Southern Africa Trade and Investment Hub
Strategic Partnership Fund Annual Program Statement

Call for Applications

Funding Opportunity Title: Strategic Partnership Fund Call for Applications
Announcement Type: Annual Program Statement
Funding Opportunity Number: SATIH-APS-PRE-017-001
Issuance Date: April 11, 2017
Questions Due By: 17:00 (UTC+02:00), June 5, 2017
Submit Questions to: SATIH_Grants_Outbox@dai.com
Deadline for Submission of Concept Papers: 17:00 (UTC+02:00), June 19, 2017
Submit Concept Papers to: SATIH_Grants_Inbox@dai.com

Please see www.satihub.com/spfund for APS modifications and other information.
Dear Interested Applicants:

The Southern Africa Trade and Investment Hub, funded by the U.S. Agency for International Development, works to support the Southern African public and private sectors and civil society to create a well-integrated regional economy that delivers tangible economic benefits and improved food security for the people of the region through increased global competitiveness, intra-regional trade and investment.

The purpose of this Annual Program Statement (APS) is to solicit concept papers for innovative and sustainable solutions which deliver high impacts to further the goals and objectives of the Southern Africa Trade and Investment Hub.

This APS is seeking applicants to propose creative and effective approaches to increase global competitiveness and intraregional trade in the Southern Africa region as outlined in the Overview section. Applicants may choose among a range of initiatives or scale up small projects that have demonstrated success. Applicants must demonstrate success in managing business and political considerations in the proposed focus country or region as well as success in addressing the Trade and Investment Hub’s development objectives.

Awardees will be expected to share results and key lessons, and disseminate periodic activities information and outcomes with the broader community.

The geographic focus under consideration is the following Southern African Development Community (SADC) member countries; Angola, Botswana, Lesotho, Madagascar, Malawi, Mozambique, Namibia, South Africa, Swaziland, Zambia and Zimbabwe.

DAI on behalf of USAID anticipates awarding Strategic Partnership Grants to fund selected applications submitted in response to this APS. Initial concept papers due by 19 June 2017. Applications will be accepted on a competitive and first-come-first serve basis. The competition for this APS will be open for five months ending November 19, 2017.

DAI may choose to fully fund or incrementally fund the selected applications. The number of awards and amount of available funding is subject to change and DAI reserves the right to make no awards as a result of this APS. All applications and related documentation will remain however confidential. Applications outside the geographic focus will not be considered.

Vanessa Adams
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SECTION I - FUNDING OPPORTUNITY DESCRIPTION

(1) Description of the Funding Opportunity

(A) Southern Africa Trade and Investment Hub Background

The USAID Southern Africa Trade and Investment Hub (Trade and Investment Hub) project, a five-year trade and investment facilitation project for Southern Africa, is expected to increase global competitiveness and intra-regional trade and improve food security in Southern Africa. Anticipated project activities include leveraging finance and investment in targeted sectors; supporting national, regional bodies industry, associations and service providers to facilitate intra-regional trade of agricultural commodities and economic integration; facilitating improved private sector export competitiveness in key value chains (agribusiness: maize, pulses, oilseeds; exports: food ingredients, processed foods, apparel, accessories, leather and footwear), and expanding trade including increased utilization of the African Growth and Opportunity Act (AGOA). Anticipated Southern Africa Trade and Investment Hub life of project results include:

- Technical Assistance for training Medium, Small, and Micro Enterprises (MSMEs)
- Strengthening of policies to increase trade and investment
- Reduction in time/cost across borders
- Increase in global exports
- Increase in regional agricultural trade
- Facilitation of private sector investment and loans

(B) Sustainable Partnership Fund Objectives

The Southern Africa Trade and Investment Hub may provide Grants Under Contract (GUC) through the project’s Strategic Partnership Fund. The overall objective of the Strategic Partnership Fund is to further goals and impact of Southern African Trade and Investment Hub by supporting interventions with matching funds that can catalyze rapid and inclusive growth in the Southern Africa Trade and Investment Hub project, across all program components. Beneficiaries will include industry associations, Medium, Small, and Micro Enterprises (MSMEs), cooperatives, civil society and other entities. By building sustainability through grant assistance to these beneficiaries, the reach of the Trade and Investment Hub’s assistance can continue beyond the life of the project. The Strategic Partnership Fund will focus primarily on opportunities to:

- Accelerate intraregional agricultural and consumer goods trade and exports to the United States and global markets
- Facilitate provision of processing and grading equipment to accelerate growth and trade
• Mitigate risk and facilitate private sector technology transfer regionally as well as international transfer and adoption of new technologies resulting in increased investment

• Support cluster development and regional industry association capacity building towards improved regional trade and international competitiveness

• Facilitate increased level of international certifications and adoption of new technologies

• Capital equipment upgrading resulting in increased international competitiveness

• Leverage private sector investment to facilitate greater regional and international trade

(2) Administration of Award


Applicants may obtain copies of the referenced material at the following websites:

2 CFR 200:
https://www.ecfr.gov/cgi-bin/text-idx?tpl=/ecfrbrowse/Title02/2cfr200_main_02.tpl

2 CFR 700:
https://www.ecfr.gov/cgi-bin/text-idx?mc=true&node=pt2.1.700&rgn=div5

Standard Provisions for U.S. Nongovernmental Recipients:

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

SECTION II- AWARD INFORMATION

(1) Estimated Funding Level

DAI may choose to fully fund or incrementally fund the chosen Application(s). The number of awards and amount of available funding is subject to change.

(2) Anticipated Start Date of this Award and Performance Period

DAI anticipates the start date upon award with a performance period of up to three years max.

