



**Digital Frontiers  
Request for Application (RFA)**

RFA No.	2022-05
Issue Date	January 31, 2022
Title	SARDI India MSME Tech Policy Fellowship program
Issuing Office & Email	Digital Frontiers c/o DAI DigitalFrontiers@dai.com
Deadline for Receipt of Questions	February 7, 2022, 5pm EST, to DigitalFrontiers@dai.com
Deadline for Receipt of Applications	February 21, 2022, 5pm EST, to DigitalFrontiers@dai.com
Point of Contact	<a href="mailto:DigitalFrontiers@dai.com">DigitalFrontiers@dai.com</a>
Anticipated Award Type	Fixed Amount Award

The purpose of this Request for Applications (RFA) is to solicit applications for funding. DAI through the United States Agency for International Development (USAID), is seeking applications from organizations interested in arranging 1-year fellowships for up to 5 (five) fellows in up to 5 (five) different Indian think tanks

Digital Frontiers is a \$74.4 million buy-in mechanism available to USAID Bureaus and Missions from 2017-2023. DAI implements the Digital Frontiers project, which works closely with USAID's Technology Division in the Innovation, Technology, and Research Hub (ITR/T) at the Development, Democracy, and Innovation (DDI) Bureau, USAID Missions, the private sector, and international and local development organizations to identify successful and sustainable digital development approaches and scale their impact globally. USAID's South Asia Regional Digital Initiative (SARDI) aims to increase the digital capacity of the private sector and civil society by strengthening their ability to engage on digital and ICT policy issues.

Digital Frontiers anticipates disbursing up to \$175,000 USD. Digital Frontiers reserves the right to allocate grant award amounts based on technical evaluation of the applications received and assessment of the extent to which the applications fully cover the scope of work. The period of performance for this award will be up to 15 months.

Applications must be received via email to [DigitalFrontiers@dai.com](mailto:DigitalFrontiers@dai.com). Any questions concerning this RFA should be submitted in writing to the same email address.

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

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. DAI reserves the right to fund any or none of the applications submitted.

Thank you for your interest in Digital Frontiers activities!

**WARNING:** Prospective Applicants who have received this document from a source other than the [DigitalFrontiers@dai.com](mailto:DigitalFrontiers@dai.com) email address, should immediately contact [DigitalFrontiers@dai.com](mailto:DigitalFrontiers@dai.com) and provide their name and email address in order that amendments to the RFA or other communications can be sent directly to them. Any prospective Applicant who fails to contact [DigitalFrontiers@dai.com](mailto:DigitalFrontiers@dai.com) assumes complete responsibility in the event that they do not receive communications prior to the closing date. Any amendments to this RFA, questions and answers, or other communications will be issued from [DigitalFrontiers@dai.com](mailto:DigitalFrontiers@dai.com).

## Table of Contents

Section A – Grant Application Instructions .....	3
A. Completion and submission of applications .....	3
B. Preparation Instructions – Technical Application.....	3
C. Preparation Instructions – Cost Application.....	4
Section B - Selection Process .....	4
Section C - Special Grant Requirements.....	5
D. Program Description .....	7
Annex 1: Mandatory Standard Provisions.....	9
Annex 2: Certifications, Assurances, Other Statements of the Recipient .....	9
Annex 3: Sample Budget and Budget Narrative.....	10
Annex 4: Financial Capability Questionnaire.....	12
Annex 5: Instructions for Obtaining CAGE/NCAGE Code, SAM Registration, and DUNS Number .....	19
Annex 6: Past Performance Matrix.....	20
Annex 7: Application Checklist .....	21

## Section A – Grant Application Instructions

### A. Completion and submission of applications

#### Eligibility Requirements

- Applicants must be registered US or non-US organizations regardless of type (for example: for profit, not-for-profit, civic groups and others)
- All Applicants must be willing to forego profit per 2 CFR 700.13
- The following are not eligible:
  - Government entities
  - Individuals
- Applications must be submitted in English

