***Request For Applications (RFA)***

***Feed the Future Rwanda Kungahara Wagura Amasoko***

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| **RFA title:** | **Cold Truck co-investments for High-value Horticulture Exports** |
| **RFA no:** | **KWA- RFA-2024-006** |
| **Date of issuance:** | **October 28, 2024** |
| **Closing date of questions:** | **November 11, 2024, at 5.00PM CAT** |
| **Responses provided:**  | **November 13, 2024** |
| **Closing date for this RFA:**  | **November 28, 2024, at 5.00PM CAT** |
| **Anticipated award date:**  | **January 28, 2025** |

**Overview of the Funding Opportunity**

Feed the Future Rwanda Kungahara Wagura Amasoko (KWA) “Prosper as You Expand Markets” is a five-year USAID project that boosts the potential of Rwanda’s high-value agricultural export sector to drive sales, create jobs, and increase incomes. Due to challenges caused by increased fuel costs and supply chain constraints that are making freight costs more expensive, this grant activity primary purpose is to cushion Rwandan exporters by co-invest in locally based refrigerated trucks that can move perishable cargo domestically, as well as on outgoing export and return import trips.

This RFA targets medium and large enterprises that are consistently high performers. Grants will be awarded and implemented in accordance with USAID and US Government regulations and KWA grant management policies and procedures. Please see the RFA description of application requirements in ***Section II: Application Merit Review Criteria***. Grant activities shall be implemented in Rwanda by organizations based in Rwanda only.

To ensure uniform disclosure to all applicants, please send clarification questions by email to CGF-Grants@ftfkwa.org by **November 11, 2024, at 5.00PM** CAT**.** Answers to all questions will be provided via e-mail on **November 13, 2024.** KWA will not respond to telephone inquiries.

**Applications to be submitted to** CGF-Grants@ftfkwa.org with RFA number KWA-RFA-2024-006 in the email subject line by **November 28, 2024, at 5.00PM** CAT**.** Late applications will not be considered. Issuance of this RFA does not constitute an award commitment on the part of KWA or USAID, nor does it commit the activity to pay for costs incurred in the preparation and submission of an application. Further, the activity reserves the right to reject any or all applications received. Similarly, an invitation to clarify your application is not a commitment to fund that application, nor reimburse any costs incurred during the preparation.

KWA staff will not ask for, and applicants are prohibited from offering, any money, fee, commission, credit, gift, gratuity, thing of value, or compensation to obtain or reward improper favorable treatment regarding this solicitation. Any improper request from a project employee should be reported to ethics@rti.org.

Sincerely,

**Titianne Donde**

Chief of Party, Feed the Future Rwanda Kungahara Wagura Amasoko

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# SECTION I: Background, Objective, and Illustrative Partnership Activities

## Project Background

Feed the Future Rwanda Kungahara Wagura Amasoko (KWA) is a five-year USAID project that will boost the potential of Rwanda’s high-value agricultural export sector to drive sales, create jobs, and increase incomes. The project supports the Government of Rwanda (GOR), the local private sector, and civil society to fulfill their mandates and align incentives to promote investment. Focusing on 13 districts, the project aims to foster an inclusive and resilient environment in which high-value agricultural export businesses can thrive.

## Objective

The primary purpose of this RFA is to support Rwandan exporters to protect core export markets and expand linkages with new buyers/markets, due to challenges that have arisen with increased fuel costs and supply chain constraints that are making freight costs more expensive. To cushion exporters from these challenges, and to enable them to remain competitive in comparison to neighboring countries that have other channels of agri-export transportation such as rail and sea, KWA will co-invest in cold truck with Rwandan high value horticulture exporters ( avocado, French beans, chili, etc…) using this main mechanism:

* **Issue grants to co-invest in cold chain development:** designed to strengthen cold chain logistics in Rwanda and reduce post-harvest losses while improving the resilience and competitiveness of high-value agricultural export products through refrigerated trucks.

As part of our sustainability plan, we will conduct a rapid needs assessment of each exporter and their two-year audited financial report with recent cash flow information to “right-size” the level of subsidy provided, though generally we expect to cover roughly 60% of the truck purchase costs. The refrigerated trucks will offer an alternative mode of transport to transit points and regional markets.

The technical application must display sound management in the form of record management standards, including sound controls in filing of production, sales and export records. KWA will assess this capability prior to awarding a grant. Any falsification or submission of false information shall result in disqualification of application or termination of the award.