(3) Award Type

DAI anticipates awarding grants (hereafter called Agreement) to fund successful applications submitted in response to this APS.
SECTION III- ELIGIBILITY INFORMATION

(1) Eligibility Criteria

Grants may be awarded on both a solicited and unsolicited basis. To meet minimum eligibility criteria for grant competition, applications must:

1. Support outcomes and results consistent with and linked to the USAID Southern Africa Trade and Investment Hub project's results and objectives

2. Support activities within the target project area

3. Be submitted by registered organizations in any of SADC member states or United States, (both for-profit and non-profit), or local government entities. Organizations should be registered under local law. (Unregistered organizations are not eligible for DAI grant funding unless special circumstances warrant specific approval by USAID to that effect). Individuals are not eligible for grant funding, so any microenterprise that applies for grant funding must possess a national Tax Identification Number and any requisite permits, licenses, and registrations required

4. Contain evidence of a matching funds commitment

DAI staff will screen all concept papers and applications to ensure compliance with all eligibility requirements.

(2) Ineligible Organizations

DAI will not work with organizations deemed ineligible unless prior written consent from the USAID Contracting Officer is received. DAI may not award a grant to:

- Any U.S. entity which is a “private voluntary organization” (PVO) but has not registered as such with USAID;

- Any entity whose name appears on the “List of Parties Excluded from Federal Procurement and Non-Procurement Programs”;

- Any “public international organization” (PIO);

- Any third country foreign government (outside of the Southern Africa Development Community region);

- Any entity affiliated with DAI or any of its directors, officers, or employees;

- Any political party organization;

- Individuals;

- Any entity that has active exclusions in the system for Award Management (SAM) (http://www.acquisition.gov);
• Any entity whose nationality is out of the authorized geographic code (935); and
• DAI will follow USAID/Zimbabwe local vetting requirements for grants implemented in Zimbabwe or by Zimbabwean grantees.

(3) Potential New Partners
DAI strongly encourages applications from potential new partners.

(4) Matching Fund Contributions
Matching fund contributions is required. Applicants are encouraged to detail types and amounts of contributions resources from their own private or local sources for the implementation of this program or from third party partners, investors or buyers.

SECTION IV- APPLICATION AND SUBMISSION INFORMATION

(1) Application Process
DAI will review proposals using a two-stage process.

In stage one, applicants will submit a concept paper of no more than six pages. Concept papers must meet the identified needs of this solicitation. Based on the evaluation of the concept paper, DAI will invite select applicants the second stage.

In the second stage, Applicants will be asked to submit a full proposal. The concept paper and Full Application must be submitted in accordance with the instructions in SECTIONS IV (2), (3) and (4) below.

(2) Concept Paper
In the first stage, all applicants are required to submit a short technical concept paper no longer than 8 pages that is specific, complete and concise. The concept paper should demonstrate the applicant’s capabilities and expertise with respect to achieving the goals of this program. The instructions for developing the concept paper should take into account the instructions listed in the next section. Concept papers must also include an illustrative budget, including proposed matching funds, presented in an unlocked Microsoft excel document.

Concept papers will be reviewed in terms of responsiveness to the APS, appropriateness of subject matter, and creativity. Applicants are encouraged to demonstrate how their proposed work will contribute to objectives of the Southern Africa Trade and Investment Hub, as discussed in Section III).

(A) Concept Paper Instructions
The concept paper must be submitted in Times New Roman size 12 single spaced, and must include page numbers. Each page must be marked with the APS title and number.

Prepare the application for the concept paper per the structural format set forth below:

1. **Cover Page** (no more than one (1) page). The cover page must include:
• the APS number “SATIH-APS-PRE-017-001” and name “Strategic Partnership Fund Call for Applications”

• Address of organization

• Type of organization (e.g., registration, for-profit, non-profit, association, etc.);

• Contact point (lead contact name; relevant telephone, fax, e-mail, physical address information);

• Names of other organizations to whom you are submitting and/or have submitted the application and/or who are funding in whole or in part the proposed activity;

• Complete list of other grants or funding the organization has received from USAID, USAID-implemented programs, or other donor or government in the past three years; and

• Signature of authorized representative of the applicant.

2. Technical approach (no more than three (3) pages): This section should address the program summary and selected objectives in Section I of this document and should include:

• Discussion of the activity objectives, the method of approach, duration of activity, number of beneficiaries and how the work will contribute to stated regional economic development objectives of the USAID Southern Africa Trade and Investment Hub, as discussed in Section I (1)

• Discussion of anticipated results which should contribute to at least one of the following Life of Project Results as discussed in I (1)

• Type of support the applicant requests from the Southern Africa Trade and Investment Hub (e.g., funds, facilities, equipment, materials, personnel resources, etc.)

3. Supporting information (no more than four (4) pages):

• Proposed total estimated cost and any associated revenues

• Brief cost breakdown (e.g., certification fees, equipment, delivery, travel, etc. – see Attachment B for cost breakdown template.). Amount of the applicant’s financial as well as in-kind participation

• Proposed duration of the activities

• Description of applicant’s, as well as prospective or existing partner(s’) previous work or experience

• Expected impact details, beneficiaries, market information, buyer or investor commitments, or related supporting documentation

DAI will contact selected applicants to request a full proposal based on the information provided in the concept paper.
(3) Full Application

After evaluation of the concept papers, successful applicants will be asked to submit a full technical and cost application. The Full Application must be submitted in times New Roman size 12 single spaced, and must include page numbers. Each page must be marked with the APS title and number.

The applications must be prepared in accordance with the instructions below. Selection for award will be made in accordance with the evaluation criteria in Section V.

Applicants should retain for their records one copy of all parts of the application and all enclosures that accompany their application. Erasures or other changes must be initialed by the person signing the application.

Note that all applicants may be subject to a pre-award financial and management review and must demonstrate that they have a rigorous financial and monitoring system in place that will ensure auditable systems and records.

(A) Format of Full Application Submission

The chart below lists each element required for submission of a complete application.

