

USAID's Trade Central Asia Activity (TCA)

Request For Proposals (RFP)

No. RFP-TCA-TUR-23-0002

SERVICES TO PREPARE THE ENVIRONMENTAL AND SOCIAL MANAGEMENT FRAMEWORK (ESMF), RESETTLEMENT POLICY FRAMEWORK (RPF), AN ENVIRONMENT AND SOCIAL COMMITMENT PLAN (ESCP); STAKEHOLDER ENGAGEMENT PLAN (SEP) AS A PRE-REQUISITE FOR WORLD BANK'S TO ISSUE A LOAN FOR HORTICULTURE DEVELOPMENT PROJECT IN TURKMENISTAN

Issue Date: **December 12, 2023**

WARNING: Prospective Offerors who have received this document from a source other than the TCA Project, 506/99, Seifullin ave., non-residential premises No. 6, BC Rixos, 2nd floor, office 201, Almaty, Kazakhstan, should immediately contact TCA_procurement@dai.com and provide their name and mailing address in order that amendments to the RFP or other communications can be sent directly to them. Any prospective Offeror who fails to register their interest assumes complete responsibility in the event that they do not receive communications prior to the closing date. Any amendments to this solicitation will be issued and posted via email.

DAI conducts business under the strictest ethical standards to assure fairness in competition, reasonable prices and successful performance or delivery of quality goods and equipment. DAI does not tolerate corruption, bribery, collusion or conflicts of interest. Any requests for payment or favors by DAI employees should be reported as soon as possible to ethics@dai.com or by visiting www.dai.ethicspoint.com. Further, any attempts by an offeror or subcontractor to offer inducements to a DAI employee to influence a decision will not be tolerated and will be grounds for disqualification, termination and possible debarment. See provision No. 9 for more details.

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Synopsis of the RFP

RFP No.	RFP-TCA-TUR-23-0002
Issue Date	December 12, 2023
Title	SERVICES TO PREPARE THE ENVIRONMENTAL AND SOCIAL MANAGEMENT FRAMEWORK (ESMF), RESETTLEMENT POLICY FRAMEWORK (RPF), AN ENVIRONMENT AND SOCIAL COMMITMENT PLAN (ESCP); STAKEHOLDER ENGAGEMENT PLAN (SEP) AS A PRE-REQUISITE FOR THE WORLD BANK TO ISSUE A LOAN FOR HORTICULTURE DEVELOPMENT PROJECT IN TURKMENISTAN
Issuing Office & Email/Physical Address for Submission of Proposals	Attn: Procurement Department, TCA Project TCA_procurementINBOX@dai.com
Deadline for Receipt of Questions	December 22, 2023, 5 pm local Almaty, Kazakhstan time
Deadline for Receipt of Proposals	January 04, 2024, 5 pm local Almaty, Kazakhstan time
Point of Contact	TCA_procurement@dai.com – Procurement Manager
Anticipated Award Type	Firm Fixed Price Purchase Order
Basis for Award	An award will be made based on the Trade Off Method. The award will be issued to the responsible and reasonable offeror who provides the best value to DAI and its client using a combination of technical and cost/price factors.

1. Introduction and Purpose

1.1 Purpose

DAI, the implementer of the USAID's Trade Central Asia Activity, invites qualified offerors to submit proposals to incorporate environment and social concerns in the anticipated Turkmenistan Horticulture Development Project as outlined in Attachment A.

The Issuing Office and Contact Person noted in the above synopsis is the sole point of contact at DAI for purposes of this RFP. Any prospective offeror who fails to register their interest with this office assumes complete responsibility in the event that they do not receive direct communications (amendments, answers to questions, etc.) prior to the closing date.

1.2 Type of Award Anticipated

DAI anticipates awarding a **Firm Fixed Price Subcontract**. This subcontract type is subject to change during the course of negotiations.

A Firm Fixed Price Subcontract is: An award for a total firm fixed price, for values more than \$150,000, for the provision of specific services, goods, or deliverables and is not adjusted if the actual costs are higher or lower than the fixed price amount. Offerors are expected to include all costs, direct and indirect, into their total proposed price.

2. General Instructions to Offerors

2.1 General Instructions

"Offeror", "Subcontractor", and/or "Bidder" means a firm proposing the work under this RFP. "Offer" and/or "Proposal" means the package of documents the firm submits to propose the work.

Offerors wishing to respond to this RFP must submit proposals, in English, in accordance with the following instructions. Offerors are required to review all instructions and specifications contained in this RFP. Failure to do so will be at the Offeror's risk. If the solicitation is amended, then all terms and conditions not modified in the amendment shall remain unchanged.

Issuance of this RFP in no way obligates DAI to award a subcontract or purchase order. Offerors will not be reimbursed for any costs associated with the preparation or submission of their proposal. DAI shall in no case be responsible or liable for these costs.

Proposals are due no later than **January 04, 2024, 5 pm** local Almaty, Kazakhstan time, to be submitted via procurement email to TCA_procurementinbox@dai.com with the RFP number in the subject line. Proposals should include all costs and technical proposals in the same email. Late offers will be rejected except under extraordinary circumstances at DAI's discretion. All proposals submitted in hardcopy shall be sealed and labeled with the RFP Number.

The submission to DAI of a proposal in response to this RFP will constitute an offer and indicates the Offeror's agreement to the terms and conditions in this RFP and any attachments hereto. DAI reserves the right not to evaluate a nonresponsive or incomplete proposal.

2.2 Proposal Cover Letter

A cover letter shall be included with the proposal on the Offeror's company letterhead with a duly authorized signature and company stamp/seal using Attachment B as a template for the format. The cover letter shall include the following items:

- The Offeror will certify a validity period of 90 days for the prices provided.
- Acknowledge the solicitation amendments received.

- Acknowledge having adequate financial resources to finance and perform the work or the ability to obtain financial resources without receiving advance funds from DAI.

2.3 Questions regarding the RFP

Each Offeror is responsible for reading and complying with the terms and conditions of this RFP.

Requests for clarification or additional information must be submitted in writing via email or in writing to the Issuing Office as specified in the Synopsis above. No questions will be answered by phone. Any verbal information received from a DAI or TCA employee or other entity shall not be considered as an official response to any question regarding this RFP.

Copies of questions and responses will be distributed in writing to all prospective bidders who are on record as having received this RFP after the submission date specified in the Synopsis above.

3. Instructions for the Preparation of Technical Proposals

Technical proposals shall be sealed in a separate envelope from cost/price proposals and shall be clearly labeled as "VOLUME I: TECHNICAL PROPOSAL".

Technical proposals shall include the following contents:

1. Technical Approach - Description of the proposed services which meets or exceeds the stated technical specifications or scope of work. The proposal must show how the Offeror plans to complete the work and describe an approach that demonstrates the achievement of timely and acceptable performance of the work.
2. Management approach – Description of the Offeror's staff assigned to the project. The proposal should describe how the proposed team members have the necessary experience and capabilities to carry out the Technical Approach.
 - a. Project plan, project management approach and production timeline. Project Plan should include proposed timelines for each activity and resources allocated to each activity.
 - b. Short CV of key personnel that would be assigned to the project should be included.
3. Corporate Capabilities and Past Performance
 - a. Company profile information – include company organizational chart, number of staff, main business activities;
 - b. Provide a list of at least three (3) recent awards of similar scope and duration. The information shall be supplied as a table, and 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, description of any problems encountered and how it was resolved, and a current contact phone number of a responsible and knowledgeable representative of the organization. See Attachment F.

3.1 Services Specified

For this RFP, DAI is in need of the services described in Attachment A.

3.2 Technical Evaluation Criteria

Each proposal will be evaluated and scored against the evaluation criteria and evaluation sub-criteria, which are stated in the table below. Cost/Price proposals are not assigned points, but for overall evaluation purposes of this RFP, technical evaluation factors other than cost/price, when combined, are considered significantly more important than cost/price factors.