## Expected Outcomes

Through this grant activity, KWA investments are expected to achieve the following outcomes:

* Increased value and volume of Rwanda’s high value horticultural export
* Increased SME/exporter resilience to market shocks by diversifying markets and buyers
* Increased SME/exporter competitiveness as a result of markets/buyer diversification
* Increased SME/exporter turnover/annual sales
* Increased number of individuals, including Women, Youth and Persons with Disabilities participating in horticulture high value export value chains.
* Increase household incomes.
* Increase private sector investments leveraged

# SECTION II. Application and Submission Information

## Submission Information

Technical applications shall be submitted in the format provided in **Annex A** and completed in English. Annex A may not be more than **5 pages**.For fillable forms and templates, email :

CGF-Grants@ftfkwa.org.

1. **Annexes below are required to be submitted by the submission deadline.**
2. Annex A: Technical Application Form (in Word document file formats)
3. Annex B: Export Volume Data
4. Annex C: Letter of Commitment to co-invest
5. Annex D: Duly Signed Certifications
6. Annex E: Organizational Control Environment Questionnaire
7. Copies of legal registration and valid export license

For an application to be considered, all documents listed above should be submitted by electronic copy to CGF-Grants@ftfkwa.org with RFA number **KWA-RFA-2024-006** in email subject line as a reference. Only applications submitted to this email will be counted as official submission.

Application documents (listed above) should be submitted in a zipped folder. The zipped folder file size should not exceed 20 Megabytes (20MB).

**The submission deadline is November 28, 2024, at 5.00 PM CAT. Late applications will not be considered.** All interested applicants are encouraged to submit their application as early as possible.

### Application Instructions

Applicants are expected to develop their proposals based on their understanding of this RFA, providing prior institutional experience, and their determination of approaches that would be feasible, scalable, and successful within the context provided above. The applicant should describe the new or existing export market opportunities that will be captured and developed to increase export volumes to build resilience in the face of future shocks and stresses. As an example, new export markets can be demonstrated by annexing recent communications with potential new buyers. The application should include all information as guided in the annexes.

The application form must be signed by a senior representative authorized to make commitments on behalf of the applicant.

## Questions and Further Assistance

Questions concerning this RFA must be submitted in writing via email to CGF-Grants@ftfkwa.org (with RFA number KWA-RFA-2024-006 in the email subject line as a reference) on or before the

deadline for receipt of question(s) stated on the cover letter of this RFA. Questions will not be accepted by any other means. If it is determined that the answers to any questions are of sufficient importance to warrant a response, a questions and answers document and/or an amendment to the RFA will be issued byemail to all applicants by the date listed on the cover sheet above.

# SECTION III. Application Merit Review Criteria

Full applications will be evaluated against the merit review criteria as shown below.

|  |  |
| --- | --- |
| Merit Review and Category | Points |
| 1. *Past Performance:* Applicant has a proven track record demonstrated by records of previous exports of horticultural produce over the past 12 months.
 | 35 |
| 1. *Sustainability:* The extent to which the applicant will use the cold truck to work with small exporters to increase exported volume.
 | 15 |
| 1. *Inclusivity:* How the applicant envisions creating opportunities for youth, women and persons with disability once the cold truck is acquired.
 | 15 |
| 1. *Organizational Capacity:* The extent to which applicant demonstrates financial and management capacity to cover 40% co-investment into the purchase of a cold truck, as proven with Annex C Letter of Commitment *and* two-year audited financials.
 | 35 |
| **Overall Rating (out of 100 points)** | **100** |

# SECTION IV. Award and Administration Information

## Award Information

### Program Duration

Programs funded under this RFA will be for a period of an estimated 17 months from the date of award.

### Anticipated Funding Availability

Through this competitive process, up to 1 grant will be awarded. Final funding level for each grant will be negotiated with a recipient and will primarily be based on realistic projected increase of export volumes.

KWA reserves the right to incrementally monitor the cold trucks over the duration of the program.

All grants will be negotiated, denominated, and funded in RWF. All costs funded by the grant must be allowable, allocable, and reasonable.