<table>
<thead>
<tr>
<th>What to Submit</th>
<th>Required Content</th>
<th>Required Format</th>
</tr>
</thead>
<tbody>
<tr>
<td>Technical Application</td>
<td>Narrative as described in Section IV.B (1).iii 13</td>
<td>PDF</td>
</tr>
<tr>
<td>• Cover Page</td>
<td></td>
<td></td>
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<tr>
<td>• Executive Summary</td>
<td></td>
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<tr>
<td>• Technical Narrative</td>
<td></td>
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<tr>
<td>• Attachments</td>
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<tr>
<td>2. Cost Application</td>
<td>Per required form, as described in</td>
<td></td>
</tr>
<tr>
<td>• Cost Summary</td>
<td>• As described in Section IV.B.2.i</td>
<td>• Excel and PDF</td>
</tr>
<tr>
<td>• Cost spreadsheets</td>
<td>• As described in Section IV.B.2.ii</td>
<td>• Excel and PDF</td>
</tr>
<tr>
<td>• Budget narrative</td>
<td>• As described in Section IV.B.2.iii</td>
<td>• PDF</td>
</tr>
<tr>
<td>• Supporting Documentation</td>
<td>• As described in Section IV.B.2.iv</td>
<td>• PDF</td>
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</tbody>
</table>

(B) Content of Full Application Submission

1. Technical Application

To facilitate the competitive review of the applications, proposals should include the following contents, which adhere to the designated page limits (instructions for major categories are found under section headings).

Please note: Cost information should NOT be included in the Technical Application.

   i. Cover Page: 1 page
ii. Executive Summary: 1 page

iii. Technical Narrative (see section V for evaluation content): Not to exceed 22 pages

a. Background/Problem Statement including demonstration of a concrete market opportunity (i.e. a letter of interest/request for samples from a buyer or commitment from financial institution for loan or letter of intent from potential investor) that would lead to increased economic growth and/or regional or international trade.

b. Brief activity description including goal and objectives. Demonstrate how the activity aligns with the Southern Africa Trade and Investment goals as described in Section I(1)

c. Explanation of partners and their expected roles.

d. Detailed activity description/proposed Interventions

e. Expected Impact. Applicants are required to reflect the proposed results in their responses. Results should align with at least one of the Southern Africa Trade and Investment Hub Life of Project Results as described in Section I.(1).

f. Implementation Plan which outlines timeline for phasing of interventions. Proposed implementation plan, inputs, outputs, and outcomes are realistic and achievable within the proposed budget and timeframe, and reflect a grasp of necessary steps to ensure rapid, effective execution of program activities. A plan for monitoring and evaluation must also be included. Include adequate emphasis on scaling-up and achieving broad-based impact where possible and appropriate. Feasible strategies for sustaining activities beyond DAI’s funding for this activity, and documenting and sharing key lessons.

g. Duration of Activity

h. Specific nature of the request of DAI (e.g., facilities, equipment, material, or personnel resources)

i. Relevant organizational experiences of recipient and any key partner organizations

j. Implementation Schedule: Proposed first year Work Plan presented in matrix format, includes proposed activities for the time frame indicated, and identifies partners for activities where appropriate. First year work plan, inputs, outputs, and outcomes are realistic and achievable within the proposed budget and timeframe, and reflect a grasp of necessary steps to ensure rapid, effective execution of program activities. Include adequate emphasis on scaling-up and achieving broad-based impact where possible and appropriate.

k. Adequate information on the key personnel required to do the program, including at a minimum the Project Director. Key personnel information should include name, short description of experience and capacity relevant to proposed position (CVs and proposed job descriptions should be included in Attachments below).

iv. Attachments: no page limit

a. Sustainability plan: Demonstrate how Southern Africa Trade and Investment Hub grant will be sustainable past the life of the grant.
b. Baseline Data (if it exists)

c. Curriculum Vitae and scope of work for the proposed Key Personnel including but not limited to the Project Director

d. Draft Monitoring and Evaluation Plan: Description of how will the grantee measure the inputs, outputs, outcomes, and impacts of the project. This plan should be directly related to the discussion of project impact in the Technical Narrative and include specific indicators for proposed activities. Proposed indicators should align with the Southern Africa Trade and Investment Hub project indicators (included in Attachment A).

e. Past Performance Information: Applicants must provide a list of four contracts, grants, or other initiatives involving similar or related programs during the past three years. The reference information for these awards must include the performance location, a brief description of the work performed, and a point of contact list with current telephone numbers and/or email address.

The overall page limit and the individual section page limit for the application must be adhered to. Pages in excess of the stated limitation may not be considered.

There are no page limits for:

- Table of Contents
- Dividers

2. Cost Application

If a full technical application is requested, a cost application will be required as well. The cost application includes specific cost information for this project and additional required information from the applicant.

The application must also provide evidence that the funds requested are reasonable and would be used in a cost-effective manner. DAI will assess whether the overall costs are realistic for the work to be performed, whether the costs reflect that the Applicant understands the requirements, and whether the costs are consistent with the technical application. The application also will be assessed for cost effectiveness, and applications that minimize administrative costs to maximize program, outreach, and capacity building activities will generally be considered a better value.

NOTE: This agreement amount is subject to revision depending on availability of funds. Further, apparently successful applicants may be asked to scale back portions of their programs to accommodate funding constraints.

The required sections of the cost application are outlined below.

i. Cost Summary

Applicants should include an overall summary budget and a detailed annual budget defined by general program activities.

ii. Cost Spreadsheets
Detailed breakdown of the budget in spreadsheet format. The spreadsheet(s) must be submitted electronically in MS Excel format and be unlocked, text accessible, and able to view formulas as well as in PDF (two copies). Applicants must use the template provided in the Attachment C. Cost spreadsheets not submitted in the template will not be considered.