Evaluation Criteria	Evaluation Sub-criteria (if needed)	Maximum Points
Technical Approach		
	Technical know-how – Does the proposal clearly explain, understand and respond to the requirements of the project as stated in the Scope of Work? Does proposal include description of proposed approach?	15 points
	Sector Knowledge – Does the proposal demonstrate the offeror’s knowledge related to similar assignments?	15 points
Management Approach or Personnel Qualifications		
	Does the bidder have sufficient staff who are qualified, experienced and available to fulfill the Scope of Work?	30 points
	Project plan – Does the proposed approach and detailed activities and timeline fulfill the requirements of executing the Scope of Work effectively and efficiently?	20 points
Corporate Capabilities or Past Performance		
	Does the organization have a good track record in conducting similar work and magnitude as the scope of work?	20 points
Total Points		100 points

4. Instructions for the Preparation of Cost/Price Proposals

4.1 Cost/Price Proposals

Cost/Price proposals shall be sealed in a separate PDF document from technical proposals, and shall be clearly labeled as “VOLUME II: COST/PRICE PROPOSAL”.

Provided in Attachment C is a template for the Price Schedule, for firm-fixed price awards. Offerors shall complete the template including as much detailed information as possible. All prices must be quoted in USD.

It is important to note that Value Added Tax (VAT) shall be included on a separate line. These services are eligible for VAT exemption under the DAI prime contract. The Subcontractor is responsible for all applicable taxes and fees, as prescribed under the applicable laws for income, compensation, permits, licenses, and other taxes and fees due as required.

5. Basis of Award

5.1 Best Value Determination

DAI will review all proposals, and make an award based on the technical and cost evaluation criteria stated above, and select the offeror whose proposal provides the best value to DAI. DAI may also exclude an offer from consideration if it determines that an Offeror is "not responsible", i.e., that it does not have the management and financial capabilities required to perform the work required.

Evaluation points will not be awarded for cost. Cost will primarily be evaluated for realism and reasonableness. DAI may award to a higher priced offeror if a determination is made that the higher technical evaluation of that offeror merits the additional cost/price.

DAI may award to an Offeror without discussions. Therefore, the initial offer **must contain the Offeror's best price and technical terms.**

5.2 Responsibility Determination

DAI will not enter into any type of agreement with an Offeror prior to ensuring the Offeror's responsibility. When assessing an Offeror's responsibility, the following factors are taken into consideration:

1. Provide evidence of the required business licenses to operate in the host country.
2. Evidence of a Unique Entity ID (SAM) number (explained below and instructions contained in Attachment D).
3. The source, origin and nationality of the products or services are not from a Prohibited Country (explained below).
4. Having adequate financial resources to finance and perform the work or deliver goods or the ability to obtain financial resources without receiving advance funds from DAI.
5. Ability to comply with required or proposed delivery or performance schedules.
6. Have a satisfactory past performance record.
7. Be qualified and eligible to perform work under applicable laws and regulations.

6. Anticipated post-award Deliverables

During and after completion of the services, the selected Offeror shall be responsible for provision of the deliverables indicated in the Attachment A. The Offeror should detail proposed costs per deliverable in the Price Schedule. All of the deliverables must be submitted to and approved by DAI before payment will be processed.

7. Inspection & Acceptance

The designated DAI Project Manager will inspect from time to time the services being performed to determine whether the activities are being performed in a satisfactory manner, and that all equipment or supplies are of acceptable quality and standards. The subcontractor shall be responsible for any countermeasures or corrective action, within the scope of this RFP, which may be required by the DAI Chief of Party as a result of such inspection.

8. Compliance with Terms and Conditions

8.1 General Terms and Conditions

Offerors agree to comply with the general terms and conditions for an award resulting from this RFP. The selected Offeror shall comply with all Representations and Certifications of Compliance listed in Attachment G.

8.2 Prohibited Technology

Bidders MUST NOT provide any goods and/or services that utilize telecommunications and video surveillance products from the following companies: Huawei Technologies Company, ZTE Corporation, Hytera Communications Corporation, Hangzhou Hikvision Digital Technology Company, or Dahua Technology Company, or any subsidiary or affiliate thereof, in compliance with FAR 52.204-25.

8.3 Source and Nationality

Under the authorized geographic code for its contract DAI may only procure goods and services from the following countries.

Geographic Code 937: Goods and services from the United States, the cooperating country, and "Developing Countries" other than "Advanced Developing Countries: excluding prohibited countries. A list of the "Developing Countries" as well as "Advanced Developing Countries" can be found at: <https://www.usaid.gov/about-us/agency-policy/series-300/references-chapter/310maa> and <https://datahelpdesk.worldbank.org/knowledgebase/articles/906519-world-bank-country-and-lending-groupsrespectively>

(An "advanced developing country" means any country categorized by the World Bank as an upper middle income country according to its gross national income per capita. Goods and services with an advanced developing country source or nationality are only eligible under 937 when the procurement is for a USAID program in that advanced developing country, i.e., it is the "cooperating" or "recipient" country).

Geographic Code 110: Goods and services from the United States, the independent states of the former Soviet Union, or a developing country, but excluding Prohibited Countries.

DAI must verify the source and nationality of goods and services and ensure (to the fullest extent possible) that DAI does not procure any goods or services from prohibited countries listed by the Office of Foreign Assets Control (OFAC) as sanctioned countries. OFAC sanctioned countries may be searched within the System for Award Management (SAM) at www.SAM.gov. The current list of countries under comprehensive sanctions include: Cuba, Iran, North Korea, Sudan, and Syria. Goods may not transit through or be assembled in comprehensive sanctioned origin or nationality countries nor can the vendor be owned or controlled by a prohibited country. DAI is prohibited from facilitating any transaction by a third party if that transaction would be prohibited if performed by DAI.

By submitting a proposal in response to this RFP, Offerors confirm that they are not violating the Source and Nationality requirements of the goods or services being offered and that the goods and services comply with the Geographic Code and the exclusions for prohibited countries outlined above.

8.4 Unique Entity ID (SAM)

There is a **mandatory** requirement for your organization to provide a Unique Entity ID (SAM) to DAI. Without a Unique Entity ID (SAM), DAI cannot deem an Offeror "responsible" to conduct business with and therefore, DAI will not enter into a subcontract/purchase order or monetary agreement with any organization. The determination of a successful offeror/applicant resulting from this RFP/RFP/RFA is contingent upon the winner providing a Unique Entity ID (SAM) to DAI. Offerors who fail to provide Unique Entity ID (SAM) will not receive an award and DAI will select an alternate Offeror.

All U.S. and foreign organizations which receive first-tier subcontracts/ purchase orders with a value of \$30,000 and above **are required** to obtain a Unique Entity ID (SAM) prior to signing the agreement. Organizations are exempt from this requirement if the gross income received from all sources in the previous tax year was under \$300,000. DAI requires that Offerors sign the self-certification statement if the Offeror claims exemption for this reason.

For those required to obtain a Unique Entity ID (SAM), see Attachment D - Instructions for Obtaining a Unique Entity ID (SAM)- DAI'S Vendors, Subcontractors

For those not required to obtain a Unique Entity ID (SAM), see Attachment E: Self Certification for Exemption from Unique Entity ID (SAM) Requirement

9. Anti-Corruption and Anti-Bribery Policy and Reporting Responsibilities

DAI conducts business under the strictest ethical standards to assure fairness in competition, reasonable prices and successful performance or delivery of quality goods and equipment. **DAI does not tolerate the following acts of corruption:**

- Any requests for a bribe, kickback, facilitation payment or gratuity in the form of payment, gift or special consideration by a DAI employee, Government official, or their representatives, to influence an award or approval decision.
- Any offer of a bribe, kickback, facilitation payment or gratuity in the form of payment, gift or special consideration by an offeror or subcontractor to influence an award or approval decision.
- Any fraud, such as mis-stating or withholding information to benefit the offeror or subcontractor.
- Any collusion or conflicts of interest in which a DAI employee, consultant, or representative has a business or personal relationship with a principal or owner of the offeror or subcontractor that may appear to unfairly favor the offeror or subcontractor. Subcontractors must also avoid collusion or conflicts of interest in their procurements from vendors. Any such relationship must be disclosed immediately to DAI management for review and appropriate action, including possible exclusion from award.