### Type of Award

Grants awarded under this RFA will primarily be in-kind grants. The process will go as follows:

|  |  |  |
| --- | --- | --- |
| **Step #** | **Name** | **Description** |
| Step 1:***\*Current Step****\** | Grant Application | Interested exporters will apply to the RFA in accordance with all eligibility criteria and application instructions. |
| Step 2: | Exporter Selection | KWA will evaluate applications based on the selection criteria and will select top candidates. Top candidates will submit letters of commitment and two-year audited financials along with their application to commit to 40% of the cold truck co-investment. KWA will provide the remaining 60% of cold truck co-investment. |
| Step 3: | Vehicle Procurement | KWA will facilitate the cold truck procurement process with input from the selected exporters. Selected exporters and KWA will evaluate top vendors by participating in the Bid Evaluation Committee with a buyer/vendor meeting to select an appropriate model/vendor. The top scoring vendor’s cold truck will be chosen for all selected exporters. KWA will facilitate the selection and procurement of the vehicle in compliance with USAID regulations, and each exporter will issue their own Local Purchase Order (LPO).  |
| Step 4: | Grants executed | Once the vehicles have been chosen, KWA will submit the applications to the client (USAID). Upon receiving client approval, KWA will execute each grant with the exporter.  |
| Step 5: | Vehicle Purchase | The exporter will provide 40% of the cold truck contribution (including shipping/duties) to the supplier for deposit and KWA will provide 20% upon receiving an invoice from the exporter (with proof of 40% deposit payment and evidence of shipping). The supplier will facilitate all shipping and transfer of the vehicles to Kigali and KWA will contribute the remaining 40% of the contribution after the vehicles arrive in country. KWA will not transfer the funds to the exporter bank account, but will directly transfer the funds to vendor bank account as per negotiated terms of payment with the supplier. The cold truck will be fully owned and maintained by the exporter.In summary, the payment structure will be as follows:1. 40% Deposit amount with Purchase Order (paid by exporter).
2. 20% Part Payment on proof of shipment (paid by KWA)
3. 40% Final Payment on delivery (paid by KWA)
 |
| Step 6: | Monitoring & Evaluation | Exporters will collaborate with KWA to track project indicators as detailed in the final grant agreement. Exporters are fully responsible for all ongoing maintenance and care. In accordance with US Government ADS Chapter 303 M.7 (TITLE TO AND USE OF PROPERTY), the exporter must use the cold trucks for the purpose for which it was acquired during the period of this award, and must not provide any third party a legal or financial interest in the property (e.g., through a mortgage, lien, or lease) without approval of USAID.  |

USAID shall retain the right to terminate the grant activities unilaterally in extraordinary circumstances.

## Applicant Eligibility

This is a Limited Eligibility RFA and targeted applicants are Medium to Large horticulture exporters that have been performing consistently over the last 12 months. Applicants must;

1. Provide copy of business registration certificate
2. Provide copy of valid export license
3. Provide evidence of Valid Tax clearance certificate
4. Letter of Commitment to co-invest on cold trucks (Annex C)
5. Provide two-year audited financial report with recent cash flow information

Exporter contribution: Exporters must contribute a cash co-investment to the proposed activity amounting to 40% or greater than the value of cold truck value. Here a cash contribution is a transfer of funding from the exporter to pay for cold truck that will be used to move perishable cargo domestically and regionally. Please note that neither the investment from the applicant nor the investment requested from KWA can cover costs already incurred.

**Unique Entity Identifier (UEI):**

A Unique Entity Identifier (UEI) is a unique number assigned to all entities (public and private companies, individuals, institutions, or organizations) who register to do business with the US federal government. To receive a grant award resulting from this solicitation, applicants will be required to provide a Unique Entity Identifier (UEI) number at the time of the award. If the applicant already has a UEI number, it should be included in their application. While the UEI number is not mandatory requirement at the point of submitting the application, however, it will be required before an award can be made. Due to delays in issuance of UEI numbers, applicants are encouraged to begin the registration process early so as not to delay receiving an award.

To obtain a UEI number, please visit [www.sam.gov](http://www.sam.gov) to begin the registration process. Watch a video on how you can obtain a UEI. <https://www.youtube.com/watch?v=C87wSCYKTcE>.

## Environmental Compliance

The Foreign Assistance Act of 1961, as amended, Section 117 requires that the impact of USAID funded activities on the environment be considered, and that environmental sustainability be considered in designing and carrying out development programs. The environmental impacts of USAID-financed activities must be identified prior to a final decision to proceed and appropriate environmental safeguards are adopted for all activities. As part of its application/proposal, the recipient, in collaboration with KWA technical staff shall review all planned activities under the grant to determine if any environmental action and/or documentation must be completed prior to implementation.

