

U.S. DEPARTMENT OF STATE
U.S. EMBASSY Lusaka
NOTICE OF FUNDING OPPORTUNITY



Funding Opportunity Title: FY 2021 Ambassador’s Special Self-Help Program
Funding Opportunity Number: DOS-ZAMBIA-PE-2021-03
Deadline for Applications: February 28, 2021
Type of Funding: FY 19/20 Economic Support Funds
CFDA Number: 19.700
Statutory Authority: Foreign Assistance Act

A. PROGRAM DESCRIPTION

U.S. Embassy Lusaka announces an open competition for organizations to submit applications to carry out projects through the Ambassador’s Special Self Help (ASSH) Small Grants Program.

Purpose of Small Grants:

ASSH program is a grassroots assistance program that funds grants for small development activities that generate public awareness of U.S. foreign assistance efforts which fall outside the structure of other established U.S. assistance projects. The program is intended to be flexible and allow the Ambassador to respond directly to requests from local communities for assistance with projects that have immediate impact and further Mission priorities. Equally important, the Special Self-Help program is structured to encourage communities to be self-reliant and undertake similar activities on their own in the future.

The Small Grants Office receives many more proposals than it can fund. Careful preparation of the application will give your organization the best chance to qualify for funding.

Acceptable project objectives include, but are not limited to, the following:

- Economic diversification, including small business creation and income generation
 - Generate sustainable income and employment opportunities in local communities;
 - Advance economic diversification at the grassroots level;
 - Encourage use of local natural resources for income generation;
 - Promote a culture of entrepreneurship;
 - Improve basic economic or living conditions of a community;
 - Purchase of income generating-equipment such as weaving looms, threshing machines, oil presses, beehives etc.

- Social services

- Assist populations which may be disadvantaged or at-risk on a temporary or chronic basis, including people with disabilities, ethnic minorities, the elderly and female heads of household;
- Construction of health clinics or workshops;
- Water and sanitation related projects.

•Youth and child development

- Assist youth to gain knowledge and tools to live positively, set life goals and enhance their own health, safety and security;
- Create opportunities for youth, including employment;
- Construction of school rooms or community centers;
- Purchase of school equipment, furnishings and books.

•Community-based natural resource management

- Expand effective community ownership and management of natural resources;
- Developing sustainable community-based tourism;
- Promoting the conservation of natural resources.

Special note on construction projects:

Ambassador’s Self-Help Program funds may be used to fund construction projects. These projects should be small in scale (under 10,000 sq ft) and provide a public benefit. The terms “Construction” and/or “Construction Activities” include:

- Architectural Conservation:** The examination, documentation, treatment (including preservation and restoration), or preventive care and maintenance of an ancient and historic building or other built sites, supported by research and education.
- Modernization:** The alteration, renovation, remodeling, improvement, expansion, and repair of an existing building and the provision of equipment necessary to make the building suitable for the use and purpose of a particular program.
- New Construction:** The erection of a new building or new structure, including the demolition of an existing building or structure followed by the construction of a new building or structure on the same site. The project shall result in a completed building on the specified site. New construction also includes the digging of new wells or new latrines.
- Preservation:** The act or process of applying measures necessary to sustain the existing form, integrity, and materials of an ancient or historic building or other built site. Work, including preliminary measures to protect and stabilize the site, generally focuses on the on-going maintenance and repair of historic materials and features rather than replacement and new construction. New exterior additions are not within the scope of this treatment; however, the limited and sensitive upgrading of the mechanical, electrical, and plumbing systems and other code-required work to make a building or other built site functional and safe is appropriate.

- E. **Rehabilitation:** The act or process of making possible a compatible use for a property through repair, alterations, and additions while preserving those parts or features which convey its historical, cultural, or architectural values.
- F. **Restoration:** The act or process of accurately depicting the form, features, and character of a building or built site as it appeared at a specified period of time by means of the removal of features from other periods in its history and replacement of missing features from the specified period. The limited and sensitive upgrading of mechanical, electrical and plumbing systems and other code-related work to make properties functional and safe is appropriate.