#### Responsibility Determination

Digital Frontiers will not enter into a grant agreement with an Applicant prior to ensuring Applicant responsibility. Required documentation includes:

- Evidence of legal documentation or licenses to operate in your country of registration
- Confirmation that products or services used in the performance of the grant are not from a Prohibited Country (explained in Section C)
- Evidence of a Data Universal Numbering System (DUNS) number, CAGE/NCAGE code, and proof of registration with the System for Award Management (SAM) (explained in Annex 5). Evidence of these items are not required to submit an application, but must be provided if selected for a grant award
- Documentation that the Applicant can comply with the award conditions, has a satisfactory record of integrity and business ethics, and has the required financial capacity (explained in Annex 4)

#### Deadlines

Applications must be received via email to [DigitalFrontiers@dai.com](mailto:DigitalFrontiers@dai.com) by February 21, 2022 at 5pm EST. Please include the RFA number (2022-05) in the subject line of the email.

Requests for clarification or additional information must be submitted in writing via email to [DigitalFrontiers@dai.com](mailto:DigitalFrontiers@dai.com) by February 7, 2022 at 5pm EST. No questions will be answered by phone. Any verbal information received from a DAI or Digital Frontiers employee or other entity shall not be considered as an official response to any question regarding this RFA. Copies of questions and responses will be distributed via email to all prospective applicants who are on record as having received this RFA after the submission date specified in the Synopsis above.

#### Late Applications

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

### B. Preparation Instructions – Technical Application

A complete RFA application consists of the following sections:

- **Cover Letter**
- **Presentation Deck** Application should be submitted as a ten (10) slide presentation (exclusive of CVs, and Past performance Matrix), using, at a minimum, 12-point standard font size. Graphics may be included, so long as text is clearly legible. ***If text or graphics are of poor resolution, the information provided may be excluded from consideration.*** The presentation should include the following:
  - Project description: Project background summary (Please provide a summary of your project and any necessary background information; the summary should clearly address what your project will accomplish, in addition to why and how it will be implemented.)
  - Technical Approach: Goals and Objectives, description of activities, expected outcomes, and management and reporting.
  - What success looks like and how you will measure it.
  - Draft Workplan – Proposed deliverables and timeline
  - Personnel Plan – Narrative summary of teams' technical capabilities demonstrating the ability to complete the scope of work.
- CVs of Key Personnel – CVs should demonstrate the personnel's ability to perform the duties outlined in the Program Description. Each CV may not exceed 2 pages.

- Past Performance Matrix - Applicants must include at least **three (3)** relevant past projects in the Past Performance Matrix (Annex 7) that demonstrate the core capabilities required to execute the proposed project. The information shall include the legal name and address of the organization for which services were performed, a description of work performed, the duration of the work and the value of the contract, and a current contact phone number of a responsible and knowledgeable representative of the organization. This information may be used for validation of experience or reference checks.

The deadline for the RFA Application is February 21 at 5:00pm EST.

Applicants must ensure that their applications are received in their entirety. Digital Frontiers bears no responsibility for data errors resulting from transmission or conversion processes associated with electronic submissions.

**C. Preparation Instructions – Cost Application**

- Cost Applications must include:
  - Projected Grant Budget (Annex 3)
  - Budget Narrative (Annex 3)
  - Completed Financial Capability Questionnaire (Annex 4)
  - NICRA or Audited Financial Statements
  - Registration of Incorporation Documents
  - Personnel, finance, and procurement manuals

1. **Completed Budget.** All budget lines must be clearly linked to specific project activities. See attached Annex 3 for the budget template. Supporting information shall be provided, as necessary, in sufficient detail to allow a complete analysis of each line item cost.
2. **Budget Narrative.** The budget must have an accompanying budget narrative and justification that provides in detail the estimated costs for implementation of activities listed in the technical application narrative. The combination of the cost data and narrative must be sufficient to allow a determination of whether the costs estimated are reasonable. **The budget narrative must demonstrate that all budgeted costs do not exceed actual local market costs.** A budget narrative template is included in Annex 3.
3. **Completed Financial Capability Questionnaire**, found in Annex 4, which includes:
  - a. **NICRA or (if no NICRA) 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**

**Section B - Selection Process**

All applications that meet the application requirements will be reviewed by the review panel.