## Authority/Governing Regulations

KWA grant funds awards are issued in the form of grants under contract and made under the authority of the U.S. Foreign Affairs Act and USAID’s Advanced Directive System (ADS) 303. Grantees are expected to comply with the provisions of these guidelines and regulations, as applicable. USAID ADS 303 can be accessed at <http://www.usaid.gov/ads/policy/300/303>.

## False Statements in Applications

Applicants must provide full, accurate and complete information as required by this solicitation and its attachments. Any false statements made will lead to disqualification of application.

## Conflict of Interest Clause

Applicants must provide disclosure of any past, present, or future relationships with any parties associated with the issuance, review or management of this solicitation and anticipated award. Failure to provide full and open disclosure may result in KWA having to re-evaluate selection of a potential applicant.

## Disclaimers

* KWA may cancel this Request for Applications (RFA) and not award.
* KWA reserves the right to accept or reject any or all applications received.
* Issuance of RFA does not constitute award commitment by KWA.
* KWA reserves the right to disqualify any application based on applicant failure to follow RFA instructions.
* KWA will not compensate applicants for response to RFA.
* KWA reserves the right to issue an award based on an initial evaluation of applications without further discussion.
* KWA reserves the right to ask for further clarifications from the applicants or negotiate for adjustments on the nature, scope, or scale of the investment prior to award determination to promote competition.
* KWA will NOT be contacting any applicant to confirm the contact person, address, and or that a bid was submitted for this RFA.

# ANNEX A: Technical Application Form (maximum 5 pages)

## Section I: Overview

|  |  |
| --- | --- |
| 1. **RFA Number**
 | KWA- RFA-2024-006 |
| 1. **Application Title**
 | Cold Truck co-investments |
| 1. **Date Application Submitted**
 |  |
| 1. **Name of Organization**
 |  |
| 1. **Unique Entity Identifier (UEI) Number (if available)**
 |  |
| 1. **Organization Representative**
 | Name: | Telephone: |
| Title: | Email: |
| 1. **Physical Address (HQ Location)**
 |  |
| 1. **Registration**
 | *Registration Type:* *(Attach copy of registration)**Registration Date: DD/MM/YYYY**Tax Registration Number:**NAEB Registration Number(Export license no):**Validity (DD/MM/YYYY):* |
| 1. *Type of Organization*

*(Tick all that apply)* | [ ]  Exporter [ ]  Cooperative or Association [ ] Other (explain): *\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_* |
| 1. **Age of Business**
 | [ ]  0-5 years of operations [ ]  6-10 years of operations [ ]  11+ years of operations |
| 1. **Number of Employees**
 | [ ]  1-9 employees [ ]  10-49 employees[ ]  50-99 employees [ ]  100-249 employees[ ]  100-249 employees [ ]  250+ employees |
| 1. **Do you work with outgrowers?**
 | [ ]  Yes [ ]  NoIf Yes, please list the total outgrowers you work with currently \_\_\_\_  |
| 1. **Sustainability plan**
2. How do you plan to support smaller export firms?
3. In your view, how does the acquisition of a cold truck support or improve the high value horticultural sector eco-system?
4. How do you plan to maintain the vehicle?
 |  |
| 1. **Inclusivity**

Describe how the organization will promote social inclusion, especially the empowerment of youth, women, and persons with disabilities within high-value horticulture exports, through acquisition of the cold -truck |  |

## Section II: Business Demographic Information

KWA aims to provide equal opportunities to all qualified applicants. We are also required to measure our progress in partnering with businesses that represent women, youth, and individuals with disabilities. Therefore, we ask applicants and employees to disclose relevant demographic information. Disclosure of this information is optional and non-compulsory. Should you choose to complete this form, the information will be kept confidential and disclosed only to those persons who have a right to the information by virtue of their role. Completion of the form will not negatively impact your application, regardless of whether you have self-identified in the past.

|  |  |
| --- | --- |
| **Sex of the business owner(s)** | [ ]  Male [ ]  Female [ ]  Multiple owners of multiple genders[[1]](#footnote-2)[ ]  Prefer not to say |
| **Age of the business owner(s)** | [ ]  15-29 [ ]  30+ [ ]  Multiple owners of multiple ages[[2]](#footnote-3)[ ]  Prefer not to say |
| **Disability status of the business owner(s)** | [ ]  Disabled[ ]  Not Disabled [ ]  Prefer not to say |