Great care should be taken when preparing budgets for construction projects as prices of materials often increase from the time when proposal is submitted until a project selected for funding is implemented so as to avoid failure due to running out of funds.

Participants and Audiences:

All applicants must be Non-Profit Organizations (NPOs) registered on the province or national level in Zambia. We welcome proposals from Community Based Organizations (CBOs), Faith Based Organizations (FBOs), and Non-Governmental Organizations (NGOs) that work directly with communities.

The following is not eligible for funding:

- Projects relating to partisan political activity;
- Purchase and set up of surveillance equipment;
- Creating, continuing, or supplementing technical assistance programs;
- Duplication of other U.S. Government programs;
- Projects that would benefit, either personally or politically, to any employee (e.g. direct hire, contractor, part-time) of the U.S. Government, or the spouse or family member of a U.S. Government employee;
- Production of agricultural commodities for export that can be expected to have a significant impact on competing U.S. exports;
- Contributing to the violation of internationally recognized rights of workers;
- Charitable or donation related activities;
- Projects that support specific religious or military activities, as well as those relating to police, prisons, or other law enforcement.
- Fund-raising campaigns;
- Lobbying for specific legislation or projects;
- Scientific research;
- Projects intended primarily for the growth or institutional development of the organization;
- Projects that duplicate existing efforts.
- Purchase of alcohol, medicine, school uniforms, school fees, bursaries, or personal expenses;
- Support for educational or other facilities used to a significant degree by U.S. employees or their dependents;
- Support for abortion-related facilities and services;

- Purchase of used equipment – to avoid recurring maintenance and support costs. There is a general policy for financing only new equipment unless it is simple in design and spare parts are available locally, thus providing operational and maintenance advantages in less developed countries;
- Purchase of luxury goods and gambling equipment;
- Purchase or production of toxic or otherwise unsafe products such as pesticides or hazardous chemicals;
- Assisting any individual or entity involved in illegal drug trafficking as noted in Section 487 of the Foreign Assistance Act;
- Support, benefit, or other services associated with those persons or entities listed under Executive Order 13224, or determined to be subject to this order or other subsequent laws or orders, who commit, threaten to commit, or support terrorism;
- Support for any activity barred under the Foreign Assistance Act and legislation appropriating funds for foreign assistance.
- Salaries for implementing organization staff
- Purchase of food and food parcels; and
- Support for private businesses, private crèches, or public/government schools unless through involvement of a Parent-Teacher Association.

Authorizing legislation, type and year of funding:

Funding authority rests in FY 19/20 Economic Support Funds under the Foreign Assistance Act; U.S. Department of State.

B. FEDERAL AWARD INFORMATION

Length of performance period: *Six to twelve months*

Number of awards anticipated: *Five to six awards* (dependent on grant amounts)

Award amounts: *Average amount per award is \$10,000*

Anticipated project start date: *October 1, 2021*

This notice is subject to availability of funding.

Funding Instrument Type: Grant.

Program Performance Period: Proposed programs should be completed in twelve months or less.

C. ELIGIBILITY INFORMATION

1. Eligible Applicants

The Ambassador’s Special Self-Help Program will only accept proposals from

- Not-for-profit organizations (NPOs,) including civil society/non-governmental organizations (NGOs) registered on the federal or state level in Zambia.
- Established, registered grassroots community-based organizations (CBOs) and Faith Based Organizations (FBOs) registered on the federal or state level in Zambia.

For-profit, commercial entities and individuals are not eligible to apply.

2. Cost Sharing or Matching

Recipient organizations must demonstrate their substantial commitment by either contributing to the project financially or providing labor or supplies (in-kind contribution) to carry out the project. Local involvement of the organization or group must be at least 10% in cash or in kind of the total project costs. Contributions may include labor, materials (bricks, sand, gravel, seeds, etc.), land, buildings, or money to ensure the success of the project. Cost sharing information should be detailed in the budget justification part of the proposal.