These spreadsheet breakdowns must include:

a. The breakdown of all costs according to each partner organization (if more than one organization is proposed in a consortium/network approach) involved in the program;

b. The breakdown of the matching fund contribution – specifically the financial and in-kind contributions-- of all organizations involved in implementing this Agreement;

c. Potential contributions of non-USAID or private commercial donors to this Agreement; and

d. Breakdown of costs required to manage the Agreement. **Note:** Applicants should minimize their administrative and support costs for managing the project to maximize the funds available for project activities.

iii. Budget Narrative

The budget must have an accompanying detailed budget narrative and justification. The budget narrative must be written in the third person. The combination of the cost data and the cost notes must be sufficient for DAI to determine whether the costs estimated are reasonable. The Budget Narrative must include supporting justification for costs, such as policy, payroll documents, vendor quotes, or specific historical program costs and award number.

The following is provided as guidance on issues involving specific types of costs:

a. **Salary and Wages:** Direct salaries and wages to be paid for by the Agreement should be proposed in accordance with the Applicant's personnel policies.

b. **Fringe Benefits:** If the Applicant has a fringe benefit rate that has been approved by an agency of the U.S. Government, such rate should be used and evidence of its approval should be provided. If a fringe benefit rate has not been so approved, the application may propose a rate and explain how the rate was determined. If the latter is used, the narrative should include a detailed breakdown comprised of all items of fringe benefits (e.g., unemployment insurance, workers’ compensation, health and life insurance, retirement, etc.) and the costs of each, expressed in dollars and as a percentage of salaries. Alternatively, if the applicant has no approved rate, it may elect to directly charge all project expenses.

c. **Travel and Transportation:** The application should indicate the number of trips, domestic and international, and the estimated costs per trip. Specify the origin and destination for each proposed trip, duration of travel, and number of individuals traveling.

d. **Equipment:** Specify all equipment to be purchased, including the type of equipment, the manufacturer, the unit cost, proforma invoice, the number of units to be purchased and the expected geographic source.
e. **Source and Origin Requirements:** Applicants must specify source and origin of any goods and services provided by the Recipients under this award.

f. **Materials and Supplies:** Specify all materials and supplies expected to be purchased, including type, unit cost, and number of units.

g. **Communications:** Specific information regarding the type of communication cost (for example, specifying if communication costs are for mail, telephone, cellular phones, internet, etc.)

h. **Training:** Provide budgetary information on all training, including the number of people to be trained, the number and cost of each session, and the cost of materials.

i. **Subcontracts/Consultants:** Information sufficient to determine the reasonableness of the cost of specific subcontract and/or consultant expected to be hired. Similar information should be provided for all consultants/new hires who are to be funded through the grant.

j. **Other Direct Costs:** This may include report preparation costs, passports and visas fees, medical exams and inoculations, insurance (other than insurance included in the Applicant's fringe benefits), as well as any other miscellaneous costs that directly benefit the program proposed by the Applicant. The narrative should provide a breakdown and support for all other direct costs. If seminars and conferences are included, the Applicant should indicate the subject, venue, and duration of proposed conferences and seminars, and their relationship to the objectives of the program, along with estimates of costs.

k. **Indirect Costs:** The Applicant should support the proposed indirect cost rate, if any, with a letter from a cognizant U.S. Government audit agency (i.e. its current Negotiated Indirect Cost Rate Agreement) or with sufficient information for DAI to determine the reasonableness of the rates. If applicants do not have a Negotiation Indirect Cost Rate Agreement, Applicants must submit as part of their supporting documentation (see Section 4. Supporting Documentation below).

l. **Matching Fund Contributions:** In addition to USAID funds, Applicants are required to contribute resources from their own private or local sources for the implementation of this program. Contributions can be either cash or in-kind or third party and can include contributions from Applicant, local counterpart organizations, project clients, the relevant Government(s), and other donors (but not other USG funding sources). The budget must provide a breakdown of the financial and in-kind matching fund contributions, if any, converted to dollar value, of all organizations involved in implementing this Agreement. This information should be included in the Cost Summary as indicated on those documents. The matching fund contribution should be discussed in the Budget Notes to the extent necessary to realistically access these sources and funds and the feasibility of the matching fund contribution plan.

m. **Alliance Opportunities:** DAI encourages, where appropriate and possible given the subject matter, the creation of alliances. An "alliance," in this sense, is a formal agreement between two or more parties created to jointly define and address a development problem. Alliance partners combine resources, risks and rewards in pursuit of common objectives. Alliance partners make financial and/or in-kind contributions to increase the impact and sustainability of development efforts. Their support may take many forms. Mechanisms for collaboration include parallel financing (with common objectives, clear understanding of roles and separate funding tracks) or pooled
resources (with agreed upon and legally binding governance structures and common funding tracks).

n. Program Income (if applicable): The Recipient will account for program income in accordance with 2 CFR 200.307. In accordance with 2 CFR 200.307 (e)(2), program income earned under this award may be added to funds committed by DAI and the recipient to the project or program with prior approval and used to further eligible project or program objectives.

NOTE: Potential for-profit applicants should note that DAI policy prohibits the payment of fee/profit to the recipient under grants. Forgone profit does not qualify as matching fund contribution or leveraging.

iv. Supporting Documentation

a. Teaming: If the applicant is a consortium, the Cost Application must include documents reflecting the legal relationship between the parties. The document/s should include a full discussion of the relationship between the applicants including identity of the applicant which USAID will treat for purposes of Agreement administration, identity of the Applicant which will have accounting responsibility, how Agreement effort will be allocated, and the express agreement of the principals thereto to be held jointly and individually liable for the acts or omissions of the other. The cost information provided in part 2.b of this subsection should indicate the amounts committed to each member of the team. The Budget Narrative should discuss which team member is bearing a particular cost where appropriate to justify and explain the cost in question.

b. NICRA: A current Negotiated Indirect Cost Rate Agreement (NICRA) with USAID, an Indirect Rate Agreement with another federal agency, or financial statements as described below for the primary recipient and proposed partner organizations must be submitted. Applicants that do not currently have a NICRA from their cognizant agency must also submit the following information:
   - Copies of the applicant’s financial reports for the previous 3-year period, which have been audited by a certified public accountant or other auditor satisfactory to DAI;
   - Projected budget, cash flow and organizational chart; and
   - Breakdown justification and indirect rate and its base of application.

