



USAID Resilience through  
Agriculture South Sudan  
(RASS) Activity

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Closing Date: December 27<sup>th</sup>, 2022  
Closing Time: 5:30PM, Juba time

**Subject:** Request for Applications (RFA) Number RASS-GUC-RFA-2022-002  
RASS Grants Under Contract.

**Reference:** Grants Under Contract Issued Under USAID Resilience through  
Agriculture South Sudan (RASS) Activity USAID Contract No.  
72066821C00009

The purpose of this Request for Applications (RFA) is to solicit applications for funding. The Resilience through Agriculture in South Sudan (RASS) is a four-year (2021-2025) activity funded by the United States Agency for Development (USAID) and led by prime contractor DAI Global, LLC (DAI). DAI works with partner organizations: CARE International, International Fertilizer Development Center (IFDC), and The Waterfield Design Group, Inc. (WDG). RASS Activity is designed to improve food security and community household recovery and resilience in 13 target counties in South Sudan, reducing their long-term reliance on humanitarian assistance to development and economic growth.

Interested parties may send their applications accordingly to the instructions below. The maximum possible duration of any activities proposed for funding under this RFA is approximately one year; All grant activities must conclude by September 30<sup>th</sup>, 2023. These activities are to be implemented in nine of RASS's priority counties: Akobo East, Pibor, Duk, Baliet, Panyijar, Wau, Jur River, Budi, and Kapoeta North counties.

Applications for activities outside the mentioned counties will not be considered. Applicants must demonstrate success in managing cultural and political considerations in the proposed focus counties as well as success in addressing one or more DAI RASS development objectives of: strengthening locals systems and community groups' capacities to sustain gender responsive, diversified, and market-sensitive agricultural production; increase availability of, access to, and utilization of diverse, safe, and affordable diets; and expand opportunities for sustainable, locally driven livelihoods.

### **Background:**

RASS is a four-year (2021-2025) activity funded by USAID South Sudan, and led by prime contractor DAI Global, LLC (DAI). RASS works to improve the effectiveness of local systems and strengthen the capacities of community groups to achieve gender-responsive and diversified market-sensitive production; facilitate the production of diverse, nutritious foods by strengthening productivity, reducing food loss, and improving nutrition behaviors; and expand

household and community opportunities for sustainable, locally driven livelihoods. These objectives guide the activities to be proposed by interested parties.

### **Overall Project Objectives for Year Two (2022/2023)**

These objectives will be achieved through technology transfer, training, awareness campaigns and innovation. Where appropriate, some small-scale community level construction will be implemented to facilitate the attainment of these objectives. RASS activities focus on promoting market driven value chains to enhance incomes of the primary producers including women and men, youth, and people with disabilities.

Specifically, any grants issued in support of Year Two implementation will be used for the below activities (and/or activities similar in scope and purpose), noting that the items/equipment listed are illustrative. The applicant should provide a detailed description of activity implementation, and proposed equipment/supplies/items with an accompanying budget.

1. Provision of ox-ploughs to rural farmers who have the capacity to provide their own oxen for animal traction training (ox-plough moldboards and maresha ploughs). This will be paired with technical assistance on the use of the ox-ploughs.
2. Provision of fishing kits, canoes, preservation salt, sets of solarized cold chain storage of fresh fish, and solar powered fish dryers (and/or other items, as appropriate) to fisher folk groups in Akobo, Balia, Duk and Panyijar counties to enhance fish production, preservation and marketing for increased household food and income security.
3. Provision of small animals, such as chickens or goats, to advance on a “livestock ladder” and diversify livelihoods.
4. Incentivize agro-dealer development for last-mile distribution by piloting mobile sales agent and community agent models, also called village-based agents (VBAs).
5. Identify locally available labor-saving processing equipment, such as grinding mills, for farmers and small-scale traders and develop plans to build capacity and access to these technologies.
6. Train and provide micro-irrigation equipment, fruit trees, treadle pumps, water tanks and other accessories including polyethylene and gunny bags for kitchen gardens around homesteads.
7. Distribution of production materials such as additives, molders, weighing scales, plastic drums and jugs, aprons, stickers, and other appropriate materials to women groups in Budi engaged in soap making.
8. Distribution of materials such as cotton, polyethylene liners, sewing threads, overlock machines, scissors, and other appropriate materials to sanitary pads sewing groups in Budi County.
9. Provide Village Savings and Loan Association (VSLA) groups in all the counties the necessary saving kits, including metal security boxes and locks, ledger books, and calculators, to enhance their saving portfolio.

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 principles (2 CFR 200 Subpart E for all non-profit organizations, and the Federal Acquisition Regulation (FAR) Part 31 for all for-profit organizations), may be paid under the grant.