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:

Evaluation Criteria	Evaluation Sub-criteria	Maximum Points
Technical Approach	1. Technical Approach demonstrates understanding of required services and best practices in implementation; 2. Innovative and creative approach for achieving the required results; 3. Success measurement indicators reflecting program needs, feasible to monitor and give expected results; 4. A workplan that demonstrates how the firm will approach and achieve the work in the required timeframe. Technical approach and workplan demonstrate the applicant’s capacity to successfully complete all required deliverables in an independent, self-sufficient fashion while respecting client deadlines.	60 points
Past Performance	1. At least 3 past relevant project examples in past performance matrix demonstrating capabilities in technical areas relevant to this SOW.	20 points

Personnel Qualifications	<ol style="list-style-type: none"> <li>1. Narrative summary of teams' technical capabilities demonstrating the ability to complete the scope of work. This summary includes a personnel plan with named personnel within the 10-slide limit</li> <li>2. CVs of key named personnel that include relevant qualifications for selected position(s), including experience in program management, digital policy, and/or SME engagement. Experience working with SMEs/microenterprises, governmental institutes and USAID preferred (each CV must not exceed two (2) pages).</li> </ol>	20 points
<b>Total Points</b>		100 points

**Section C - Special Grant Requirements**

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

**US Government Registrations**

There are mandatory requirements for grantees to obtain the following items/registration before a grant can be awarded. Without registering in the required databases, 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 Data Universal Numbering System (DUNS) number, a Commercial and Government Entity/NATO Commercial and Government Entity) CAGE/NCAGE code, and proof of registration in the System for Award Management (SAM) system.

Applicants must obtain the following before award:

- i. DUNS Number
- ii. Registration with SAM.gov
- iii. CAGE/NCAGE

Instructions for obtaining a DUNS number, SAM registration, or a CAGE/NCAGE are provided in Annex 5.

**Prohibited Countries:** Prohibited countries are countries that the US Government does not do business with, previously referred to as foreign policy restricted countries. The Applicant may not procure goods or services from the Office of Foreign Assets Control (OFAC) comprehensive sanctioned countries: Cuba, Iran, North Korea, Sudan, and Syria. By submitting an application in response to this RFA, the Applicant certifies that proposed equipment will not be procured from vendors located in one the OFAC prohibited countries above, nor will the origin of any of the parts be from a prohibited country.

**Prohibition on Contracting for Certain Telecommunications and Video Surveillance Services or Equipment** – Applicants warrant that all services and products included in their application are compliant with the restrictions contained in 2 CFR 200.216. Grant funds cannot be used to procure or obtain equipment, services, or systems that use covered telecommunications equipment or services as a substantial or essential component of any system, or as critical technology as part of any system. As described in Public Law 115-232, section 889, covered telecommunications equipment is telecommunications equipment produced by Huawei Technologies Company or ZTE Corporation (or any subsidiary or affiliate of such entities).

Full text of this restriction may be accessed here: [https://www.ecfr.gov/cgi-bin/text-idx?SID=e3052be29eb6a936bcf083bf38cacd7d&mc=true&node=se2.1.200\\_1216&rgn=div8](https://www.ecfr.gov/cgi-bin/text-idx?SID=e3052be29eb6a936bcf083bf38cacd7d&mc=true&node=se2.1.200_1216&rgn=div8)

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

**Permitted Uses of Program Income:** The Grantee will inform DAI of any program income generated under the grant and agrees to follow USAID's disposition requirements for such program income, which is in accordance with 2 CFR 200 Subpart D. Program income earned under this agreement shall be applied and used in the following descending order:

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

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

**Use of Funds:** Funds provided under any grant awarded shall be used exclusively for grant purposes. Diversion of grant funds to other uses will result in cancellation of award and retrieval of funds disbursed to the grant recipient.