These acts of corruption are not tolerated and may result in serious consequences, including termination of the award and possible suspension and debarment by the U.S. Government, excluding the offeror or subcontractor from participating in future U.S. Government business.

Any attempted or actual corruption should be reported immediately by either the offeror, subcontractor or DAI staff to:

- Toll-free Ethics and Compliance Anonymous Hotline at (U.S.) +1-503-597-4328
- Hotline website – www.DAI.ethicspoint.com, or
- Email to Ethics@DAI.com
- USAID's Office of the Inspector General Hotline at <https://oigportal.ains.com/eCasePortal>.

By signing this proposal, the offeror confirms adherence to this standard and ensures that no attempts shall be made to influence DAI or Government staff through bribes, gratuities, facilitation payments, kickbacks or fraud. The offeror also acknowledges that violation of this policy may result in termination, repayment of funds disallowed by the corrupt actions and possible suspension and debarment by the U.S. Government.

10. Attachments

10.1 Attachment A: Scope of Work

A. INTRODUCTION

The World Bank (WB) is preparing a project on Horticulture Development in Turkmenistan. The objective of the project is to support the development of a productive, market-oriented, sustainable, and inclusive horticulture sector in Turkmenistan. The main beneficiaries of the project would be small and medium size producers, processors, aggregators, and exporters, who are engaged in the horticulture sector.

A key prerequisite to WB agreeing on funding the Project is the submission by the Government of Turkmenistan of the Environmental and Social Management Framework (ESMF), Resettlement Policy Framework (RPF), an Environment and Social Commitment Plan (ESCP); Stakeholder Engagement Plan (SEP), and any other documentation required to ensure compliance with the World Bank environmental and social standards (ESS) with respect to the proposed project.

On October 20, 2023 the Ministry of Finance and Economy of Turkmenistan (MFE) through the Ministry of Foreign Affairs of Turkmenistan formally approached USAID Regional Mission Director in Central Asia/USAID Turkmenistan Country Office with a request to support the preparation of the Environmental and Social Management Framework (ESMF) and Stakeholder Engagement Plan (SEP). This request has been approved by USAID and the support is included in the Project' Year 3 annual workplan of USAID's Trade Central Asia activity.

Accordingly, USAID's Trade Central Asia activity is seeking the services of a specialized firm / entity to provide technical assistance to the Government of Turkmenistan in developing the above requisite documents within the time frame stipulated by the World Bank. All final deliverables shall be submitted by April 30, 2024.

B. BACKGROUND ON THE ANTICIPATED TURKMENISTAN HORTICULTURE DEVELOPMENT PROJECT

Project Development Objective (PDO)

1. The anticipated PDO is to enhance the productivity, market linkages and sustainability of the horticulture sector. The main beneficiaries of the project would be small and medium size producers, processors, aggregators, and exporters, who are engaged in the horticulture sector. The geographical focus of the project within Turkmenistan is yet to be determined.

2. Components

The proposed project would include the following three components:

Component 1: Strengthening of Agriculture Support Services

Sub-Component 1.1. Institutional Strengthening of Horticulture Research Institutes and Entities. This component will provide: (i) technical support to Government agencies in developing horticulture sector strategies, plans, feasibility studies; (ii) strengthen the institutional and technical capacities of the public research institutes and private entities engaged in horticulture sector in demonstration and dissemination of new technologies, improving safety and quality of fruits and vegetables for local consumers and export markets including the development of electronic pest surveillance maps focusing on horticulture crops, forecasting pest outbreaks and disseminate the same to the farmers; (iii) renovate and enhance selected laboratories to improve the quality of soil testing and pest and disease identification and prevention for the horticulture sector by supplying equipment, and train the laboratory staff; (iv) establish modern storage facilities for elite seeds for vegetables and other horticulture products to reduce the dependency on imports; and (v) demonstration and dissemination of water saving technologies and practices such as drip and sprinkler irrigation.

Sub-Component 1.2. Rural Business Advisory Services. This sub-component will support: (i) training among potential beneficiaries of the project in preparing business plans; (ii) provide training and advisory services to producers in various aspects of farm management (e.g. legal, accounting, business, technical aspects including agronomy, water management, pesticide handling, Integrated Pest Management (IPM), agribusiness and marketing; and (iii) improve the availability of technical information and advisory services for project beneficiaries and carry out value chains studies. Under this Focus Area, the project will organize training and awareness raising workshops in collaboration with partner institutions.

Component 2: Supporting Productive Investments in Horticulture Value Chains

Sub-Component 2.1. Enhancing Productivity, Sustainability, and Value Addition for Producers and Processors. This sub-component will provide a financial support through credit lines, would provide investment and working capital loans, principally to small- and medium size producers, processors, and agribusiness entrepreneurs operating in the horticultural sector. The credit lines will finance the procurement of machinery and food processing equipment, greenhouses, efficient irrigation systems, cold storage, packaging, provision of horticulture services, tree-crops, retail shops selling horticulture inputs and products, and other long-term investments.

Sub-Component 2.2. Matching Grants for the Productive Partnership (Linking Small-scale Producers to Markets). This sub-component will provide matching grants to small-scale farmers, producers, processors, and aggregators, organized around the productive partnerships. The financial support in investing and innovating in their production and processing activities and linking them with domestic and export markets. The activities to be supported under this Focus Area would aim at developing value chains through the creation of partnerships between producers, processors, and traders in the horticulture. This will help boost the supply of horticulture products for the internal market and generate export revenues for the country and create new jobs in the rural areas.

Sub-Component 2.3. Technical Assistance for Participating Commercial Banks and Productive Partnerships. This sub-component will provide training on basic concepts of appraisal, risk assessment and monitoring of investment projects, as well as on environmental and social

framework. Also, training and capacity strengthening activities will be organized for the Productive Partnerships to supported under Focus Area 2.2 above.

Component 3: Project Management

This component will support project management and coordination roles of project activities. The project will finance goods, consulting and non-consulting services, training and incremental operational costs of the PMU for expenditures related to the project activities, including: (i) project coordination and management; (ii) monitoring, evaluation, and impact assessment; (iii) fiduciary administration, accounting and financial/technical audits; (iv) environmental and social framework management; and (v) a citizens' engagement mechanism.

Project Cost and Implementation Period

More accurate cost of the project would be determined during the detailed design of the project. However, at this stage, a tentative cost of US\$50 million is envisaged, which would be financed by the International Bank for Reconstruction and Development (IBRD) loan. The availability and amount of IBRD funding will need to be determined in conjunction with the Country Engagement Note to be prepared at the same time as the project. The project would be implemented over a six-year period.

Project Implementation Arrangement

A Project Steering Committee (PSC) consisting of senior representatives of participating agencies would be established to provide an inter-agency coordination on project activities, and the policy and strategic guidance to the Project. The MFE would be the Implementing Agency (IA) of the Project and be responsible for the overall management and coordination of the project as well as for the implementation of the Components 2 and 3. The Ministry of Agriculture and Environmental Protection of Turkmenistan (MAEP) would be responsible for the implementation of Component 1. A Project Management Unit (PMU) would be established at the MFE and would be responsible for day-to-day management of project activities, monitoring and evaluation (M&E) and fiduciary (procurement and financial management) and standards (environmental and social frameworks) aspects of the project. The PMU would be headed by a full-time project manager, focus area coordinators, M&E, procurement, financial management, social and environmental specialists. Depending on the specific design and needs of the project, the Project Implementation Units (PIUs) may be established in select provinces. +

Given the limited experience of the MFE and MAEP in implementing the International Financial Institutions (IFI) projects, during the initial period of project implementation (first 18 months), the PMU would also hire an Implementation Support Team (IST) consisting of internationally recruited experts in areas of project management and monitoring, procurement, financial management, social and environmental framework to support the PMU in project implementation. In addition, the IST experts would have in their TORs explicit responsibilities in mentoring and training the PMU staff and building capacities within the implementation agencies.