For non-US organizations, the Standard Provisions for Non-US Nongovernmental Organizations will apply ([ADS 303mab](#)). For US organizations, [2 CFR 200](#) and the Standard

Provisions for U.S. Nongovernmental Organizations will apply ([ADS 303maa](#)). See Annex I for the web address links to these Standard Provisions.

The total, combined value of all grants (if any) issued under this RFA will not exceed USD \$150,000.

Subject to the availability of funds, DAI intends to provide grants to one or more youth and women associations, local organizations/companies, CBOs and CSOs. The type of grant awards will depend on the activities each successful applicant will implement, and selection of grantees will be determined through DAI's review and evaluation of complete, timely submissions of applications. The expected duration (i.e., period of performance) of RASS support for any grants is between approximately January 2023, to September 2023. DAI, as primary implementer of RASS, 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 components:

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

Annexes:

- Annex 1: Mandatory Standard Provisions
- Annex 2: Certifications, Assurances, Other Statements of the Recipient
- Annex 3: Application Form
- Annex 4: Workplan
- Annex 5: Budget
- Annex 6: CV Form and BioData Form
- Annex 7: Financial Capability Questionnaire
- Annex 8: Instructions for Obtaining a Unique Entity ID (SAM)
- Annex 9: Self Certification for Exemption from Unique Entity ID (SAM) Requirement
- Annex 10: Application Checklist

Applications must be received by RASS not later than the deadline stated at the top of this cover letter, and must be submitted through one of the following means:

1. Electronic format (PDF preferred), submitted by email to [rass\\_procurement@rassactivity.org](mailto:rass_procurement@rassactivity.org) or
2. Hard copy, submitted to the following address:

USAID Resilience through Agriculture South Sudan (RASS) Activity Afex River Camp Building  
No. Africa 01, Juba, South Sudan

Applicants should retain for their records one copy of all enclosures which accompany their application.

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:

[rass\\_procurement@rassactivity.com](mailto:rass_procurement@rassactivity.com)

Thank you for your interest in the USAID-funded RASS Activity.

Sincerely,

Itai Makanda  
Chief of Party  
DAI/RASS Activity

# **RFA for Grants Under Contract for Resilience Through Agriculture Activities (RASS)**

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# Section A – Grant Application Instructions

## I. Application Procedure

### A. Completion and submission of applications

#### **Eligibility Requirements**

*The following types of organizations are eligible for consideration under this RFA: legally registered national organizations, youth associations, civil societies organizations, community-based organizations and women associations. Only these types of organizations are eligible for consideration because RASS/DAI has determined these are the most appropriate entity types to receive grants in support of achieving the Year Two objectives stated in the cover letter of this RFA. All applicants must provide their registration documents whether at county, state, or national level.*

#### **Application Submission Requirements**

- Applications may be submitted only by email or hand-delivered to RASS offices in the respective counties mentioned above.
- Applications must be submitted in either hard copy or electronic form
- Electronic applications must be submitted in PDF format (with attachments)
- Applications must include:
  - Completed Application Form.
  - Completed Project Workplan.
  - Projected Grant Budget and Budget Notes.
  - CVs of the organization key staff.
  - Completed Financial Capability Questionnaire and attachments
  - Statement of liability (part of application form)

#### **Deadlines**

Applications must be received at RASS Office-Juba not later than the submission indicated in the cover letter of this RFA. Applications must be received by RASS not later than the deadline stated at the top of this cover letter, and must be submitted through one of the following means:

1. Electronic format (PDF preferred), submitted by email to [rass\\_procurement@rassactivity.org](mailto:rass_procurement@rassactivity.org) ; or
2. Hard copy, submitted to the following address:  
USAID Resilience through Agriculture South Sudan (RASS) Activity Afex River  
Camp Building No. Africa 01, Juba, South Sudan

Applicants should retain for their records one copy of all enclosures which accompany their application.

#### **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 of this RFA 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 30 pages (exclusive of annexes).