# ANNEX B: Export Volume Data (Past & Projected Performance)

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Applicants are required to submit horticulture export data using the table below:

1. Source of produce (by district)
2. Consolidated volume in Kilograms of total horticulture exports for the last 12 months
3. Projected volume of horticulture exports in Kilograms for the coming 12 months

***Export Volume Data***

|  |  |  |
| --- | --- | --- |
| Source District | Past 12 month performance (KGS) *October 1, 2023 – September 30, 2024* | Projected 12 month performance(KGS)*November 1, 2024 – October 30, 2025* |
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# ANNEX C: Letter of Commitment to co-invest

Exporter Co-Investment Commitment Letter

Exporter Name:

Address:

Contact email:

Contact phone number:

**Re: Commitment to Co-Invest in Cold Truck.**

I \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_ (Name of Authorized Officer) confirm on behalf of \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_ (Name of Grant Applicant), that we are willing and committed to co-invest in the procurement of a cold storage truck in partnership with USAID-funded KWA project.

We confirm that we give our consent for this letter of support to be used as evidence that we have the financial ability to provide the required 40% in full, which is equivalent to approximately USD 20,000 towards the purchase of the truck.

We understand that the grant application process is competitive, and that KWA is under no obligation to make an award. If selected, this commitment shall remain, subject to final commercial, legal and financial due diligence post the award of the grant, as well as the final signed grant agreement.

Signed:

Name / Title:

Date:

# ANNEX D: Required Certifications

***Part I – Certifications and Assurances***

*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.*

*(a) The recipient hereby assures that no person in the United States will, on the bases set forth below, be excluded from participation in, be denied the benefits of, or be otherwise subjected to discrimination under, any program or activity receiving financial assistance from USAID, and that with respect to the assistance award for which application is being made, it will comply with the requirements of:*

 *(1) Title VI of the Civil Rights Act of 1964 (Pub. L. 88-352, 42 U.S.C. 2000-d), which prohibits discrimination on the basis of race, color or national origin, in programs and activities receiving Federal financial assistance;*

 *(2) Section 504 of the Rehabilitation Act of 1973 (29 U.S.C. 794), which prohibits discrimination on the basis of disability in programs and activities receiving Federal financial assistance;*

 *(3) The Age Discrimination Act of 1975, as amended (Pub. L. 95-478), which prohibits discrimination based on age in the delivery of services and benefits supported with Federal funds;*

 *(4) Title IX of the Education Amendments of 1972 (20 U.S.C. 1681, et seq.), which prohibits discrimination on the basis of sex in education programs and activities receiving Federal financial assistance (whether or not the programs or activities are offered or sponsored by an educational institution); and*

 *(5) USAID regulations implementing the above nondiscrimination laws, set forth in Chapter II of Title 22 of the Code of Federal Regulations.*

 *(b) If the recipient is an institution of higher education, the Assurances given herein extend to admission practices and to all other practices relating to the treatment of students or clients of the institution, or relating to the opportunity to participate in the provision of services or other benefits to such individuals, and must be applicable to the entire institution unless the recipient establishes to the satisfaction of the USAID Administrator that the institution's practices in designated parts or programs of the institution will in no way affect its practices in the program of the institution for which financial assistance is sought, or the beneficiaries of, or participants in, such programs.*

1. ***Certification Regarding Lobbying (22 CFR 227)***

*Note: This certification must be completed prior to receiving an award if the estimated value of services required to be performed under the award outside the United States* ***exceeds $100,000.***

*The undersigned certifies, to the best of his or her knowledge and belief, that:*

*(1) No Federal appropriated funds have been paid or will be paid, by or on behalf of the undersigned, to any person for influencing or attempting to influence an officer or employee of any agency, a Member of Congress, an officer or employee of Congress, or an employee of a Member of Congress in connection with the awarding of any Federal contract, the making of any Federal Cooperative Agreement, the making of any Federal loan, the entering into of any cooperative agreement, and the extension, continuation, renewal, amendment or modification of any Federal contract, grant, loan, or cooperative agreement.*

*(2) If any funds other than Federal appropriated funds have been paid or will be paid to any person for influencing or attempting to influence an officer or employee of any agency, a Member of Congress, an officer or employee of Congress, or an employee of a Member of Congress in connection with this Federal contract, grant, loan, or cooperative agreement, the undersigned must complete and submit Standard Form-LLL, “Disclosure of Lobbying Activities,” in accordance with its instructions.*