**Reporting Procedures:** A description of reporting requirements will be included in the Grant Agreements.

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

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

1. Goods or services which are to be used primarily to meet military requirements or to support police or other law enforcement activities,
2. Surveillance equipment,
3. Equipment, research and/or services related to involuntary sterilization or the performance of abortion as a method of family planning,
4. Gambling equipment, supplies for gambling facilities or any hotels, casinos or accommodations in which gambling facilities are or are planned to be located,
5. Activities which significantly degrade national parks or similar protected areas or introduce exotic plants or animals into such areas, or
6. Establishment or development of any export processing zone or designated area where the labor, environmental, tax, tariff, and/or safety laws of the country in which such activity takes place would not apply.
7. Pharmaceuticals,
8. Pesticides,
9. Logging equipment,
10. Luxury goods (including alcoholic beverages and jewelry),
11. Establishing or expanding any enterprise that will export raw materials that are likely to be in surplus in world markets at the time such production becomes effective and that are likely to cause substantial injury to U.S. producers,
12. Activities which would result in the loss of forest lands due to livestock rearing, road construction or maintenance, colonization of forest lands or construction of dams or other water control structures,
13. Activities which are likely to have a significant adverse effect on the environment, including any of the following (to the extent such activities are likely to have a significant adverse impact on the environment):
  - i.) Activities which may lead to degrading the quality or renewability of natural resources;
  - ii.) Activities which may lead to degrading the presence or health of threatened ecosystems or biodiversity;
  - iii.) Activities which may lead to degrading long-term viability of agricultural or forestry production (including through use of pesticides);
  - iv.) Activities which may lead to degrading community and social systems, including potable water supply, land administration, community health and well-being or social harmony.
14. Activities which are likely to involve the loss of jobs in the United States due to the relocation or expansion outside of the United States of an enterprise located in the United States, or
15. Activities which the Grantee is aware are reasonably likely to contribute to the violation of internationally or locally recognized rights of workers,
16. Activities to support the production of agricultural commodities for export from Malawi when such commodities would directly compete with exports of similar United States agricultural commodities to third countries and have a significant impact on United States exporters.

Pursuant to 2 CFR 700.13, it is USAID policy not to award profit under assistance instruments such as grant awards. However, all reasonable, allocable, and allowable expenses, both direct and indirect, which are related to the grant program and are in accordance with applicable cost standards (2 CFR 200 Subpart D, OMB Circular A-122 for non-profit organization, OMB Circular A-21 for universities, and the Federal Acquisition Regulation (FAR) Part 31 for-profit organizations), may be paid under the grant.

For non-US organizations, the Standard Provisions for Non-US Nongovernmental Recipients will apply. For US organizations, 2 CFR 200 Subpart D, OMB Circulars (<http://www.whitehouse.gov/omb/circulars/a122/a122.html>), and the Standard Provisions for U.S. Nongovernmental Recipients will apply. Please see Annex 1 for Standard Provisions.

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

### 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, all reporting and contractual obligations will be explained to the grant recipients. Section D - Program Description

## D. Program Description

### India MSME Tech Policy Fellowship program

#### BACKGROUND

Digital Frontiers is a \$74.4 million buy-in mechanism available to USAID Bureaus and Missions from 2017-2023. DAI implements the Digital Frontiers project, which works closely with USAID Missions, the private sector, and international and local development organizations to identify successful and sustainable digital development approaches and scale their impact globally.

Digital technology is transforming the Indo-Pacific region. As the world's fastest growing region for internet adoption and digital connectivity between people and businesses, this region has the potential to spur tremendous economic growth while creating high-value export opportunities.

USAID's South Asia Regional Digital Initiative (SARDI) aims to increase the digital capacity of the private sector and civil society by strengthening their ability to engage in digital and ICT policy issues.