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

**Project Description:** The applicant must provide a detailed description of the proposed project, specifying its goal, activities, and results. *The activities must be in line with the specified RASS activities below:*

1. Provision of ox-ploughs to rural farmers who have the capacity to provide their own oxen for animal traction training (ox-plough moldboards and maresha ploughs). This will be paired with technical assistance on the use of the ox-ploughs.
  2. Provision of fishing kits, canoes, preservation salt, sets of solarized cold chain storage of fresh fish, and solar powered fish dryers (and/or other items, as appropriate) to fisher folk groups in Akobo, Baliet, Duk and Panyijar counties to enhance fish production, preservation and marketing for increased household food and income security.
  3. Provision of small animals, such as chickens or goats, to advance on a “livestock ladder” and diversify livelihoods.
  4. Incentivize agro-dealer development for last-mile distribution by piloting mobile sales agent and community agent models, also called village-based agents (VBAs).
  5. Identify locally available labor-saving processing equipment, such as grinding mills, for farmers and small-scale traders and develop plans to build capacity and access to these technologies.
  6. Train and provide micro-irrigation equipment, fruit trees, treadle pumps, water tanks and other accessories including polyethene and gunny bags for vertical gardens around homesteads.
  7. Distribution of production materials such as additives, molders, weighing scales, plastic drums and jugs, aprons, stickers, and other appropriate materials to women groups in Budi engaged in soap making.
  8. Distribution of materials such as cotton, polyethene liners, sewing threads, overlock machines, scissors, and other appropriate materials to sanitary pads sewing groups in Budi County.
  9. Provide Village Savings and Loan Association (VSLA) groups in all the counties the necessary saving kits, including metal security boxes and locks, ledger books, and calculators, to enhance their saving portfolio.
- 
1. **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.
  2. **Sustainability:** The applicant should describe how the project, or its benefits, will continue after grant funding ends.
  3. **Personnel:** 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 individuals’ knowledge, skills and abilities in the areas listed herein.

4. **Organizational Capability:** Each application shall include information that demonstrates the applicant's expertise and ability to meet or exceed the goals of this program.
5. **Past Performance:** Applicants must present evidence of their experience in relation to the activities they are applying for. Applicants may include descriptions of five agricultural projects or other similar activities. These references should include three (3) clients' names and telephone numbers who will serve as references.
6. **Budget:** All proposals must include a completed budget; see Section C for more details.
7. **Grantee Contributions:** Applicants are encouraged, but not required, to propose in-kind or financial contributions in their applications. If an applicant does propose to provide contributions (e.g., in-kind items, labor time, venue rental costs, etc.) they must provide sufficient detail regarding any such proposed in-kind or supplemental contributions by your organization. In-kind contributions by grantees 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 materials:** Applicants may also want to submit other materials as attachments along with their applications, such as letters of reference, newspaper clippings reporting on the organization's activities, brochures, or other promotional materials. Support letters demonstrating partnerships and cooperation with 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. Supporting information shall be provided by the Applicant, 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 demonstrates 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.)



4. **Unique Entity ID (SAM):** There is a mandatory requirement for the applicant to provide a Unique Entity ID (UEI (SAM)) to DAI, if required per the criteria stated in the following paragraph, below. Without a UEI (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 UEI (SAM) to DAI. Organizations who fail to provide this will not receive an award.

All U.S. and foreign organizations which receive a grant with a value of \$25,000 and above are required to obtain a UEI (SAM) prior to signing of the grant 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 (Annex 9) if the applicant claims exemption for this reason.

For those required to obtain a UEI (SAM), see Annex 8- Instructions for Obtaining an 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

## 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:** At DAI’s sole discretion, DAI may require the grantee to establish a separate bank account 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) (above) shall apply automatically. Grantees who are commercial organizations may not apply Option 1) to their program income.

**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 generally include the following:

- **Program report** to be submitted during project implementation according to a schedule determined by DAI/RASS. 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/RASS 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.

**Project Monitoring:** DAI/RASS 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/RASS 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 South Sudan 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:** Based on RASS partnership design and desire to achieve greatest impact, preferences will be given to national NGOs and registered local groups with demonstrated presence in our counties of operations and with experience in technical objective areas. Individual applicants are not eligible for this call.

Proposals from individuals will not be considered. Government entities are not eligible for RASS grant funding unless special circumstances warrant their eligibility, and approval by authorized USAID official, is obtained to that effect.

For any grants issued as “in-kind” grants, DAI will procure the equipment/supplies/materials directly and will transfer them to the implementing partner.

## C. Selection Process

Within 10 working days of the deadline for submitting applications, a review panel will convene. The review panel will include the at least eight RASS staff members, including representatives from RASS’s senior leadership, applicable technical teams, subaward team, monitoring and

evaluation team, and finance and operations team. 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 RASS Activity Juba Office by the appropriate Technical and Subawards staff.

If suitable applications are received, one or more awards will be made (at DAI's discretion) within 30 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.

**Very good = 20 points; good = 10 points; average = 5 points; poor = 0 points**

**2. Project justification and design;**

Is the design innovative, creative and realistic?