3. Other Eligibility Requirements

Applicants are only allowed to submit one proposal per organization. If more than one proposal is submitted from an organization, all proposals from that institution will be considered ineligible for funding.

To be eligible to receive an award, all organizations must have a Data Universal Numbering System (DUNS) number from Dun & Bradstreet (<http://fedgov.dnb.com/webform/pages/CCRSearch.jsp>); NCAGE/CAGE code from (<https://eportal.nspa.nato.int/AC135Public/scage/CageList.aspx>); as well as an active registration in www.SAM.gov. Please see **Section D.1.f.** for information on how to obtain these registrations.

D. APPLICATION AND SUBMISSION INFORMATION

Please follow all instructions below carefully.

1. Content and Form of Application Submission

The following (a, b, c, d, e) is **required**.

Proposals that do not meet the requirements or fail to comply with the stated instructions will be deemed technically ineligible and excluded from competition.

a. Summary Page: Coversheet stating the applicant name and organization, proposal date, program title, program period proposed start and end date, and brief purpose of the program.

b. Application and Proposal:

Complete the application found at the following link: [Embassy Small Grants Programs | United States of America and Zambia \(usembassy.gov\)](http://Embassy Small Grants Programs | United States of America and Zambia (usembassy.gov)

- The proposal clearly addresses the goals and objectives of this funding opportunity
- All documents are in English
- All budgets are in **U.S. Dollars**
- All pages are numbered
- All Microsoft Word documents are single-spaced, 12-point Times New Roman font, with a minimum of 1-inch margins.

The proposal should contain sufficient information that anyone not familiar with the applying organization and the project would understand exactly what the applicant wants to do. You may use your own proposal format, but it must include all the components as follows:

- **Proposal Summary:** Short narrative that outlines the proposed program, including program objectives, description of community contribution and involvement, anticipated impact and the number of female and male beneficiaries.
- **Introduction to the Organization applying:** A description of past and present operations, showing ability to carry out the program, including information on all previous grants from the U.S. Embassy, other U.S. government agencies and other donors.
- **Problem Statement:** Clear, concise and well-supported statement of the problem to be addressed and why the proposed program is needed. Applicant should demonstrate strong ties and support to their local community and with local governmental bodies.
- **Program Goals and Objectives:** The “goals” describe what the program is intended to achieve. The “objectives” refer to the intermediate accomplishments on the way to the goals. These should be achievable and measurable.
- **Program Activities:** Describe the program activities and how they will help achieve the objectives.
- **Program Methods and Design:** A description of how the program is expected to work to solve the stated problem and achieve the goal.
- **Proposed Program Schedule:** The proposed timeline for the program activities. Include the dates, times, and locations of planned activities and events.
- **Key Personnel:** Names, titles, roles and experience/qualifications of key personnel involved in the program. What proportion of their time will be used in support of this program?
- **Program Partners:** List the names and type of involvement of key partner organizations and sub-awardees, if any.
- **Program Monitoring and Evaluation Plan:** This is an important part of successful grants. Throughout the timeframe of the grant, how will the activities be monitored to ensure they are happening in a timely manner, and how will the program be evaluated to make sure it is meeting the goals of the grant?
- **Future Funding or Sustainability** Applicant’s plan for continuing the program beyond the grant period, or the availability of other resources, if applicable.

c. Budget Justification Narrative: After filling out the SF-424A Budget (above), use a separate word document or excel spreadsheet describing each expense as well as cost sharing information

in detail. See section *H. Other Information: Guidelines for Budget Submissions* below for further information.

d. Required attachments:

Organization documentation:

- Official letter from a local authority approving the project and granting permission to conduct the project and providing permission to utilize land or building
- Copy of applicant organization's certificate of incorporation or non-profit organization registration, state or federal level
- Brief organizational history
- Evidence of community support
- Three (3) letters from independent, non-member references
- Primary and secondary contact information for two members of the applying organization
- Map showing the location of the proposed project