c. Organizational Policy: Applicants are required to submit a copy of their accounting manual and personnel and policy manual.

d. Applicants must submit any additional evidence of responsibility for DAI Staff to make a determination of responsibility. The information submitted must substantiate that the Applicant:
   - has adequate financial resources or the ability to obtain such resources as required during the performance of the award;
   - has the ability to comply with the award conditions, taking into account all existing and currently prospective commitments of the applicant;
o has a satisfactory record of performance. Past unsatisfactory performance is ordinarily sufficient to justify a finding of non-responsibility, unless there is clear evidence of subsequent satisfactory performance;

o has a satisfactory record of integrity and business ethics;

o is otherwise qualified and eligible to receive a grant under applicable laws and regulations;

o has demonstrated cost reasonableness of applicant’s proposed matching fund contribution;

o presents evidence of a DUNS Number or a Self Certification for Exemption from DUNS Requirements (see attachments D and E) for instructions on obtaining a DUNS number as well as guidelines for Exemption from DUNS requirements);

o is a legally registered entity and must submit registration documents and statutes; and

o does not appear as a restricted entity on the System for Award Management (www.sam.gov) database; and

o does not appear on the Republic of South Africa’s National Treasury Department list of debarred companies or organizations.

The Applicant is reminded that U.S. Executive Orders and U.S. law prohibits transactions with, and the provision of resources and support to, individuals and organizations associated with terrorism. It is the legal responsibility of the Applicant/Recipient to ensure compliance with these Executive Orders and laws. This provision must be included in all subcontracts/sub-awards issued under this contract/agreement.

(3) Submission Instructions

All materials must be in English.

(A) Concept Paper

The concept paper must be submitted by email to: SATIH_Grants_Inbox@dai.com no later than the deadline on the cover page of this APS or subsequently announced deadlines if additional reviews are announced. All correspondence must include the relevant APS number and title.

(B) Full Application

Applicants who are invited must submit a full Technical Application and Cost Application electronically via e-mail to SATIH_Grants_Inbox@dai.com. All correspondence must include the relevant APS number and title.

(4) Other Important Information

(A) Branding
All USAID-sponsored assistance awards are required to adhere to branding policies and revised marking requirements for grants and cooperative agreements in accordance with ADS 320. This includes visibly displaying the USAID Standard Graphic Identity that clearly communicates assistance is, “From the American people” on all programs, projects, activities, publications, public communications, and commodities provided or supported through USAID assistance awards. ADS 320 requires that, after the evaluation of the applications, DAI Staff will request the Apparently Successful Applicant to submit a Branding Strategy that describes how the program, project, or activity is named and positioned, how it is promoted and communicated to beneficiaries and cooperating country citizens, and identifies all donors and explains how they will be acknowledged. DAI will not competitively evaluate the proposed Branding Strategy. ADS 320 may be found at the following website: www.usaid.gov/policy/ads/300/320.pdf.

(B) Environmental Procedures

The Foreign Assistance Act of 1961, as amended, Section 117 requires that the impact of USAID’s activities on the environment be considered and that USAID include environmental sustainability as a central consideration in designing and carrying out its development programs. This mandate is codified in Federal Regulations (22 CFR 216) and in USAID’s Automated Directives System (ADS) Parts 201.5.10g and 204 (http://www.usaid.gov/policy/ads/200/), which, in part, require that the potential environmental impacts of USAID-financed activities are identified prior to a final decision to proceed and that appropriate environmental safeguards are adopted for all activities. i.e.: environmental compliance obligations under these regulations and procedures are specified in the following paragraphs of this APS.

In addition, the contractor/recipient must comply with host country environmental regulations unless otherwise directed in writing by USAID. In case of conflict between host country and USAID regulations, the latter will govern.

No activity funded under this grant will be implemented unless an environmental threshold determination, as defined by 22 CFR 216, has been reached for that activity, as documented in a Request for Categorical Exclusion (RCE), Initial Environmental Examination (IEE), or Environmental Assessment (EA) duly signed by the Bureau Environmental Officer (BEO). (Hereinafter, such documents are described as “approved Regulation 216 environmental documentation.”)

(C) Data Universal Numbering System (DUNS)

There is a mandatory requirement for the applicant to provide a DUNS number to DAI. The Data Universal Numbering System is a system developed and regulated by Dun & Bradstreet (D&B) that assigns a unique numeric identifier, referred to as a “DUNS number” to a single business entity. Without a DUNS number, DAI cannot deem an applicant to be “responsible” to conduct business with and therefore, DAI will not enter into an agreement with any such organization. The award of a grant resulting from this APS is contingent upon the winner providing a DUNS number to DAI. Organizations who fail to provide a DUNS number will not receive an agreement and DAI will select an alternate awardee.

All U.S. and foreign organizations which receive a grant with a value of $25,000 and above are required to obtain a DUNS number prior to signing of the agreement. Organizations are exempt from this requirement if the gross income received from all sources in the previous tax year was under $300,000.
DAI requires that grant applicants sign the self-certification statement if the applicant claims exemption for this reason.

Documentation with Instructions for Obtaining a DUNS Number or a Self Certification for Exemption from the DUNS Requirement are included in Attachments D and E of this APS.