*(3) The undersigned must require that the language of this certification be included in the award documents for all subawards at all tiers (including contracts, subawards, and contracts under grants, loans, and cooperative agreements) and that all subrecipients must certify and disclose accordingly.*

*This certification is a material representation of fact upon which reliance was placed when this transaction was made or entered into. Submission of this certification is a prerequisite for making or entering into this transaction imposed by section 1352, title 31, United States Code. Any person who fails to file the required certification will be subject to a civil penalty of not less than $10,000 and not more than $100,000 for each such failure.*

***Statement for Loan Guarantees and Loan Insurance***

*“The undersigned states, to the best of his or her knowledge and belief, that: If any funds have been paid or will be paid to any person for influencing or attempting to influence an officer or employee of any agency, a Member of Congress, an officer or employee of Congress, or an employee of a Member of Congress in connection with this commitment providing for the United States to insure or guarantee a loan, the undersigned must complete and submit Standard Form-LLL, “Disclosure Form to Report Lobbying,” in accordance with its instructions. Submission of this statement is a prerequisite for making or entering into this transaction imposed by section 1352, title 31, U.S. Code. Any person who fails to file the required statement will be subject to a civil penalty of not less than $10,000 and not more than $100,000 for each such failure.”*

***3. Prohibition on Assistance to Drug Traffickers for Covered Countries and Individuals (ADS 206)***

*USAID reserves the right to terminate this Agreement, to demand a refund or take other appropriate measures if the Grantee is found to have been convicted of a narcotics offense or to have been engaged in drug trafficking as defined in 22 CFR Part 140. The undersigned must review USAID ADS 206 to determine if any certifications are required for Key Individuals (see Part II below) or Covered Participants (see Part III below).*

*If there are COVERED PARTICIPANTS: USAID reserves the right to terminate assistance to or take other appropriate measures with respect to, any participant approved by USAID who is found to have been convicted of a narcotics offense or to have been engaged in drug trafficking as defined in 22 CFR Part 140.*

***4. Certification Regarding Support to Terrorists***

*(1) The undersigned represents, to the best of its knowledge, that:*

*Except as otherwise disclosed to the Agreement Officer in writing and included with this application, the applicant did not, within the previous three years, knowingly engage in transactions with, or provide material support or resources to, any individual or entity who was, at the time, subject to sanctions administered by the Office of Foreign Assets Control (OFAC) within the U.S. Department of Treasury pursuant to the Global Terrorism Sanctions Regulations (31 CFR Part 594), and the Foreign Terrorist Organizations Sanctions Regulations (31 CFR Part 597), or sanctions established by the United Nations Security Council, collectively, “U.S. or U.N. sanctions.” Note: USAID intends to retain the information disclosed to the Agreement Officer pursuant to this paragraph in any award file and use it in determining whether to provide the applicant with an assistance award. USAID will not make such information available publicly unless required by law.*

*(2) The representation in paragraph (1) does not apply to:*

*(a) Transactions entered into or material support and resources provided pursuant to an OFAC license;*

*(b) The furnishing of USAID funds, or USAID-financed commodities or other assistance, to the ultimate beneficiaries of USAID-funded humanitarian or development assistance, such as the recipients of food, non-food items, medical care, micro-enterprise loans or shelter, unless the applicant knew or had reason to believe that one or more of these beneficiaries was subject to U.S. or U.N. terrorism-related sanctions; or*

*(c) The procurement of goods and/or services by the Recipient acquired in the ordinary course of business through contract or purchase, such as utilities, rents, office supplies, or gasoline, unless the applicant knew, or had reason to believe, that a vendor or supplier of such goods and services was subject to U.S. or U.N. sanctions.*

*This certification includes express terms and conditions of the award, and any violation of it will be grounds for unilateral termination of the agreement by USAID. This certification does not preclude any other remedy available to USAID.*

*(3) For purpose of this certification:*

*(a) “Material support and resources” means currency or monetary instruments or financial securities, financial services, lodging, training, expert advice or assistance, safehouses, false documentation or identification, communications equipment, facilities, weapons, lethal substances, explosives, personnel, transportation, and other physical assets, except medicine or religious materials.*

*(i) “Training" means instruction or teaching designed to impart a specific skill, as opposed to general knowledge.*

*(ii) “Expert advice or assistance" means advice or assistance derived from scientific, technical, or other specialized knowledge.*