C. OBJECTIVES OF THE ASSIGNMENT

USAID's Trade Central Asia (USAID TCA) is seeking specialized firm/entity to provide technical assistance to incorporate environmental and social concerns in the anticipated Turkmenistan Horticulture Development Project activities.

The activities under the assignment include:

- i. Preparation of Environment and Social Management Framework (ESMF) for the Horticulture Development Project to provide overall guidance for preparing Environmental and Social Management Plans.
- ii. Conduct environmental and social Screening to help identify any significant environmental and social issues in respect of the project investments including Associated Facilities, if any;

To this effect, the selected Vendor shall conduct and prepare the following assessments and documentation:

- i) an Environmental and Social Management Framework (ESMF);
- ii) Resettlement Policy Framework (RPF);
- iii) an Environment and Social Commitment Plan (ESCP);
- iv) Stakeholder Engagement Plan (SEP) and
- v) any other documentation required to ensure compliance with the World Bank environmental and social standards (ESS).
 - o These assessments need to be conducted as per applicable legal and regulatory framework of Government of Turkmenistan and World Bank Environmental & Social Framework (ESF). The following Environment and Social Standards (ESS) are expected to be relevant (TBD after the PCN review meeting). For more information, please refer to the following links: WBG ESF Website in English, WBG ESF Website in Russian, ESF in English, and ESF in Russian;
 - o Assessment and Management of Environment and Social Risks and Impacts (ESS1);
 - o Labor and Working Conditions (ESS 2);
 - o Resource Efficiency and Pollution Prevention and Management (ESS 3);
 - o Community Health and Safety (ESS 4);
 - o Land Acquisition, Restrictions on Land Use and Involuntary Resettlement,
 - o Biodiversity Conservation and Sustainable Management of Living Natural Resources (ESS 6);
 - o Cultural Heritage (ESS 8);
 - o Stakeholder Engagement and Information disclosure (ESS 10)

D. SCOPE OF WORK

List of tasks along with detailed activities are provided below:

Task 1 – Inception Stage Report

The selected Vendor shall use the inception period to familiarize themselves with the project details. The selected Vendor should also recognize that a thorough planning during the inception stage helps in improving the timing and quality of the preparation of the ESF instruments. During the inception period the selected Vendor shall:

- i. study the project information to appreciate the context within which these studies should be carried-out, including study of the project concept note and other related documents.
- ii. develop methodology for undertaking the specific deliverables, including site visits and work plan.¹
- iii. collect baseline information relevant to the environmental and social screening through rapid assessment.
- iv. based on a review of the investments considered the consultant shall develop a Screening Checklist to undertake rapid assessment (including field reconnaissance and initial stakeholder consultations) to assess potential environmental and social risks and impacts of the project interventions.
- v. identify the sources of secondary information on the project and on the project area and indicate where primary data will need to be collected to complete the assignment, along with proposed field methodology; and
- vi. interact with the project implementing institution and other counterpart agencies/departments as required to determine how the ESMF work fits into the overall project preparation/ project cycle; how overlapping areas are to be jointly addressed; to ensure compliance with all World Bank, national and state policy, regulatory and statutory requirements; and to appropriately plan the deliverables and their timing.

The inception report should describe the overall approach, methodology and issues, but shall also provide details / the specific context and information on initial data collection, including data availability/data needs and stakeholders; etc. The E&S Risk Screening Checklist shall be proposed in the inception report and shall be vetted by the project implementing agency and the World Bank.

Task 2 – Preparation of Environmental & Social Management Framework (ESMF)

The ESMF should present:

- a. **Project description:** Description of all components and sub-components including the implementing agencies, as per the latest available documents.
- b. **All potential project investments and their Areas of Influence (AOI):** ²Provide typology of all investments currently identified and anticipated to be financed i.e. likely sub-

¹ Specific Areas of Influence will be known when the loan is provided to the small and medium scale enterprises.

projects, and likely/anticipated associated facilities (AF) relevant to both construction and operation stages. Describe the steps to define the ‘Areas of Influence (AoI)’ and determine the preliminary AoI of Project activities covered by the ESMF, based on available information. Maps showing locations of probable investment locations, and/or of areas of eligibility or non-eligibility for investment, shall be provided by WB and/or relevant stakeholder in Turkmenistan. Provide initial baseline information on the physical, biological and socio-economic environment, and identify important environmental & social features within the preliminary AoI.

- c. **Relevant Policies and Legislation:** Review all relevant policies and legislations of Government of Turkmenistan related to the types of sub-projects which may be carried out under the project and indicate their applicability and implications for the proposed project. Review legislations, laws, circulars and government orders relating to land take (acquisition/purchase/transfer), use of right of way and resettlement and rehabilitation of affected communities and ascertain their relevance to activities proposed under the project. Review the World Bank (WB) ESF – policy and relevant E&S standards and Environmental Health and Safety (EHS) Guidelines and indicate their relevance and implications for the potential investments; provide a comparison of the Bank ESF policies and standards, identify gaps and propose gap filling measures to ensure their adequacy to meet the ESF requirements.
- d. **E&S Screening:** Conduct an initial screening and assessment of the range of potential risks and impacts, and site-specific information from initial screening where locations are already known. Confirm the potential E&S risk categorization(s) of the sub-project investments.
- e. **Assessment of Potential Sub-Project Impacts and Issues:** Given that all impacts cannot be fully identified at this stage for these future sub-projects, the consultant shall identify potential or likely E&S risks and impacts by each ESS, that may result from various design options. Such an assessment will also include technologies, equipment, manpower, resource use, traffic, major supplies, and socio-economic profile to the extent that they can be defined, as well as the baseline conditions and sensitivities in the area of project influence, need to be considered as per the WB ESSs.
- f. **Requirements by each of the Standards:** Based on these assessments, Consultant will need to list the ESS that are relevant and the resultant requirements of these ESS. It will be also required to cover requirements as mandated by national and state laws.
- g. **Institutional Responsibilities:** Review current implementation arrangements and existing capacity of each of the institutions with respect to management of E&S risks and impacts and propose capacity building/enhancement measures to bridge any capacity gaps.
- h. **Environmental and social (E&S) requirements for financial intermediaries.** The Consultant will review policies and current practice for E&S due diligence – review, monitoring, reporting, enforcement – in the work of financial intermediaries in the agriculture sector. Based on this review, the ESMF will identify key risks and mitigation

measures, as well as the instruments to be used to promote good environmental and social management practices in the sub-project's finances by FIs.

- i. **Establishment of Environmental and Social Management System.** The ESMF should present proposed staffing and training requirements related to the document implementation, institutional needs (based on a capacity assessment, and other necessary support, and estimated costs for proper ESMP implementation, as well as the approximate costs for these measures. This also will include arrangements for ESMF monitoring and reporting, including screening of sub-projects involving financial intermediaries (i.e., credit line services) consistent with ESS9.
- j. **Gender Analysis and Action Plan:** The assessment will also explore opportunities to reduce gender gaps in the context of the project and ensure gender and social inclusion. This involves i) identifying gender gap(s) relevant to the project development objective (PDO) and that fall under one or more of the four pillars of the World Bank's Gender Strategy, ii) providing concrete advice on how the gender gap(s) can be addressed by specific project actions within project components, and iii) advising on how the reduction of gender gap(s) outcomes of these activities can be measured in the project's results framework. As part of a cross-cutting gender analysis, the consultant will recommend measures that need to be in place to ensure that women are equitably benefited by project interventions and are provided appropriate voice and agency within the institutions and strategies supported by the project. The report must include:
 - a. Proposed actions under project components aimed at addressing the project-relevant gender gaps. This should include innovative communication, engagement and capacity strengthening strategies/approaches that will help ensure the planned activities reduce the gender gaps.
 - b. A results chain/outcome pathway describing how the planned activities will address the identified gender gaps, and a description of how and where the gender actions fit in the overall project theory of change.
 - c. Indicators for the results framework which measure reduction in the targeted gender gaps
 - d. Identification of knowledge gaps that might be addressed and overall enhancement of data collection and management in the client Integrated Water Resources Management (IWRM) institutions participating in the project;
 - e. Data collected throughout the assignment, if any.
- k. **Gender Based Violence:** Assessment will also cover the aspect of Gender Based Violence/Sexual Exploitation and Abuse & Sexual Harassment (SEA/SH) related to the project, including potential risks and their entry-points, the measures that need to be in place for prevention and the mitigation actions including referral pathways in the specific context of the project and its proposed locations. The GBV assessment capture the workplace practices and norms to deal with SEA/SH issues within these institutions and potential GBV risks in the project area.
- l. **Resettlement Policy Framework:** The selected Vendor shall assess the land take requirements of the project in accordance with ESS5, including the location and scale of land