SECTION V – APPLICATION REVIEW INFORMATION

(1) Eligible Organizations

DAI will consider proposals related to this APS from local and regional associations, (SADC countries), companies and organizations, and in discreet cases US-based organizations with focus in relevant areas. Some organizations are legally restricted from receiving U.S. Government funded assistance. To meet minimum eligibility criteria for grant competition, applications must:

- Support outcomes and results consistent with and linked to the Southern Africa Trade and Investment Hub Project’s results and objectives;
- Support activities within the target project area;
- Be submitted by registered organizations in any of SADC member states and United States, (both for-profit and non-profit), or local government entities. Organizations should be registered under local law. (Unregistered organizations are not eligible for DAI grant funding unless special circumstances warrant specific approval by USAID to that effect). Individuals are not eligible for grant funding, so any microenterprise that applies for grant funding must possess a national Tax Identification Number and any requisite permits, licenses, and registrations required;
- Contain evidence of a matching funds commitment in most, but not all cases;
- Merit Review Criteria. DAI must propose the merit review criteria for selecting an applicant. The criteria may not be so restrictive that it severely limits the pool of potential applicants; and
- Multi-tiered Review. DAI may establish a two or more-tiered solicitation and review system. DAI may request potential applicants to submit an executive summary or concept paper. DAI may also request corresponding budget information at their discretion. After reviewing these submissions, DAI selects the best submissions and conducts a second level solicitation and review with the selected applicants and uses more specific merit review criteria. DAI may conduct additional levels of solicitation and review only if the second level does not adequately identify applicants for the activities to be funded. Section III or Section V of the RFA must explain the intended multi-tiered review/eligibility process so that potential applicants know what to expect at each phase of the review process.

DAI staff will screen all concept papers and applications to ensure compliance with all eligibility requirements.

(2) Ineligible Organization
DAI will not work with organizations deemed ineligible unless prior written consent from the USAID Contracting Officer is received. DAI may not award a grant to:

- Any U.S. entity which is a “private voluntary organization” (PVO) but has not registered as such with USAID;
- Any entity whose name appears on the “List of Parties Excluded from Federal Procurement and Non-Procurement Programs”;
- Any “public international organization” (PIO);
- Any third country foreign government (outside of the Southern Africa Development Community region);
- Any entity affiliated with DAI or any of its directors, officers, or employees;
- Any political party organization;
- Individuals;
- Any entity that has active exclusions in the system for Award Management (SAM) (http://www.acquisition.gov);
- Any entity whose nationality is out of the authorized geographic code (935); and
- DAI will follow USAID/Zimbabwe local vetting requirements for grants implemented in Zimbabwe or by Zimbabwean grantees.

(3) Evaluation Criteria for Concept Paper

Concept papers will be reviewed in terms of responsiveness to the APS, potential impact, market demand, expected results, leverage demonstrated or matching funds leveraged, new products or technology proposed and innovation. Applicants are encouraged to demonstrate how their proposed work will contribute to Southern Africa Trade and Investment Hub objectives (as outlined in Section I.(1)).


The technical applications will be evaluated in accordance with the technical evaluation criteria set forth below. An award will be made to the responsible Applicant whose application offers the best value to the U.S. Government, considering both technical and cost factors. Applicants should note that these criteria: (1) serve as the standard against which all applications will be evaluated, and (2) serve to identify the significant matters that Recipients should address in their applications.

All technical evaluation factors, when combined, are significantly more important than cost. The criteria set forth below are in descending order of importance.

**NOTE:** Cost information should NOT be included in the Technical Application. All cost information should be submitted under separate cover in the Cost Application.

(A) Technical Approach Evaluation Criteria
• Demonstrated understanding of the subject content as indicated in the Background and Overview sections; applicant must also demonstrate how the proposed activities will address the emphasized outcomes using prescribed and illustrative indicators.

• Clear implementation plan.

• Demonstrate a concrete market opportunity (i.e. a guarantee from a buyer or commitment from financial institution for loan or other financial product) that would lead to increased economic growth and/or trade.

• Demonstrate how Southern Africa Trade and Investment Hub grant will be sustainable and create impact.

• Degree to which program approach and proposed strategies are creative, innovative, collaborative, and feasible.

• Demonstrate how grant funding will leverage other investments and/or commitments by private sector, applicant, or ongoing initiatives.

• Collaboration, inclusion, and strengthening of local partners.

(B) Project Management & Institutional Capacity

• Demonstrated capacity to recognize and adjust to shifting political and economic environments over the life of a project

• Demonstrated institutional capacity to manage (technically, administratively and financially) similar initiatives

• Commitment to Monitoring and Evaluation of the grant funds as demonstrated by clear plan of how progress and impact will be tracked, measured and reported, with clear and appropriate milestones and expected accomplishments. Expected impact should have measurable output and performance indicators based on global standards, along with a plan to document and share good practices and lessons learned. Proposed performance indicators for the application should align with Southern Africa Trade and Investment Hub project indicators (see Attachment A for Southern Africa Trade and Investment Hub project indicators).

• Demonstrated experience by key staff

• Established and successful institutional presence in at least one SADC country region

(C) Past Performance

• Demonstrated performance in (a) achieving results (including concrete developmental results of the programs) and (b) implementation of projects/activities similar in scope and breadth, including evidence of adherence to contract schedules and requirements, timely and thorough
periodic reporting, forecasting and controlling costs and quality of products delivered and (c) developing sound programs in a collaborative fashion

- A history of reasonable and cooperative behavior; open lines of communication and the ability to follow-up on and resolve outstanding issues

SECTION VI – AWARD AND ADMINISTRATION INFORMATION

(1) Post-Selection Information

Following selection of an awardee, DAI will inform the successful applicant. A notice of award signed by DAI’s Chief of Party is the official authorization document, which DAI will provide electronically to the successful applicant’s main point of contact.

DAI also will notify unsuccessful applicants concerning their status after selection has been made.

(2) General Information on Reporting Requirements

Program implementation reporting will be determined based on the outcome of the collaborative discussions between DAI and the awardee. Program implementation reporting guidelines will be finalized with the awardee including delineation of roles and responsibilities. A Performance Monitoring and Evaluation Plan, using established baseline data and specific, measurable targets and indicators will also be agreed upon. Financial reporting will be in accordance with the requirements of the obligating agreement document. (See Attachment A for Southern Africa Trade and Investment Hub project indicators.)