USAID's SARDI activity is a part of Digital Frontiers. SARDI's objectives are to:

1. Develop and foster a policy and business environment that values reliable and secure digital communications in South Asia in a manner consistent with U.S. national interests; and
2. Increase the capacity and commitment of the private sector and civil society actors in South Asia to engage on important digital policy issues by building up digital skills of small and medium enterprises (SMEs) and by strengthening their awareness of the impact that key digital policy decisions may have on the growth of the digital economy in their respective countries and sectors

SARDI currently implements two activities focused on digital upskilling and policy awareness and capacity-building with entrepreneurs and MSMEs in India. The program seeks to complement these activities by also ensuring MSME perspectives and challenges are incorporated in policy development.

#### OBJECTIVE

This activity will create sustainable change in the policy ecosystem by sponsoring digital policy-centered fellowships across a set of respected and engaged Indian think tanks. Fellows will coordinate research, create sustainable feedback loops between government and the MSME sector, hold a series of learning events, and develop public-facing policy recommendations focused on how digital policies can best support MSMEs and women-led enterprises. The partner or partners will arrange 1-year fellowships for up to 5 (five) fellows in up to 5 (five) different Indian think tanks. Fellows will research how digital policies impact MSMEs and women-led enterprises, with a particular focus on how these policies can promote inclusion for marginalized groups in the digital economy. The partner(s) will coordinate internal and external learning events throughout the year for policy fellows to showcase and discuss their research with relevant stakeholders.

#### TASKS

- 1) Selection of fellows and think tanks. The partner will collaborate closely with DAI and USAID to select qualified fellows and place them at relevant, respected, and engaged think tanks.
  - a) Offerors will draft a SOW for the policy fellows in collaboration with DAI.
  - b) Offerors should describe the method they will use to select fellows and think tanks.
- 2) Implementation. The partner will coordinate all logistics and arrangements between the fellows and the think tanks throughout the fellowship. Applicants are expected to include in their proposal a cradle-to-grave support plan & package for the fellowships.
- 3) Learning and Sustainability.
  - a) The partner should propose and coordinate 2 learning events during the fellowship bringing together all the fellows, think tanks, and other relevant stakeholders.
  - b) The partner should propose means of creating feedback loops between government officials and MSMEs. How information be gathered/shared between these parties?
  - c) Fellows should develop and publish public-facing policy recommendations on how digital policies can best support MSMEs and women-led enterprises. The partner should plan a webinar at the close of the program where fellows can present their research.
- 4) Monitoring and evaluation. The partner will propose metrics to measure the impact of the fellowships and monitor and report on the results.
  - a) Example metrics: Number of publications, Number of attendees at learning events, Number of meetings with GOI policymakers and international organizations, Sources of requests for briefings (e.g. Min of MSME, ministries that are developing cyber and other relevant digital policies, parliament, etc.), Increased % of invitations to participate

- in policy discussions and debates (from policymaking community and other leading research organizations), number of media citations.
- b) Create a project case study (lay out our approach, lesson learned, and the impact of this project, and next steps/legacies after the activity ends) and share it with the networks and partners.
- 5) Contingency plan. The partner should be able to manage shifts in operations due to COVID; i.e. have a virtual contingency plan in place. The contingency plan should adapt the scope and breadth of activities without altering the overall budget.

**ANTICIPATED DELIVERABLES**

Upon award, the contractor will be expected to deliver the following according to the approximate schedule:

CONTRACT DELIVERABLES	TIMEFRAME
Draft of the workplan, MEL plan, and fellowship program’s requirements and eligibilities	March 2022
Final version of the workplan, MEL plan, and fellowship program’s requirements and eligibilities incorporating USAID and DAI feedback	April 2022
Announcement of the Fellowship program and fellows’ selection process. Report on the selection process.	April 2022
Kick-off with Fellows, think tanks, DAI, USAID	May 2022
Quarterly Reports x4	June 2022, September 2022, December 2022, March 2023
Learning Events x2	September 2022, March 2023 (estimated)
Closing Webinar	May 2023
Final report documenting highlights, key takeaways, Fellows’ feedback, and MEL results	May 2023

**ESTIMATED TIMEFRAME**

The grant is anticipated to last from March 2022 - May 2023.