*(b) “Entity” means a partnership, association, corporation, or other organization, group, or subgroup.*

***5. Certification Regarding Trafficking in Persons, Implementing Title XVII of the National Defense Authorization Act for Fiscal Year 2013***

*Note: This certification must be completed prior to receiving an award if the estimated value of services required to be performed under the award outside the United States* ***exceeds $500,000.*** *This certification must also be submitted annually to the Agreement Officer during the term of the award.*

*By signing below, the applicant or recipient, as applicable, through its duly designated representative, after having conducted due diligence, hereby certifies the following:*

*1. The applicant/recipient has implemented a compliance plan to prevent the prohibited activities identified in section (a) of the Mandatory Provision “Trafficking in Persons” and is in compliance with that plan;*

*2. The application/recipient has implemented procedures to prevent any activities described in section (a) of the Mandatory Provision “Trafficking in Persons” and to monitor, detect, and terminate any contractor, sub awardee, employee, or other agent of the applicant/recipient engaging in any activities described in such section; and*

*3. To the best of the representative’s knowledge, neither the applicant/recipient, nor any employee, contractor, or sub awardee of the applicant/recipient, nor any agent of the applicant/recipient or of such a contractor or sub awardee, is engaged in any of the activities described in section (a) the Mandatory Provision “Trafficking in Persons.”*

*6. Certification of Recipient*

*By signing below the recipient provides certifications and assurances for (1) the Assurance of Compliance with Laws and Regulations Governing Non-Discrimination in Federally Assisted Programs, (2) the Certification Regarding Lobbying, (3) the Prohibition on Assistance to Drug Traffickers for Covered Countries and Individuals (ADS 206), (4) the Certification Regarding Terrorist Financing Implementing Executive Order 13224, and (5) the Certification Regarding Trafficking in Persons above.*

*These certifications and assurances are given in consideration of and for the purpose of obtaining any and all Federal grants, loans, contracts, property, discounts, or other Federal financial assistance extended after the date hereof to the recipient by the Agency, including installment payments after such date on account of applications for Federal financial assistance which was approved before such date. The recipient recognizes and agrees that such Federal financial assistance will be extended in reliance on the representations and agreements made in these assurances, and that the United States will have the right to seek judicial enforcement of these assurances. These assurances are binding on the recipient, its successors, transferees, and assignees, and the person or persons whose signatures appear below are authorized to sign these assurances on behalf of the recipient.*

*Request for Application for: RFA No. KWA- RFA-2024-006*

*Date of Application \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_*

*Organization Name \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_*

*Applicant Name and Title \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_*

*Signature \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_*

*Date \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_*

**Final Certification:**

I, \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_ (authorized officer name), the \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_ (title, Chairman/ President / Director) of \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_(name of business / organization) that is requesting assistance from KWA for the implementation of the proposed activity certify that all the information presented in this application in response to the RFA is accurate and correct.

 Signature: \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_

Date: \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_

# ANNEX E: Organizational Control Environment Questionnaire

**Organizational Control Environment Questionnaire**

KWA uses this questionnaire to verify whether applicants have the capacity or potential capacity to adequately perform in accordance with the principles established by the US Government and other donors. The information provided assists KWA in determining whether your organization’s accounting, recordkeeping and overall financial management procedures and practices meet applicable standards and if your system of internal controls is reasonable.

Legal name of applicant organization:

Name and title of individual completing
this questionnaire:

Signature of Individual Completing:

Date Completed: \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_

Unique Entity Identifier

**A. General Information**

1. Type of Organization: (Check one)

[ ]  Nongovernmental organization (NGO)

(Please check as appropriate below)

[ ]  Non-Profit

[ ]  Educational

[ ]  For-Profit/Commercial

[ ]  Other (please describe): \_\_\_\_\_\_\_\_\_\_\_\_

[ ]  Governmental or host government (HG) institution\*

(List Department or Ministry: \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_)

*\*An HG institution or a subdivision of it is an organization that functions as a governing body and in which the host government owns at least a 50 percent share or receives at least 50 percent of its financial support from the host government. Examples of HG entities are ministries, districts, or local or state governments or agencies.*

2 Is your organization incorporated or legally registered?

[ ]  Yes

[ ]  No

3. City and country of incorporation or legal registration:

4. Date of incorporation or legal registration:

5. Is your organization required to pay taxes on revenue/income, or is it exempt from such taxes?

[ ]  Required to pay taxes on revenue/income

[ ]  Exempt from taxes on revenue/income

6. Please list the number of employees of your organization:

 Full-time employees

 Part-time employees or Volunteers

7. Has your organization received funding from any agency of the US Government (e.g. US Agency for International Development (USAID), Department of State, Centers for Disease Control and Prevention, President’s Emergency Plan for AIDS Relief (PEPFAR), Office of US Foreign Disaster Assistance) in the last 3 years directly from the agency itself or as a sub partner to another organization?