Financial documentation:

- Organization's financial management policy that demonstrates adequate internal controls and financial monitoring procedures are in place.

e. Unique Entity Identifier (UEI) and System for Award Management (SAM.gov) Registration

All organizations applying for grants must obtain these registrations before sending in their applications. **All are free of charge.**

- **Obtaining a UEI**

Step 1 - NCAGE (NATO Commercial and Government Entity) code application:

- Go to application page: <https://eportal.nspa.nato.int/AC135Public/scage/CageList.aspx>
- Detailed instructions for the NCAGE application process:
<https://eportal.nspa.nato.int/AC135Public/Docs/US%20Instructions%20for%20NSPA%20NCA%20GE.pdf>
- For help from outside the U.S., call +1-269-961-7766 or email NCAGE@dlis.dla.mil

Step 2 – DUNS number application: Organizations must have a DUNS (Data Universal Numbering System) number from Dun & Bradstreet

- Go to application page: <https://fedgov.dnb.com/webform/displayHomePage.do> or call: +1-866-705-5711

- **SAM.gov registration**

- After receiving the NCAGE Code and DUNS number, proceed to register in SAM by going to: www.sam.gov (please use the Chrome browser). Start by creating an individual account, log in, and then proceed to register your entity. SAM registration must be renewed annually.

- SAM.gov registration help:
 - The Help tab on the SAM.gov website includes FAQs, user guides, and other resources
 - Federal Support Desk
- For help from outside the U.S., call: +1-334-206-7828
Web: www.fsd.gov

The U.S. Embassy will verify your SAM.gov registration status before accepting your application.

More details and helpful tutorials on obtaining the UEI and SAM.gov registration processes can be found on www.grants.gov

1. Submission Dates and Times

Applications for fiscal year 2021 may be submitted for consideration at any time before the closing date of February 28, 2021. Applications received after the closing date will not be considered.

2. Funding Restrictions

Any costs incurred in preparation of your proposal or in advance of an award will not be reimbursed.

3. Other Submission Requirements

Complete proposals should be emailed to: SelfHelpLusaka@state.gov

- 1.) Coversheet, proposal and budget justification narrative scanned into one document;**
- 2.) Required attachments – organization documentation – scanned into one document.**
- 3.) Required attachments – financial documentation – scanned into one document.**

*If your document files are too large to be attached together into one email, you may send the application files attached in no more than 4 separate emails, in the subject line noting the name of the organization, name of the program you are applying for and the name of the attached document, for example: **2021 ASSH program application – DoGood Initiative Lusaka – coversheet, proposal and budget justification.***

E. APPLICATION REVIEW INFORMATION

1. Criteria

Each application will be evaluated and rated on the basis of the evaluation criteria outlined below. The criteria listed are closely related and are considered as a whole in judging the overall quality of an application.

Organizational experience, capacity, and record on previous grants: The organization has experience and expertise in its stated field and the Small Grants Office is confident of its ability to undertake the proposed project. This includes having a bank account.

Quality and feasibility of the program idea: The program idea is well developed, with detail about how project activities will be carried out. The proposal includes a reasonable and realistic implementation timeline.

Goals and objectives: Goals and objectives are clearly stated and project approach is likely to provide maximum impact in achieving the proposed results.

Program priorities: Applicant has clearly described how stated goals are related to and support the program priorities stated in this document. The number of people to benefit will be considered when determining if a project can be funded.

Budget: The budget justification is detailed. Costs are reasonable in relation to the proposed activities and anticipated results. The budget is realistic, accounting for all necessary expenses to achieve proposed activities. Applicant demonstrates at least 10% cost sharing contribution.

Monitoring and evaluation plan: Applicant organization demonstrates it is able to measure program success against key indicators and provides milestones to indicate progress toward goals outlined in the proposal.

Sustainability: Project activities will continue to have positive impact after the end of the project.