## Annex 1: Mandatory Standard Provisions

Mandatory Standard Provisions for Non-US Nongovernmental Recipients:  
(<http://www.usaid.gov/missions/sa/usaidsa/mandatorystandard.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: Sample Budget and Budget Narrative

	Name	Rate	Units (month/day/hour)	Cost
<b>I. Salaries and Wages</b>				
Person 1	TBD	\$0.00	0	\$0
Person 2	TBD	\$0.00	0	\$0
<b>Total Salaries and Wages</b>			<b>0</b>	<b>\$0</b>
<b>II. Travel, Transportation and Per Diem</b>				
<b>1. Air Travel</b>				
<u>International Travel</u>		\$0.00	0	\$0
<u>Regional / In-Country Travel</u>		\$0.00	0	\$0
<b>2. Per Diem</b>				
Traveler 1		\$0.00	0	\$0
<b>3. Other Travel Expenses</b>				
Traveler 1		\$0.00	0	\$0
<b>Total Travel, Transportation and Per Diem</b>				<b>\$0</b>
<b>III. Other Direct Costs</b>				
<b>1. Project Management Expenses</b>				
Other (DESCRIBE)		\$0.00	0	\$0
<b>Total Other Direct Costs</b>				<b>\$0</b>
<b>Total Program Expenses</b>				
<b>Indirect Costs on All Costs</b>			<b>0</b>	<b>\$0</b>
<b>Grand Total</b>				
				<b>\$0</b>

#### Budget Narrative Template

##### **Salaries and Wages**

For our labor cost estimates, we have used daily rates per person as supported by actual salaries and/or prevailing labor rates. If labor is based on commercial rates, please provide a link or evidence of publication of the commercial rates.

##### **Personnel**

- Name, Title proposed for a total of XX days at a daily rate of \$XXX.
- Name, Title proposed for a total of XX days at a daily rate of \$XXX.

##### **Travel, Transportation and Per Diem**

Economy air fare trips have been budgeted from XXXX to XXXX.

##### **Regional / In-Country Travel**

X number of trips have been budgeted for X locations.

##### **Per Diem**

Per Diem at \$XXX has been assumed for all travelers to XXX based on XX days per trip.

**Miscellaneous Travel Expenses**

Miscellaneous Travel expenses of \$XXX per trip have been budgeted based on the number of international trips. This cost per trip is based on XX assumptions.

**Other Direct Costs**

This category includes basic support costs for the project. Included within this cost category are all costs necessary for the successful operation of this activity.

**Indirect Costs on All Costs**

All indirect costs must be in accordance with the organization's policies.

## Annex 4: 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?

\_\_\_\_\_

\_\_\_\_\_

\_\_\_\_\_

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 OMB Circular A-122?

Yes:  No:

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

Yes:  No:

10. Does your institution require supporting documentation (such as original receipts) prior to payment for expenditures?

Yes:  No:

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

Yes:  No:

If yes, how long are such records kept? \_\_\_\_\_

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

Yes:  No:

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

Yes:  No:

14. Who would be responsible for financial reports? \_\_\_\_\_

**SECTION C: Fund Control and Accounting Systems**

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

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

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

Separate bank accounts:

A fund accounting system:

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

Yes:

No:

If yes, please explain the amount of funds to be maintained, the purpose and person responsible for safeguarding these funds.

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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 (OMB Circular A-122 "Cost Principles for Nonprofit Institutions" and OMB Circular A-110 "Uniform Administrative Requirements for Grants and Agreements with Institutions of Higher Education, Hospitals and Other Non-Profit Institutions")?

Yes:

No:

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

Yes:

No:

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

Yes:

No:

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

4. Does your institution have regular audits?

Yes:

No:

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

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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.