[ ]  Yes

[ ]  No

*If yes, please identify the source(s) and specify the amount(s) received from each source, by year below:*

\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_

\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_

\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_

8. What is your organization’s fiscal year?

9. Has the organization ever been audited locally?

[ ]  Yes

[ ]  No

If so, covering what period?

What was the auditor’s opinion? (Please circle one)

 Unqualified Approval / Qualified Approval / No opinion rendered

10. Do you anticipate expending $750,000 or more in funds received directly or indirectly from the U.S. Agency for International Development during your fiscal year?

[ ]  Yes

[ ]  No

**B. Indirect/Overhead Rates**

1. Does your organization have a Negotiated Indirect Cost Rate Agreement (NICRA) with the U.S. Government?

[ ]  Yes

[ ]  No

If YES, please attach a copy to this Questionnaire and go to the next section.

If NO, does your organization plan to recover administrative costs or overheads (rent, utilities, phone costs etc.) by including those costs in the budget of the grant agreement?

[ ]  Yes

[ ]  No

If YES, please describe how your organization recovers administrative or overhead costs.

2. Has the indirect rate been audited?

[ ]  Yes

[ ]  No

If YES, please provide a copy of an audit report with the audited indirect rate and an explanation of the indirect rate costs.

3. Is the indirect rate charged equally to all funders of your organization?

[ ]  Yes

[ ]  No

If NO, please explain.

**C. Financial Management**

1. Is your accounting system [ ] manual or [ ] automated (check one)? If automated, what accounting software program are you using? Specify.

2. Do you have documented policies and procedures for processing financial transactions in accordance with laws, regulations, or management policy? If you answer yes, you also agree to make these documents available for inspection.

[ ]  Yes

[ ]  No

3. Is your accounting system capable of accurate, current, and complete reporting of the utilization of grant funds for all types of costs (including but not limited to labor, travel, materials, and equipment)?

[ ]  Yes

[ ]  No

4. Do you use a documented chart of accounts containing a description of each account and are journal entries prepared, reviewed, compared with supporting details where necessary, and approved each accounting period?

[ ]  Yes

[ ]  No

5. Is your accounting system capable of tracking and documenting separately the utilization (see above) of grant funds by source?

[ ]  Yes

[ ]  No

6. Are the liquid assets (cash) of your organization kept in an interest-bearing bank account?

[ ]  Yes

[ ]  No

7. What is the name of your organization’s bank?

1. Does your organization utilize mobile money / electronic payment platforms to transfer funds to participants or vendors?

[ ]  Yes

[ ]  No

If YES, please indicate the platform(s) used by your organization.

**D. Personnel:**

1. Does your organization utilize an electronic timesheets system in accordance with United States Government regulations?

[ ]  Yes

[ ]  No

2. Does your organization have a timekeeping policy requiring employees to submit timesheets at least once a month?

[ ]  Yes

[ ]  No

If the answers to the prior questions have been negative, please explain how do you record the hours worked for the assign project/activity?

**E. Procurement and Property Management System**

1. Does your organization have documented procurement procedures or policy?

[ ]  Yes

[ ]  No

2. Do you always solicit quotations from vendors before making a purchase over the local currency equivalent of $3,000?

[ ]  Yes

[ ]  No

3. Do you have a property management manual?

[ ]  Yes

[ ]  No

1. If the business has a single owner, the sex of the owner should be used for classification. If the business has more than one owner, classify the firm as Male if all of the proprietors are male, as Female if all of the proprietors are female, and as Mixed if the proprietors are male and female. [↑](#footnote-ref-2)
2. For firms, if the enterprise is a single proprietorship, the age of the proprietor should be used for classification. If the enterprise has more than one proprietor, classify the firm as 15–29 if all of the proprietors are aged 15–29, as 30+ if all of the proprietors are aged 30+, and as mixed if the proprietors are from both age groups. [↑](#footnote-ref-3)