requirement, the type and ownership of land available for the same. Based on this, the potential resettlement impacts, including loss of livelihoods and/ or temporary or long- term physical and economic displacement will be identified in the Resettlement Policy Framework (RPF) and measures proposed following the risk mitigation hierarchy of the ESF. It will lay down the principles to be followed for land take in line with relevant national laws and the ESF, process for undertaking Social Impact Assessment (SIA) to identify resettlement impacts- their scale and nature, procedures for estimating losses, compensations and entitlements and monitoring the implementation of site-specific Resettlement Action Plans (RAPs). The consultant will also the template for preparation of site-specific RAPs during the operational phase of the project. If the scale of land-take and its resultant adverse impacts are assessed to be high then a standalone RPF will be prepared, but if the scale of land take is assessed to be of low to moderate scale the RPF will be part of the ESMF being prepared by the Consultant.

- m. **Citizen Engagement and Stakeholder Engagement:** The selected Vendor shall identify and map the possible project stakeholders to prepare a standalone Stakeholder Engagement Plan (SEP) for the project. These stakeholders will include (but not limited to) small and medium scale horticulture producers, processors, aggregators, traders and agribusiness entrepreneurs, public research institutes and private entities, training and advisory services providers engaged in the horticulture sector, agribusinesses, machinery and food processing equipment suppliers, Commercial Banks and financial institutions. Based on the proposed project components and focus areas, the SEP will categorize the stakeholders into Affected Persons, Other Interested Persons and Disadvantaged and Vulnerable Groups who might require additional attention. The SEP will then identify their participation and engagement related needs from the project, include specific stakeholder engagement measures, awareness and communication strategies, their periodicity, mechanisms for monitoring this engagement as well as the grievance redressal mechanism available for the project stakeholders. The SEP will need to be informed by preliminary consultations held with potential stakeholders (in the project area) on a sample basis, to assess their views and opinions related to the proposed interventions and their feedback based on experience.
- n. **Labour Management Procedures:** Based on the guidance available under ESS2, the selected Vendor shall also develop the Labour Management Procedures (LMP) for the project. The LMP will lay down the manner, workers will be hired and managed under the project, in accordance with the requirements of national/state laws and ESS 2. It will assess the scale of labour and workforce requirement (direct workers, contracted workers, and primary supply workers), any labour-influx and GBV- SEA/SH related risks and spell procedures to promote safety and health at work, fair treatment, non-discrimination and equal opportunity for project workers, measures to protect vulnerable workers, steps to prevent use of all forms of forced or child labor. Accessible measures to be in place for project workers to raise workplace concerns and the roles and responsibilities for its implementation, monitoring and periodic reporting will also be briefly described in the LMP. Since significant civil construction work is not anticipated under the project at this stage, a separate LMP may not be required and could be part of the ESMF. However, if required, based on discussions with the implementing agency and the World Bank a standalone LMP will be prepared by the Consultant.

- o. **Institutional arrangements:** Institutional assessment would assess: the current institutional setup to deal with overall project and in particular the E&S aspects; current levels and modes of engagement with various stakeholders; and availability and access to grievance redressal mechanisms for communities to seek redressal.
- p. **Capacity Building & Training:** Based on this assessment, the selected Vendor shall identify and recommend commensurate mitigation measures in the form of in house capacity enhancement, external support in the form of PMTC (Project Management Technical Consultancy); contracting/hiring of E&S staff; and training and capacity building measures, on various aspects of the ESF.
- q. **Indicative budget** for implementing ESMF providing approximate costs towards various E&S actions.

Task 3: Provide inputs to preparation of the Environment and Social Commitment Plan (ESCP)

The Government of Turkmenistan is required to agree on an Environmental and Social Commitment Plan (ESCP) with the World Bank. The ESCP forms part of the project legal agreement. It is designed to consolidate into one summary document the material measures and actions that are required for the project to achieve compliance with the ESSs over a specified timeframe in a manner satisfactory to the Bank. The ESCP builds upon the environmental and social assessments and mitigation measures presented above. The Consultant shall work with the implementing agency to prepare an ESCP that is acceptable to the World Bank.

E. PUBLIC DISCLOSURE

The selected Vendor shall support the implementing agency for in-country disclosure, specifying the timing and locations; translate the key documents, such as the executive summary of Environmental and Social Management Framework, Environmental and Social Management Plan and relevant mitigation plans in local language.

The draft ESMF and RPF and ESCP should also be available in a public place accessible to affected groups and local NGOs for appropriate consultation such as the district offices of the district that lie enroute the corridor to solicit feedback. Relevant materials will be provided to affected groups in a timely manner prior to consultation and in a form and language that is understandable and accessible to the groups being consulted. The Consultant should maintain a record of the public consultation and the records should indicate consultations and sources of information (such as surveys) used to seek the views of affected stakeholders; the date and location of the consultation meetings, a list of the attendees and their affiliation and contact address; a video of the consultation workshop and summary minutes.

F. Deliverables, Timelines, and Payment Schedule

The expected total assignment duration is 4 months (full time) as shown below. All deliverables, unless stated otherwise, shall be in English language.

S. No.	Activity	Timeline (from time of award of contract)	Payment Schedule ***
(i)	Submission of Inception report comprising of work plan, timelines, and field survey methodology, outlines for ESMF, SEP, RPF, LMP, E&S Screening & ESIA along with management plans.	15 Days January 2024	20%
(ii)	Submission of Screening Report draft ESMF and SEP, including LMP and RPF*	Month 2 February 2024	20%
(iii)	Submission of revised Final Draft of ESMF, ESCP, SEP, RPF and LMP*	Month 3 March 2024	40%
(iv)	Final revisions/finalization and re-disclosure of ESMF, SEP, LMP and RPF by the WB following initial disclosure	Month 4 April 2024	20%

** Whether the RPF and LMP need to be standalone or will be part of the ESMF will be communicated to the Consultant prior to the commencement of the assignment*

**** This payment schedule is preliminary and must be agreed upon with the selected Vendor.*

G. Required Qualification and Experience of Key Experts

- a. Relevant Experience: Demonstratable relevant experience of successfully concluding similar assignments.
- b. Geographical Presence: Demonstratable ability to access or hire relevant stakeholders in Turkmenistan for effective execution of the assignment, including through in-person visits to Turkmenistan, if required.
- c. Language requirement: Full English language proficiency, working level of Russian language is an advantage.
- d. Team Composition: The team shall include the following key personnel:
 - a. Environmental Specialist: The person should have a graduate degree in environmental science/engineering or related discipline such as planning. S/he should have experience of at least 5 years in environmental assessment. Preference will be given to persons with experience of working on projects supported by multi-lateral/bilateral funding agencies such as the World Bank.