**Optional:**

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

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

Approved by:

\_\_\_\_\_

Print Name

\_\_\_\_\_

Signature

\_\_\_\_\_

Title

Date \_\_\_\_\_

## Annex 5: Instructions for Obtaining CAGE/NCAGE Code, SAM Registration, and DUNS Number

### CAGE/NCAGE Code

The Commercial and Government Entity (CAGE) Code was established by the US. The NATO Codification System developed the NATO Commercial and Government Entity (NCAGE) Code. When a business/organization is assigned a CAGE/NCAGE, they are in fact the same type/structure of code but identifies which nation or if the NATO Support Agency assigned the CAGE/NCAGE. You must have a CAGE/NCAGE code and a DUNS number before registering in SAM.

- o Link to the CAGE/NCAGE Code request:  
<https://eportal.nspa.nato.int/AC135Public/scage/CageList.aspx>
- o Link to CAGE/NCAGE code request instructions:  
<https://eportal.nspa.nato.int/AC135Public/Docs/US%20Instructions%20for%20NSPA%20NCAGE.pdf>

### System for Award Management (SAM) Registration

You must have an active registration with [www.SAM.gov](http://www.SAM.gov) to do business with the Federal Government. To register in SAM, at a minimum, you will need the following information:

- o U.S. Registrants:
  - 1) Your DUNS Number, Legal Business Name, and Physical Address from your Dun & Bradstreet (D&B) record
  - 2) Your Taxpayer Identification Number (TIN) and Taxpayer Name associated with your TIN; Review your tax documents from the IRS (such as a 1099 or W-2 form) to find your Taxpayer Name
  - 3) Your bank's routing number, your bank account number, and your bank account type, i.e. checking or savings, to set up Electronic Funds Transfer (EFT)
- o International Registrants:
  - 1) Your NATO Commercial and Government Entity (NCAGE) Code
  - 2) Your DUNS Number, Legal Business Name, and Physical Address from your D&B record; Make sure your DUNS information and NCAGE information match
- o Follow this link to create a SAM.gov user account and register your organization:  
[https://www.sam.gov/portal/SAM/?navigationalstate=JBPNS\\_rO0ABXdcACJqYXZheC5mYWNlcy5wb3J0bGV0YnJpZGdlLlNUQVRFX0IEAAAAAQApdmllczo5ZTNkNDA3MS1YzZiLTRjZjgtYmQ2Ny03Mjg3Y2EyZjJhMzIAB19fRU9GX18\\*&portal:componentId=1fccbe43-ae5a-4f24-ae71-312126928af8&interactionstate=JBPNS\\_rO0ABXcwABBfanNmQnJpZGdIVmllD0kAAAAAQAPL2pzZi9iYW5uZXluanNwAAAdfX0VPRI9f&portal:type=action##11](https://www.sam.gov/portal/SAM/?navigationalstate=JBPNS_rO0ABXdcACJqYXZheC5mYWNlcy5wb3J0bGV0YnJpZGdlLlNUQVRFX0IEAAAAAQApdmllczo5ZTNkNDA3MS1YzZiLTRjZjgtYmQ2Ny03Mjg3Y2EyZjJhMzIAB19fRU9GX18*&portal:componentId=1fccbe43-ae5a-4f24-ae71-312126928af8&interactionstate=JBPNS_rO0ABXcwABBfanNmQnJpZGdIVmllD0kAAAAAQAPL2pzZi9iYW5uZXluanNwAAAdfX0VPRI9f&portal:type=action##11)

### Data Universal Numbering System (DUNS)

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. It is a common standard world-wide 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.

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.

Annex 6: Past Performance Matrix

#	Project Title	Client Name	Brief Description	Contact Name, Phone and Email	Cost in USD\$	Start-End Dates
1						
2						
3						
4						
5						

## Annex 7: Application Checklist

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

- Narrative technical application
- CVs of named team members (maximum 3 pages each)
- Past Project Examples (Annex 6)
- Budget
- Budget narrative
- Completed Financial Capability Questionnaire
- NICRA or Audited Financial Reports
- Incorporation Papers or Certificate of Registration and Statute
- Personnel, procurement, and finance manuals