**Very good = 30 points; good = 15 points; average = 5 points; poor = 0 points**

**3. Potential impact on beneficiaries.**

- Is the project likely to improve lives of the communities (beneficiaries)?
- Is there evidence of buy-in and involvement?

**Very good = 30 points; good = 15 points; average = 5 points; poor = 0 points**

**4. Cost effectiveness;**

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

**Very good = 10 points; good = 7 points; average = 5 points; poor = 0 points**

**5. Potential for sustainability**

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

**Very good = 10 points; good = 7 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, **DAI may require grant recipients must open a separate bank account** as the means by which grant funds will be transferred from DAI to the grant recipient.

## D. Program Description

The USAID/South Sudan Resilience through Agriculture in South Sudan (RASS) is a four-year activity led by prime Contractor, DAI Global, LLC. and three partners: CARE International, International Fertilizer Development Center (IFDC), and The Waterfield Design Group, Inc. (WDG). The RASS Project's objective is to improve food security and community household recovery and resilience in 13 counties in Western Bahr el Ghazal, Unity, Upper Nile, Jonglei, and Eastern Equatoria States in-line with USAID strategic partnership framework in the Republic of South Sudan.

In addressing the challenging operating environment, RASS Activity will improve food security and community household recovery and resilience in up to 13 target counties<sup>1</sup>, reducing long-term reliance on humanitarian assistance (HA). To achieve this ambitious aim, RASS will improve the effectiveness of local systems and strengthen the capacities of community groups to achieve gender responsive and diversified market-sensitive production (Objective 1); facilitate increased availability of, access to, and utilization of diverse nutritious foods by strengthening productivity, reducing food loss, and improving nutrition behaviors (Objective 2); and strengthen and expand household and community opportunities for sustainable, locally driven livelihoods (Objective 3). Taken together, RASS will support communities to graduate from high integrated food security phase classifications: IPC phase 3-crisis, IPC phase 4-emergency, and IPC phase 5-famine) to low IPC acute food insecurity (IPC phase 1-none/minimal and IPC phase 2-stressed) and support a change from a focus on HA to inclusive development assistance and economic growth (Objective 4).

RASS objectives will be achieved through technology transfer, training, awareness campaigns and innovation. Where appropriate some small-scale community level construction will be implemented to facilitate the attainment of these objectives. It will focus on promoting market driven value chains to enhance incomes of the primary producers including women and men, youth, and people with disabilities.

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<sup>1</sup> RASS target counties include Panyijar, Akobo, Uror, Duk, Wau, Jur River, Leer, Mayendit, Ulang, Baliet, Pibor, Budi, and Kapoeta North.

## **Annex 1: Standard Provisions**

Standard Provisions for US Nongovernmental Organizations:

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

or

Standard Provisions for Non-US Nongovernmental Organizations:

<https://www.usaid.gov/sites/default/files/documents/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



**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

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

#### 1. Project summary

*(Please provide a brief summary of your project and any necessary background information; the summary must be no more than 3 pages 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 20 pages.)*

- 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. Beneficiaries

- 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. Grantee Contribution (Optional)

*(Explain the in-kind or other financial contributions you plan to provide to support the proposed activities, detailing the 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

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- 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)

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*(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 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 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)

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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. Attached separately.

## 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

### ANNEX 4

Name of applicant:

*Please utilize the attached document to fill out the proposed workplan.*



Work Plan Template  
.docx

## **Annex 5: Budget-See attached in excel**



Annex 5 BUDGET  
TEMPLATE for PY2.xl:

## **Annex 6: CV Form and Biodata Form for the key personnel**



## 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		Short description of tasks performed
		From (month, year)	To (month, year)	

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

The USAID Contractor Employee Biographical Data Sheet (Form AID 1420-17) can be accessed using the imbedded file (below), or by using the following link: <https://www.usaid.gov/forms/aid-1420-17>



Annex 6\_EBD  
Form\_1420.pdf

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

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

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

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

## SECTION A: General Information

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

Name of Institution: \_\_\_\_\_

Name and Title of Financial Contact Person: \_\_\_\_\_

Name of Person Filling out Questionnaire: \_\_\_\_\_

Mailing Address: \_\_\_\_\_

\_\_\_\_\_

\_\_\_\_\_

Street Address (if different) \_\_\_\_\_

\_\_\_\_\_

Telephone, Fax, Email (if applicable) \_\_\_\_\_

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

From: (Month, Day) \_\_\_\_\_ To: (Month, Day) \_\_\_\_\_

## SECTION B: Internal Controls

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

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

Yes: ☐

No: ☐

2. If yes, how?

\_\_\_\_\_

\_\_\_\_\_

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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)

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

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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 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.

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

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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.?

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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?

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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.