- b. Social Development Specialist: A Postgraduate in Social Sciences or with a Management Degree/ Diploma having at least 10 years of experience in the conduction of social assessments, citizen /stakeholder engagement plans including gender, formulation as well as implementation of resettlement and rehabilitation plans, especially in the agriculture and agribusiness projects. Preference will be given to persons with experience of working on projects supported by multi-lateral/bilateral funding agencies such as the World Bank, ADB, DIFID, KFW etc.
- c. Labor and working conditions expert (unless relevant expertise is demonstrated by other key staff): The specialist should have graduate or post-graduate degree in social sciences or law, with demonstrated knowledge and experience on national and international labor legislation, occupational health and safety, and contract management preferably in the context of international development projects.
- d. In addition, the team will include other members/associates, such as field researchers/moderators for conducting primary social research, designated by the selected consultant.

10.2 Attachment B: Proposal Cover Letter

[On Firm's Letterhead]

<Insert date>

TO: DAI GLOBAL LLC.

We, the undersigned, provide the attached proposal in accordance with **RFP**-Click here to enter text.-Click here to enter text. issued on Click here to enter text.. Our attached proposal is for the total price of <Sum in Words (0.00 Sum in Figures) >. I certify a validity period of 90 days for the prices provided in the attached Price Schedule/Bill of Quantities. Our proposal shall be binding upon us subject to the modifications resulting from any discussions.

By submitting this proposal:

- I acknowledge the solicitation amendments received.
- I acknowledge having adequate financial resources to finance and perform the work or deliver goods or the ability to obtain financial resources without receiving advance funds from DAI.

We understand that DAI is not bound to accept any proposal it receives.

Yours sincerely,

Authorized Signature:

Name and Title of Signatory: Click here to enter text.

Name of Firm: Click here to enter text.

Address: Click here to enter text.

Telephone: Click here to enter text.

Email: Click here to enter text.

Company Seal/Stamp:

10.3 Attachment C: Price Schedule

A. Labor (including fringe, indirect, and fee)					
Item No.	Labor Type/Position	Unit	Level of Effort (Hours)	Rate per Hour, USD	Total, USD
1	Project Manager	Hours			
2	Environmental Specialist	Hours			
3	Social Development Specialist	Hours			
4	Labor and working conditions expert	Hours			
5	Other (please, specify)	Hours			
Labor Sub-Total					
B. Travel and Transportation					
Item No.	Activity / Description	Unit	Quantity	Cost per Unit, USD	Total, USD
1	Transportation expenses to and from Turkmenistan {ticket and taxi expenses}	Trips			
2	Per Diem { labor cost}	Day			
3	Accommodation {non labor cost}	Day			
4	PCR test				
Travel and Transportation Sub-Total					
C. Other Indirect Costs					
Item No.	Activity / Description	Unit	Quantity	Cost per Unit, USD	Total, USD
1	Overhead expenses	Base of Application	%		

		(Please describe)				
2	Other Taxes	Base of Application (Please describe)	%			
3	VAT (if applicable)		%			
<i>Other Indirect Costs Sub-Total</i>						
GRAND TOTAL						

- 10.4** [Attachment D: Instructions for Obtaining a Unique Entity ID \(SAM\)Number - DAI'S Vendors, Subcontractors](#)
- 10.5** [Attachment E: Self Certification for Exemption from Unique Entity ID \(SAM\)Requirement](#)

10.6 Attachment F: Past Performance Form

Include projects that best illustrate your work experience relevant to this RFP, sorted by decreasing order of completion date.

Projects should have been undertaken in the past three years. Projects undertaken in the past six years may be taken into consideration at the discretion of the evaluation committee.

#	Project Title	Description of Activities	Location Province/ District	Client Name/Tel No	Cost in US\$	Start-End Dates	Completed on schedule (Yes/No)	Completion Letter Received? (Yes/No)	Type of Agreement, Subcontract, Grant, PO (fixed price, cost reimbursable)
1									
2									
3									
4									
5									

10.7 Attachment G: Representations and Certifications of Compliance

1. Federal Excluded Parties List - The Bidder Select is not presently debarred, suspended, or determined ineligible for an award of a contract by any Federal agency.
2. Executive Compensation Certification- FAR 52.204-10 requires DAI, as prime contractor of U.S. federal government contracts, to report compensation levels of the five most highly compensated subcontractor executives to the Federal Funding Accountability and Transparency Act Sub-Award Report System (FSRS)
3. Executive Order on Terrorism Financing- The Contractor is reminded that U.S. Executive Orders and U.S. law prohibits transactions with, and the provision of resources and support to, individuals and organizations associated with terrorism. It is the legal responsibility of the Contractor/Recipient to ensure compliance with these Executive Orders and laws. Recipients may not engage with, or provide resources or support to, individuals and organizations associated with terrorism. No support or resources may be provided to individuals or entities that appear on the Specially Designated Nationals and Blocked persons List maintained by the US Treasury (online at www.SAM.gov) or the United Nations Security Designation List (online at: http://www.un.org/sc/committees/1267/aq_sanctions_list.shtml). This provision must be included in all subcontracts/sub awards issued under this Contract.
4. Trafficking of Persons – The Contractor may not traffic in persons (as defined in the Protocol to Prevent, Suppress, and Punish Trafficking of persons, especially Women and Children, supplementing the UN Convention against Transnational Organized Crime), procure commercial sex, and use forced labor during the period of this award.
5. Certification and Disclosure Regarding Payment to Influence Certain Federal Transactions – The Bidder certifies that it currently is and will remain in compliance with FAR 52.203-11, Certification and Disclosure Regarding Payment to Influence Certain Federal Transactions.
6. Organizational Conflict of Interest – The Bidder certifies that will comply FAR Part 9.5, Organizational Conflict of Interest. The Bidder certifies that is not aware of any information bearing on the existence of any potential organizational conflict of interest. The Bidder further certifies that if the Bidder becomes aware of information bearing on whether a potential conflict may exist, that Bidder shall immediately provide DAI with a disclosure statement describing this information.
7. Prohibition of Segregated Facilities - The Bidder certifies that it is compliant with FAR 52.222-21, Prohibition of Segregated Facilities.
8. Equal Opportunity – The Bidder certifies that it does not discriminate against any employee or applicant for employment because of age, sex, religion, handicap, race, creed, color or national origin.
9. Labor Laws – The Bidder certifies that it is in compliance with all labor laws.
10. Federal Acquisition Regulation (FAR) – The Bidder certifies that it is familiar with the Federal Acquisition Regulation (FAR) and is in not in violation of any certifications required in the applicable clauses of the FAR, including but not limited to certifications regarding lobbying, kickbacks, equal employment opportunity, affirmation action, and payments to influence Federal transactions.
11. Employee Compliance – The Bidder warrants that it will require all employees, entities and individuals providing services in connection with the performance of an DAI Purchase Order to comply with the provisions of the resulting Purchase Order and with all Federal, State, and local laws and regulations in connection with the work associated therein.

By submitting a proposal, offerors agree to fully comply with the terms and conditions above and all applicable U.S. federal government clauses included herein, and will be asked to sign these Representations and Certifications upon award.

10.8 Attachment I: Proposal Checklist

Offeror: _____

Have you?

☐ Submitted your proposal to DAI electronically in PDF as specified in General Instructions above?

Does your proposal include the following?

☐ Signed Cover Letter (*use template in Attachment B*)

☐ Separate PDF Technical and Cost proposals individually sealed and labeled as Volume I and Volume II respectfully.

☐ Proposal of the Product or Service that meets the technical requirements as per Attachment A

☐ Response to each of the evaluation criteria

☐ Documents use to determine Responsibility

☐ Evidence of a Unique Entity ID (SAM) OR Self Certification for Exemption from Unique Entity ID (SAM) Requirement

☐ Past Performance (*use template in Attachment F*)

☐ CV of proposed key staff that would be assigned to the project

☐ Project Plan

☐ Letters of recommendation from prior clients

ATTACHMENT D

INSTRUCTIONS FOR OBTAINING AN Unique Entity ID (SAM) DAI'S VENDORS, SUBCONTRACTORS & GRANTEES

Note: There is a Mandatory Requirement for your Organization to Provide an Unique Entity ID (SAM) to DAI

I. SUBCONTRACTS/PURCHASE ORDERS: All domestic and foreign organizations which receive first-tier subcontracts/ purchase orders with a value of \$30,000 and above are required to obtain an Unique Entity ID (SAM) prior to signing of the agreement. *Your organization is exempt from this requirement if the gross income received from all sources in the previous tax year was under \$300,000. Please see the self-certification form attached.*

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

NO SUBCONTRACTS/POs (\$30,000 + above) or MONETARY GRANTS WILL BE SIGNED BY DAI WITHOUT PRIOR RECEIPT OF AN UNIQUE ENTITY ID (SAM).

