in the project:

Name (First, Middle, Last):

Citizenship:

Education:

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

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

Language	Reading	Speaking	Writing

Membership of NGOs or other professional bodies:

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

Employment history:

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

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

EBD form

*Biodata template is provided separately in a Word document.*

## **Annex 7: 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 collaborate with you and your institution to review any problem areas that may be identified; thereby avoiding any problems or oversights which would be reportable should an audit of the program or institution be required.

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

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

- 1) [2 CFR 200 Subpart D](#) (Financial and Program Management);
- 2) [2 CFR 200 Subpart D](#) (Property Standards);
- 3) [2 CFR 200 Subpart D](#) (Procurement Standards); and
- 4) [2 CFR 200 Subpart D](#) (Performance and Financial Monitoring and Reporting).

## **SECTION A: General Information**

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

Name of Institution:

Name and Title of Financial Contact Person:

Name of Person Filling out Questionnaire:

Mailing Address:

Street Address (if different)

Telephone, Fax, Email (if applicable)

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

From: (Month, Day)

To: (Month, Day)

## **SECTION B: Internal Controls**

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

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

Yes: ☐

No: ☐

2. If yes, how?

3. Are timesheets kept for each paid employee?

Yes: ☐

No: ☐

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

Yes: ☐

No: ☐

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 2 CFR 200 Subpart E?

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?

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 particularly 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.

3. If your institution does not have a bank account, how do you ensure that cash is maintained safely?

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

Yes: ☐

No: ☐

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

6. Are your financial reports prepared on a:

Cash basis: ☐

Accrual basis: ☐



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

Yes: ☐

No: ☐

8. 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: ☐

9. 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 (2 CFR 200 Subpart E "Cost Principles" )?

Yes: ☐

No: ☐

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

Yes: ☐

No: ☐

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

Yes: ☐

No: ☐

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

4. Does your institution have regular audits?

Yes: ☐

No: ☐

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

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

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

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

Yes: ☐

No: ☐

If yes, please provide details:

## CHECKLIST AND SIGNATURE PAGE

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

### Complete the checklist:

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

### Optional:

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

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

Approved by:

---

Print Name

---

Signature

Title

---

Date 

---

## **Annex 8: Instructions for Obtaining a Unique Entity ID (SAM)- DAI'S Vendors, Subcontractors and Grantees**

[https://www.fsd.gov/gsafsd\\_sp?id=kb\\_article\\_view&sysparm\\_article=KB0049214](https://www.fsd.gov/gsafsd_sp?id=kb_article_view&sysparm_article=KB0049214)

## **Annex 9: Self Certification for Exemption from Unique Entity ID (SAM) Requirement**

<https://sanctionssearch.ofac.treas.gov/>

## Annex 10: Application Checklist

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.
- ☐ *If applicable:* The application is submitted also in electronic format.
- ☐ Applicable certifications and assurances are signed and included (see Annex 2)
- ☐ *If applicable:* The workplan is included (Annex 4)
- ☐ Budget is included.
- ☐ *If minimum cost-share required include the following:* 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 6)
- ☐ The statement of liability is signed and stamped (last page of application form – Annex 3)
- ☐ Completed Financial Capability Questionnaire (Annex 7)
- ☐ Audited Financial Reports: Copy of the applicant's most recent financial report, which has been audited by a certified public accountant or other auditor satisfactory to DAI. If no recent audit, a "Balance Sheet" and "Income Statement" for the most current and previous fiscal year.)
- ☐ Incorporation Papers or Certificate of Registration and Statute
- ☐ Organizational Chart
- ☐ Documentation that the applicant has the ability to comply with the award conditions, taking into account all existing and currently prospective commitments of the applicant. The applicant must demonstrate its ability to segregate funds obtained from the award of a capital grant from other activities of the organization. A separate bank account is required should a grant award be made. (Documentation may include certification from the applicant's bank or a summary of previous awards, including type of funding, value, client, etc.)
- ☐ Documentation that the applicant has a satisfactory record of integrity and business ethics. (Documentation may include references from other donors or clients and a summary of previous awards, including type of funding, value, client, etc.)
- ☐ Evidence of a Unique Entity ID (SAM) or a Self-Certification for Exemption from Unique Entity ID (SAM) Requirement.