SECTION VII – DAI PROJECT CONTACTS

Any prospective applicant desiring an explanation or interpretation of this APS must request it in writing to the email address; SATIH_Grants_Inbox@dai.com by the date listed on the cover letter to allow a reply to reach all prospective applicants before the submission of their applications. Any oral explanations or instructions given before award of a grant will not be binding. Any information given to a prospective applicant concerning this APS will be furnished promptly to all other prospective applicants as an amendment of this APS, if that information is necessary in submitting applications or if the lack of it would be prejudicial to any other prospective applicants. DAI will conduct a series of Information Session on the Southern Africa Trade and Investment Hub Strategic Partnership Fund. Dates and locations for these presentations will be posted on www.satihub.com/spfund. Copies of presentations will be included on the website.

SECTION VIII - OTHER INFORMATION

Issuance of this APS does not constitute an award or commitment on the part of DAI, nor does it commit DAI to pay for costs incurred in the preparation and submission of an application.
DAI reserves the right to fund any or none of the applications submitted. Further, DAI reserves the right to make no awards.
## ATTACHMENT A – SOUTHERN AFRICA TRADE AND INVESTMENT HUB PROJECT INDICATORS

<table>
<thead>
<tr>
<th>Indicator</th>
<th>Unit of Measure</th>
<th>Disaggregation</th>
<th>Baseline Year</th>
<th>Baseline Value</th>
<th>LOP Target</th>
<th>2017 Target</th>
<th>2018 Target</th>
<th>2019 Target</th>
<th>2020 Target</th>
<th>2021 Target</th>
</tr>
</thead>
<tbody>
<tr>
<td><strong>USAID/Southern Africa RDCS Sub-IR 1.2.1: Increased value chain competitiveness</strong></td>
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<td><strong>Sub-sub IR: 1.2.1.1 Intra-regional trade in seeds, other agricultural inputs, and staple foods increased</strong></td>
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<tr>
<td><strong>Sub-sub IR: 1.2.1.2 Global export competitiveness strengthened</strong></td>
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</tr>
<tr>
<td>1. Value of exports from hub supported firms/ associations/entities</td>
<td>US Dollars</td>
<td>Ag vs. Non-ag vs. Service; Value chain; FIF vs. non-FIF; Destination market; AGOA vs non-AGOA; by women-owned/managed companies; country</td>
<td>2017</td>
<td>0</td>
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<tr>
<td>2. Value of sales of assisted firms</td>
<td>US Dollars</td>
<td>Ag vs. Non-ag vs. Service; Value chain; by women-owned companies; country</td>
<td>2017</td>
<td>0</td>
<td></td>
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</tr>
<tr>
<td>Indicator</td>
<td>Unit of Measure</td>
<td>Disaggregation</td>
<td>Baseline Year</td>
<td>Baseline Value</td>
<td>LOP Target</td>
<td>2017 Target</td>
<td>2018 Target</td>
<td>2019 Target</td>
<td>2020 Target</td>
<td>2021 Target</td>
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<tr>
<td>3. Number of buyer/seller linkages established in export capacity as a result of SATIH</td>
<td># linkages</td>
<td>Ag vs. Non-ag vs. Service; Value chain; by women-owned companies; country</td>
<td>2017</td>
<td>0</td>
<td></td>
<td></td>
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<tr>
<td>4. Time required to trade goods across borders and along corridors</td>
<td>Hours/ days to trade goods</td>
<td>Country; imports; exports; value chain; corridor; corridor interval; border crossing</td>
<td>2017</td>
<td>TBD</td>
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<td>5. Cost to Trade Goods across borders and/or along corridors</td>
<td>US Dollars</td>
<td>Country; imports; exports; value chain; corridor interval; corridor interval; border crossing</td>
<td>2017</td>
<td>TBD</td>
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<tr>
<td>6. Number of policies completing the following processes/steps of development as a result of USG assistance in each case:</td>
<td># policies</td>
<td>Process/Step; Policy area; gender inclusivity;</td>
<td>2017</td>
<td>0</td>
<td></td>
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<tr>
<td>7. Value of new private sector investment leveraged by SATIH implementation</td>
<td>US Dollars</td>
<td>Sector; Country; Ag vs non-ag vs Service</td>
<td>2017</td>
<td>0</td>
<td></td>
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<tr>
<td>8. Value of loans</td>
<td>US Dollars</td>
<td>Loan recipient sex; loan recipient type; Ag vs non-ag vs Service; sector; Type of loan; Country</td>
<td>2017</td>
<td>0</td>
<td></td>
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<tr>
<td>Indicator</td>
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<tr>
<td>9. Number of individuals who have received SATIH supported training</td>
<td># individuals</td>
<td>Sex; training topic; participant type; Country</td>
<td>2017</td>
<td>0</td>
<td></td>
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<tr>
<td>10. Number of food security private enterprises (for profit), producers organizations, women’s groups, trade and business associations, and community-based organizations (CBOs) receiving USG assistance</td>
<td># enterprises/orgs</td>
<td>Country; Value Chain; Organization type; assistance type; new vs continuing; Ag vs non-ag vs Service; sex of owner/MD</td>
<td>2017</td>
<td>0</td>
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<tr>
<td>11. Number of private enterprises (for profit), producers organizations, women’s groups, trade and business associations, and community-based organizations (CBOs) that applied new technologies or management practices</td>
<td># enterprises/orgs</td>
<td>Organization type; technology or management practice type; duration; Ag vs non-ag vs Service; Sector; Country</td>
<td>2017</td>
<td>0</td>
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<tr>
<td>12. Number of public-private partnerships (PPP) formed</td>
<td># PPPs</td>
<td>Partnership focus; Country [or regional]; Ag vs non-ag; Type of Organization</td>
<td>2017</td>
<td>0</td>
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</table>
ATTACHMENT B – CONCEPT NOTE COST TEMPLATE

(See attachment)

ATTACHMENT C – COST APPLICATION TEMPLATE

(See attachment)

ATTACHMENT D – OBTAINING A DUNS NUMBER

INSTRUCTIONS FOR OBTAINING A DUNS NUMBER for DAI’S VENDORS, SUBCONTRACTORS & GRANTEES

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

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

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

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

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

--------------------------------------------------------------------------------------------------------------------------

Background:

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

The Data Universal Numbering System (DUNS) is a system developed and managed by Dun and Bradstreet that assigns a unique nine-digit identifier to a business entity. It is a common standard worldwide and users include the U.S. Government, European Commission and the United Nations. The DUNS number will be used to better identify related organizations that are receiving U.S. federal funding, and to provide consistent name and address data for electronic application systems.
The U.S. Government requires that all applicants for first-tier monetary grants (i) and all first-tier subcontracts/purchase orders of $25,000 or above have a DUNS number prior to DAI issuing an award to that entity.