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

Background:

Summary of Current U.S. Government Requirements - Unique Entity ID (SAM)

Effective April 4, 2022, entities doing business with the federal government will use the Unique Entity Identifier (SAM) created in SAM.gov. The Unique Entity ID (SAM) is a 12-character alphanumeric value managed, granted, and owned by the government. This allows the government to streamline the entity identification and validation process, making it easier and less burdensome for entities to do business with the federal government.

Entities are assigned an identifier during registration or one can be requested at SAM.gov without needing to register. Ernst and Young provides the validation services for the U.S. Government. The information required for getting an Unique Entity ID (SAM) without registration is minimal. It only validates your organization's legal business name and address. It is a verification that your organization is what you say it is.

The Unique Entity ID (SAM) does not expire.

Summary of Previous U.S. Government Requirements - DUNS

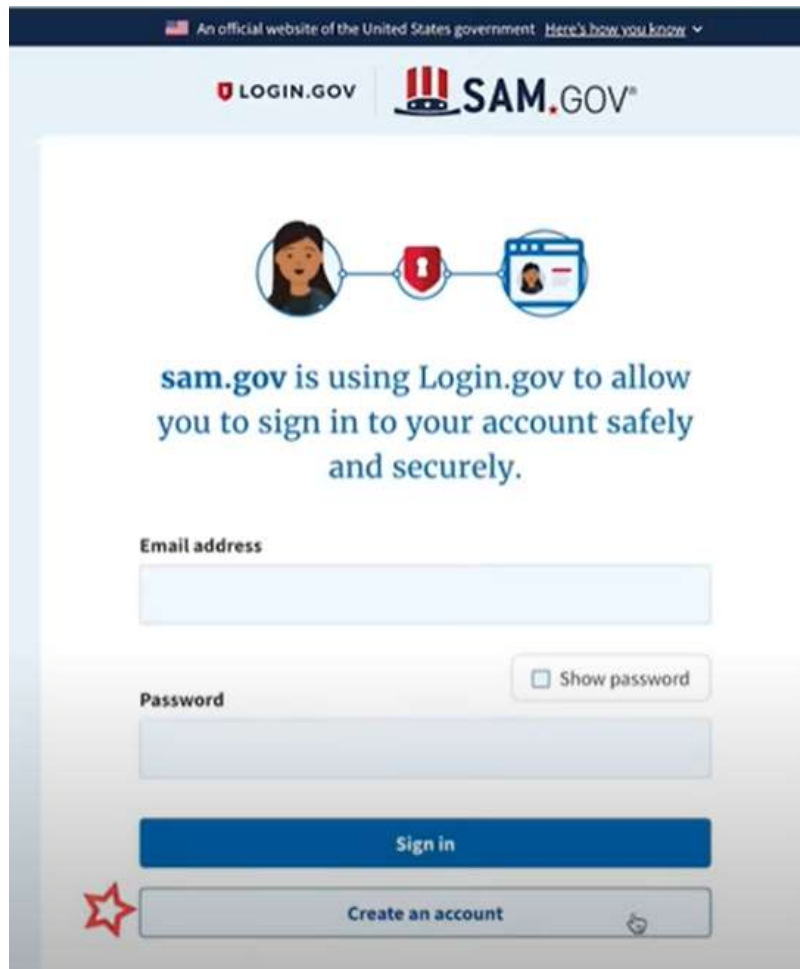
The Data Universal Numbering System (DUNS) is a system developed and managed by Dun and Bradstreet that assigns a unique nine-digit identifier to a business entity. It is a common standard world-wide and was previously used by the U.S. Government to assign unique entity identifiers. This system was retired by the U.S. Government on April 4, 2022 and replaced with the Unique Entity Identifier (SAM). After April 4, 2022 the federal government will have no requirements for the DUNS number.

If the entity was registered in SAM.gov (active or inactive registration), an Unique Entity ID (SAM) was assigned and viewable in the entity registration record in SAM.gov prior to the April 4, 2022 transition. The Unique Entity ID (SAM) can be found by signing into SAM.gov and selecting the Entity Management widget in your Workspace or by signing in and searching entity information.

Instructions detailing the process to be followed in order to obtain an Unique Entity ID (SAM) for your organization begin on the next page.

THE PROCESS FOR OBTAINING AN UNIQUE ENTITY ID IS OUTLINED BELOW:

1. Have the following information ready to request an Unique Entity ID (SAM)
 - a. Legal Business Name
 - b. Physical Address (including ZIP + 4)
 - c. SAM.gov account (this is a user account, not actual SAM.gov business registration).
 - i. **As a new user**, to get a SAM.gov account, go to www.sam.gov.
 1. Click “Sign In” on the upper right hand corner.
 2. Click on “Create a User Account”



An official website of the United States government [Here's how you know](#)

LOGIN.GOV SAM.GOV


Diagram: User Profile - Shield - Login Box

sam.gov is using Login.gov to allow you to sign in to your account safely and securely.

Email address

Password ☐ Show password

Sign in

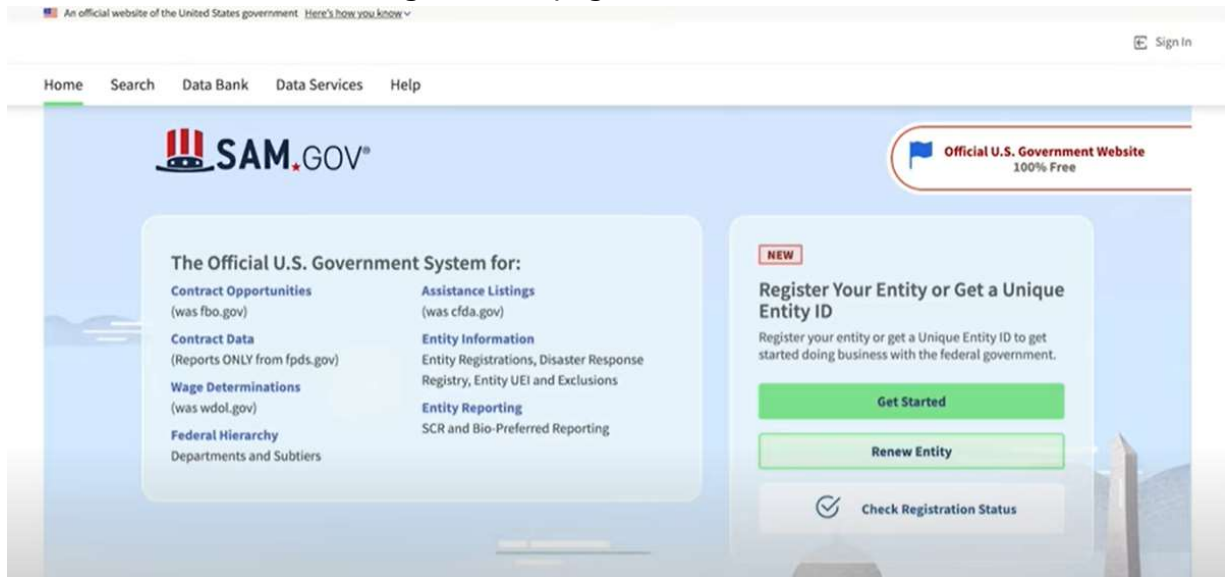
 Create an account

3. Choose Account Type:
 - a. Create an Individual User Account to perform tasks such as register/update your entity, create and manage exclusion records or to view FOUO level data for entity records.
 - b. Create a System User Account if you need system-to-system communication or if performing data transfer from SAM to your government database system. Complete the requested information, and then click “Submit.”
4. Click “DONE” on the confirmation page. You will receive an email confirming you have created a user account in SAM.