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## 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" for non-profit entities, and FAR 31 for for-profit entities)?

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?

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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:

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## 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.
- ☐ Incorporation Papers or Certificate of Registration and Statute is attached.
- ☐ Information describing your institution is attached.

### Optional:

- ☐ 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:

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Print Name

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Signature

---

Title

Date 

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

Applicants can access the instructions by opening the file imbedded here:



Annex  
8\_Instructions for O

Below are some additional tips for the applicants' reference:

Each awardee will be required to obtain a Unique Entity ID (UEID) via sam.gov. Below are some helpful tips on how an organization can obtain the UEID.

1. Obtaining a UEID and registering as an entity are two different processes. Obtaining a UEID is quicker and requires a less intensive validation process. A NCAGE code is **not** needed for entity validation and to get a UEID, but it is needed for full registration in SAM.
2. For new entities:
  - a. Prior to starting entity validation process, an entity should be prepared with documents that: (1) shows the entity's legal business name and physical address in the same document and is less than 5 years old; (2) shows the legal business name and start year in the same document; and, (3) shows legal business name and US state of Incorporation (for US entities) or National Identifier (for non-US entities). If any documents are in a language other than English, they must be accompanied by certified translations (see the link below for more details).
  - b. This [GSA guide](#) has detail on documentation requirements. It includes a downloadable document outlining what type of documentation is acceptable, general guidelines, and guidance on translations.
  - c. Additionally there is a general [FAQ](#) also maintained by GSA.
3. If, after entering the required information, an entity receives a validation error message and/or is not a match with any of the returned potential matches, the entity should create an incident. There are two new, useful videos that GSA has recently published to help explain this process. These are different than the brief overview video that has been previously shared, so projects and partners are encouraged to watch:
  - a. This video provides a detailed, step-by-step walk through of the entity validation process. Be advised the scenario it addresses is for an existing entity that has to update some information (rather than a new entity, which is the case for most of our partners), but the steps are the same: <https://www.youtube.com/watch?v=ZKc9UfxtOIA> (the "create incident portion" runs from 27:58 to 35:05).
  - b. This video provides guidance on how to manage the validation ticket once it has been submitted: <https://www.youtube.com/watch?v=a3nPPZvnPpE0> (the "managing your validation ticket" portion runs from 17:34 to 28:55).
4. Entities need to regularly check their email – including spam folders – after they have submitted the incident report for emails from [fsdsupport@gsa.gov](mailto:fsdsupport@gsa.gov). They should be able to look up the status either by logging into their user account on SAM.gov (go to the "Workspace" view and click the "View" button under the Incident Report Number) or in fsd.gov (directions on how to do this can be found [here](#)). Entities can communicate with an EVS (Entity Validation System) agent in FSD.gov or by responding to the email. If the

entity is unable to generate an incident report for some reason (this was a problem we saw this past week), the entity can also go to FSD.gov and start a chat with an agent by clicking on the “live chat” button in the lower right-hand corner. Agents are available from 8AM to 8PM EST.

5. Once they are contacted by the EVS agent, the entity will have 5 days to respond, or the incident report will be automatically closed and they will have to start again. If the entity needs more time, they should respond to the EVS agent and communicate this. If the ticket is closed, when the entity starts a new one they should include the original ticket number in the Comments Section.
6. Requested documents need to be uploaded at sam.gov, not at fsd.gov.
7. Once the FSD agent has confirmed the entity has been validated, the entity is not done! It will need to go back to SAM.gov to enter its information again and select the current, correct entity info. This step must be done in order to generate the UEID.

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

Applicants can access the self-certification for exemption form by opening the imbedded file, here:



Annex 9\_Self  
Certification for Exe

## 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 in electronic format
- ☐ Applicable certifications and assurances are signed and included (see Annex 2)
- ☐ The workplan is included (Annex 4)
- ☐ Budget is included
- ☐ In the budget, the applicant's contribution is identified (if applicable)
- ☐ 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 (optional)
- ☐ Documentation that the applicant has the ability to comply with the award conditions, taking into account all existing and currently prospective commitments of the applicant. The applicant must demonstrate its ability to segregate funds obtained from the award of a capital grant from other activities of the organization. A separate bank account is required should a grant award be made. (Documentation may include certification from the applicant's bank or a summary of previous awards, including type of funding, value, client, etc.)
- ☐ Documentation that the applicant has a satisfactory record of integrity and business ethics. (Documentation may include references from other donors or clients and a summary of previous awards, including type of funding, value, client, etc..)
- ☐ Evidence of an Unique Entity ID (SAM) or a Self-Certification for Exemption from Unique Entity ID (SAM) Requirement.