REQUIREMENT FOR DAI TO REPORT DATA IN THE FSRS DATABASE:

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

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

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

THE PROCESS FOR OBTAINING A DUNS NUMBER IS OUTLINED BELOW:

1. Log on to the D&B (Dun & Bradstreet) DUNS registration website to begin the process of obtaining a DUNS number free of charge.

   http://fedgov.dnb.com/webform/index.jsp

   Please note there is a bar on the left for Frequently Asked Questions as well as emails and telephone numbers for persons at Dun & Bradstreet for you to contact if you have any questions or difficulties completing the application on-line. DAI is not authorized to complete the application on your organization’s behalf; the required data must be entered by an authorized official of your organization.

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

4. Potential DAI subcontractors/vendors/grantees who do not already have a DUNS number will be shown the screen below. To request a new DUNS Number, the “Request a New D-U-N-S Number” button needs to be selected.

5. Enter the information regarding your organization listed on the next three screens. (See screen shots below.) Make sure you have the following information available (in English) prior to beginning the process of entering this section to ensure successful registration.

- Legal Business Name (commas are allowed, periods are not allowed)
- Address
6. Note that some fields are Optional, however all other fields must be completed to proceed further with the application process. For example, all applicants must complete the Organization Information sections. The Company Name and Physical Address fields are self-populated based on information previously entered during the initial DUNS search. The question marks to the left of the field provide additional information when you click on them.

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

- **Corporation** – A firm that meets certain legal requirements to be chartered by the state /province in which it is headquartered by the filing of articles of incorporation. A corporation is
considered by law to be an entity separate and distinct from its owners. It can be taxed; it can be sued; it can enter into contractual agreements.

- **Government** - central, province/state, district, municipal and other U.S. or local government entities. Includes universities, schools and vocational centers owned and operated by the government.

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

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

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

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

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

8. One of the most important fields that must be filled in is the Primary SIC code field. (See screen shot below.) The Primary Standard Industrial Code classifies the business’ most relevant industry and function.
9. If you are unsure of which SIC Code your organization’s core business falls under, please refer to the following website:  [http://www.osha.gov/oshstats/sicser.html](http://www.osha.gov/oshstats/sicser.html)
You will need to enter certain keywords to bring up the potential SIC Codes. In the case above, “Research” was entered as the keyword, and resulted in the following:

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

8742 Management Consulting Services

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

Industry Group 357: Computer And Office Equipment

Industry Group 355: Special Industry Machinery, Except Metalworking

Industry Group 356: General Industrial Machinery And Equipment

Industry Group 359: Miscellaneous Industrial And Commercial
10. Description of Operations- Enter a brief description of the primary services you provide the example below, "agricultural technical assistance" was chosen as the primary function of the business.
11. The Annual Sales or Revenue figure should be provided in USD (US Dollar) equivalent.

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

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

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

<table>
<thead>
<tr>
<th>Field</th>
<th>Value</th>
</tr>
</thead>
<tbody>
<tr>
<td>Legal Name</td>
<td>D&amp;B TEST, INC</td>
</tr>
<tr>
<td>Phone Number</td>
<td>123-456-7890</td>
</tr>
<tr>
<td>Street</td>
<td>123 Main St, Suite A</td>
</tr>
<tr>
<td>City</td>
<td>Any City</td>
</tr>
<tr>
<td>State</td>
<td>Any State</td>
</tr>
<tr>
<td>Zip Code</td>
<td>12345</td>
</tr>
<tr>
<td>County</td>
<td>Any County</td>
</tr>
<tr>
<td>Executive Name</td>
<td>John Smith</td>
</tr>
</tbody>
</table>

You affirm that you are a partner, owner or officer of the entity for which you are submitting proposed information, and that you are properly authorized to submit these changes. You also agree to not knowingly provide any false or misleading information to D&B. Knowingly providing false or misleading information may result in criminal or civil penalties, as well as DISQUALIFICATION of your entity, and may negatively impact the entity's history D&B report maintained in this company.

This also includes the use of a Shelf Corporation. D&B defines a Shelf Corporation as one that exhibits either of the following characteristics: (1) an entity that is not affiliated with the business activities could be construed as (2) an inactive corporation that was not registered, dissolved or went out of business, and (3) was subsequently incorporated and under new control. It is D&B's policy that the historical business activity of a Shelf Corporation if any, will not be included in the determination of current Shelf Corporation's presence data. Any entity that attempts to misrepresent the start date of its business through the use of a Shelf Corporation will be disqualified on an airmail basis or higher (non-disqualified). In addition, the criminal penalties mentioned above may apply.
ATTACHMENT E – SELF CERTIFICATION FOR EXEMPTION FROM DUNS REQUIREMENT

Legal Business Name: ________________________________

Physical Address: ________________________________

Physical City: ________________________________

Physical Foreign Province (if applicable): ________________________________

Physical Country: ________________________________

Signature of Certifier ________________________________

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

Title of Certifier ________________________________

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

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

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

Disclaimer

The views expressed in this publication do not necessarily reflect the views of the U.S. Agency for International Development or the United States Government.