2. Review and Selection Process

The Small Grants Office will conduct a preliminary review of all applications to determine completeness and technical eligibility. If the proposal meets the criteria, the Coordinator will schedule a phone call or site visit to discuss the proposal and review the organization's capacity. All projects eligible for funding are then reviewed by a merit review panel which will evaluate all eligible/complete applications and recommend funding priorities to the Ambassador for her final approval.

The Small Grants Office will notify only those eligible applicants whose projects will be selected for funding before August 31, 2021.

Due to the large amount of applications we receive, organizations not selected for funding will not be notified.

F. FEDERAL AWARD ADMINISTRATION INFORMATION

1. Federal Award Notices

The Grant agreements will be written, signed, and awarded by the Grants Officer and administered by the Grants Officer. The Grant agreement is the authorizing document and will be provided to the recipient for review by email before being invited to sign. The recipient may only start incurring project expenses beginning on the start date shown on the grant award document signed by the Grants Officer.

If a proposal is selected for funding, the Department of State has no obligation to provide any additional future funding. Renewal of an award to increase funding or extend the period of performance is at the discretion of the Department of State.

Issuance of this NOFO does not constitute an award commitment on the part of the U.S. government, nor does it commit the U.S. government to pay for costs incurred in the preparation and submission of proposals. Further, the U.S. government reserves the right to reject any or all proposals received.

Payment Method: Payments will be made by electronic funds transfer in at least two advances, as needed to carry out the project activities and based on agreed milestones.

2. Administrative and National Policy Requirements

Terms and Conditions: Before submitting an application, applicants should review all the terms and conditions and required certifications which will apply to this award, to ensure that they will be able to comply. These include: 2 CFR 200, 2 CFR 600, Certifications and Assurances, and the Department of State Standard Terms and Conditions, all of which are available at: <https://www.statebuy.state.gov/fa/pages/home.aspx>

3. Reporting

Reporting Requirements: Recipients will be required to submit financial and program progress reports. The award document will specify how often these reports must be submitted.

G. FEDERAL AWARDED AGENCY CONTACTS

If you have any questions about the grant application process, please contact the Small Grants Office at: SelfHelpLusaka@state.gov

Note: We do not provide any pre-consultation for application related questions that are addressed in the NOFO. Once an application has been submitted, State Department officials will not discuss this competition with applicants until the entire proposal review process is completed.

H. OTHER INFORMATION

Guidelines for Budget Justification

Personnel: Describe the wages, salaries, and benefits of temporary or permanent staff who will be working directly for the applicant on the program, and the percentage of their time that will be spent on the program.

Travel: Estimate the costs of travel and per diem for this program. If the program involves international travel, include a brief statement of justification for that travel.

Equipment: Describe any machinery, furniture, or other personal property that is required for the program, which has a useful life of more than one year (or a life longer than the duration of the program), and costs at least \$5,000 per unit.

Supplies: List and describe all the items and materials, devices, that are needed for the project. If an item costs more than \$5,000 per unit, then put it in the budget under Equipment.

Contractual: Describe goods and services that the applicant plans to acquire through a contract with a vendor. Also describe any sub-awards to non-profit partners that will help carry out the program activities.

Other Direct Costs: Describe other costs directly associated with the program, which do not fit in the other categories. For example, shipping costs for materials and equipment or applicable taxes. All “Other” or “Miscellaneous” expenses must be itemized and explained.

Indirect Costs: These are costs that cannot be linked directly to the project activities, such as overhead costs needed to help keep the organization operating. If your organization has a Negotiated Indirect Cost Rate (NICRA) and includes NICRA charges in the budget, attach a copy of your latest NICRA. Organizations that have never had a NICRA may request indirect costs of 10% of the modified total direct costs as defined in 2 CFR 200.68.

“Cost Sharing” refers to contributions from the organization or other entities other than the U.S. Embassy. It also includes in-kind contributions such as volunteers’ time and donated venues.

Alcoholic Beverages: Please note that award funds cannot be used for alcoholic beverages.