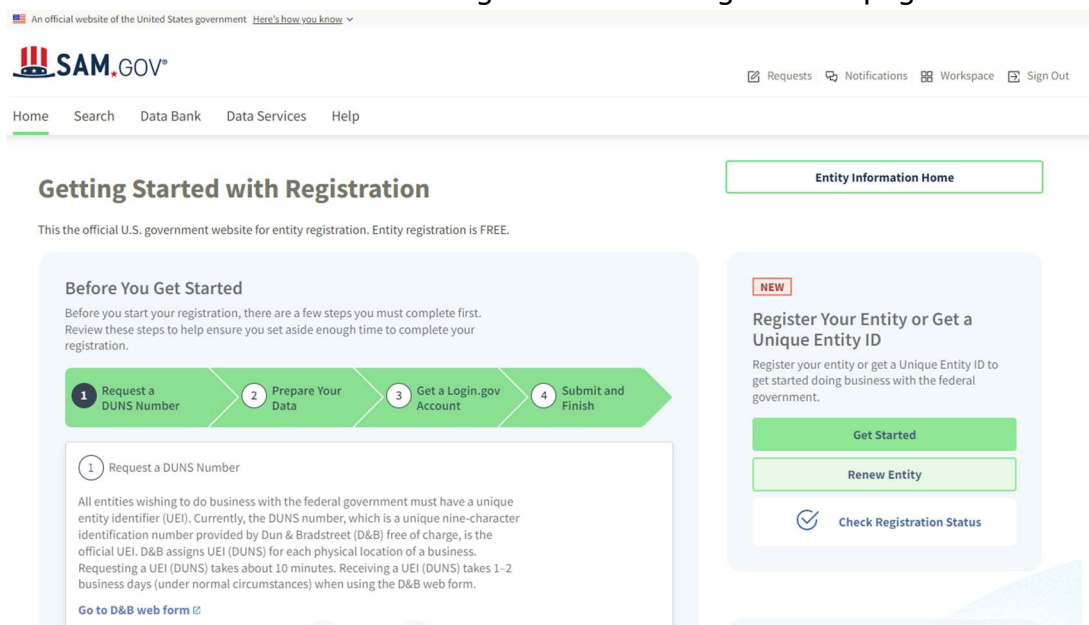
- Click the validation link in the email that contains the activation code within 48 hours to activate your user account. If the email link is not hyperlinked (i.e., underlined or appearing in a different color), please copy the validation link and paste it into the browser address bar. You can now register an entity.

NOTE: Creating a user account does not create a registration in SAM, nor will it update/renew an existing registration in SAM.

- Once you have registered as a user, you can get an Unique Entity ID by selecting the “Get Started” button on the SAM.gov home page.



- Select “Get Started” on the Getting Started with Registration page.



- Select “Get Unique Entity ID” on the Get Started page.

< Entity Management

Get Started

Register Entity

An entity registration allows you to bid on government contracts and apply for federal assistance. As part of entity registration, we will assign you a Unique Entity ID (SAM).

Comprehensive and current entity information is an essential part of the federal award process. It is important to prepare your information and allow sufficient time to understand and accurately complete your registration. You only need to complete and manage it here to remain eligible for federal awards.


You must renew your registration every 365 days for it to remain active.

[Register Entity](#)

Get Unique Entity ID (SAM)

If you only conduct certain types of transactions, such as reporting as a sub-awardee, you may not need to complete an entity registration. Your entity may only need a Unique Entity Identifier.

You can get a Unique Entity ID (SAM) for your organization without having to complete a full entity registration.

 [Get Unique Entity ID](#)

5. Enter Entity Information.




- a. If you previously had a DUN Number, make sure your Legal Business Name and Physical Address are accurate and match the Entity Information, down to capitalization and punctuation, used for DUNS registration.

6. When you are ready, select “Next”




7. Confirm your company’s information.



- a. On this page you will have the option to restrict the public search of this information. “Allow the selected record to be a public display record.” If you uncheck this box, only you and the federal government users will be able to search and view the entity information and entities like DAI will not be able to independently verify that you have an Unique Entity Identifier (SAM).

 **Allow the selected record to be a public display record.**

If you feel displaying non-sensitive information like your registration status, legal business name and physical address in the search engine results poses a security threat or danger to you or your organization, you can restrict the public viewing of you record in SAM's search engine. However, your non-sensitive registration information remains available under the Freedom of Information Act to those who download the SAM public data file. [Learn more about SAM public search results](#).

Previous Cancel Next

8. When you are ready, select “Next”
9. Once validation is completed, select “Request UEI” to be assigned an Unique Entity ID (SAM). Before requesting your UEI (SAM), you must certify that you are authorized to conduct transactions under penalty of law to reduce the likelihood of unauthorized transactions conducted for the entity.



Request UEI

You have completed validation. Select **Request UEI** to be assigned a Unique Entity ID.

VERIFIED MATCH:

US TEST COMPANY 999 ● Public

DUNS UNIQUE ENTITY ID:
362267515

PHYSICAL ADDRESS
3501 CORPORATE PKWY
CENTER VALLEY, PA 18034
US

Before requesting your UEI, please certify that you are authorized to conduct transactions under penalty of law to reduce the likelihood of unauthorized transactions conducted for my entity. Then select **Request UEI**.

☐ I certify that I am authorized to conduct transactions on behalf of the entity.

Request UEI

10. The Unique Entity ID will be shown on the next page. SAM.gov will send an email confirmation with your Unique Entity ID.



Receive UEI

Congratulations! You have been assigned the following Unique Entity ID.

EH4HG9MLR7Q6

VERIFIED MATCH:

US TEST COMPANY 999 ● Public

DUNS UNIQUE ENTITY ID:
362267515

SAM UNIQUE ENTITY ID:
EH4HG9MLR7Q6

PHYSICAL ADDRESS
3501 CORPORATE PKWY
CENTER VALLEY, PA 18034
US

You have finished getting your Unique Entity ID, select **Done** to return to your workspace.

To continue with registration, select **Continue Registration**.

[Continue Registration](#) [Done](#)

11. If you need to view the Unique Entity ID from SAM in the future or update the organization's information, sign into SAM.gov and go to "Entity Management" widget.

Workspace

Entity Management

What do I need for registration?

[Get Started](#)

Entity Registration



Next Update Due: Due in Next 30 days: **0 Entity Registrations**

Unique Entity ID



System Accounts



Profile



First Name
Last Name



Downloads



Saved Searches



Following

Pending Requests

No pending requests

[See All](#)

Notifications

No available notifications

[See All](#)

Add A New Role

Select on the options below to request a new role. If you need a role that you do not see below, contact an administrator for your organization directly.

Select a Role ▼

GSA

Attachment E

Self Certification for Exemption from Unique Entity ID (SAM) For Subcontractors and Vendors

Legal Business Name:	_____
Physical Address:	_____
Physical City:	_____
Physical Foreign Province (if applicable):	_____
Physical Country:	_____
Signature of Certifier	_____
Full Name of Certifier (Last Name, First/Middle Names):	_____
Title of Certifier:	_____
Date of Certification (mm/dd/yyyy):	_____

The sub-contractor/vendor whose legal business name is provided herein, certifies that we are an organization exempt from obtaining an **Unique Entity ID (SAM)**, as the gross income received from all sources in the previous tax year is under USD \$300,000.

*By submitting this certification, the certifier attests to the accuracy of the representations and certifications contained herein. The certifier understands that s/he and/or the sub-contractor/vendor may be subject to penalties, if s/he misrepresents the sub-contractor/vendor in any of the representations or certifications to the Prime Contractor and/or the US Government.

The sub-contractor/vendor agrees to allow the Prime Contractor and/or the US Government to verify the company name, physical address, or other information provided herein. Certification validity is for one year from the date of certification.