



August 25, 2011

**Subject: Request for Applications (RFA) Number: RFA-520-11-000003
Amendment No. 2**
Project Name: Rural Value Chains Project

Ladies and Gentlemen:

This Amendment No. 2 to subject RFA is hereby issued to make the following changes:

What is USAID Forward and how does it relate to the Rural Value Chains Project? USAID is embracing seven objectives as part of key Agency reforms in order to elevate USAID as a premier development agency. Implementation and Procurement Reform is one of the seven objectives of the USAID Reform Agenda. The goal of implementation and procurement reform is to: embrace our ability to be development entrepreneurs focused on improving how we do business—contracting with and providing grants to more and varied local partners, and creating true partnerships to create the conditions where aid is no longer necessary in the countries where we work. This RFA contributes to the objective of “strengthening local civil society and private sector capacity to improve aid effectiveness and sustainability, by working closely with our implementing partners on capacity building and local grant and contract allocations.” This RFA is therefore a critical cornerstone of USAID efforts to build local capacity in Guatemala.

For more information, please see: <http://forward.usaid.gov/>

1. Closing Time for Application Submission is hereby extended from October 3, 2011 to **November 2, 2011 10 am (Guatemala time)**. Therefore, page 1 of RFA and wherever else it appears, delete “October 3, 2011” and substitute by “November 2, 2011 10 am (Guatemala time)”.

This additional period of time is granted to allow potential applicants to identify and refine their partnerships and alliances to implement the RVCP.

2. Eligibility for this project: This project is restricted to Guatemalan organizations as prime recipients; to be eligible an organization must:

- a. Be a Guatemalan Non-Governmental Organization organized under the laws of Guatemala;
- b. Have its principal place of business in Guatemala;
- c. Be managed by a governing body, the majority of whom are citizens or lawful permanent residents of Guatemala; and
- d. Attach official documentation of their formal legal status as an NGO in Guatemala.

Subsidiaries or external branches of entities organized or located outside Guatemala are not considered “Guatemalan organizations” for the purpose of this RFA and are not eligible to receive an award as prime recipients but would be eligible to receive sub-awards (sub-contracts/subgrants) not to exceed 40% of the total proposed budget.

3. Under Component 4: Expanding Markets and Trade, Unleashing Innovation and Private Sector Investment (Private Aggregator), page 23, delete the entire section:
And substitute by:

“Component 4: Expanding Markets and Trade, Unleashing Innovation and Private Sector Investment (Private Aggregator)”

1. Approach to expanding markets and trade, unleashing innovation and private sector investment

The greater trade openness provided by Guatemala’s free trade agreements – in particular the Central American Free Trade Agreement-Dominican Republic (CAFTA-DR) – presents an opportunity and an incentive to expand and diversify the rural economy. Guatemala’s trade freedom score in 2009 was above average at 78.4, although certain non-tariff barriers remain, including non-transparent administration of regulations, inconsistencies in customs valuation, and infrastructure limitations.¹

In order to take advantage of competitive markets, farmers must further improve their productivity in areas of comparative advantage and ensure the quality of products to meet exacting international market standards, especially food safety. Activities to be funded will link an increased number of small-scale producers to domestic and international markets through individual or organizational training and increase their income as a result of increasing access to better markets and market information. Marketing association/producer groups will assist small-scale farmers with strategic plans, good management practices, business and marketing plans, market studies, strengthened financial systems and controls and access to credit. Farmers will benefit from improved market information systems and timely dissemination of price data as well as seasonal and domestic markets analyses; however, farmers will be educated to make informed production decisions based upon several factors and not ones solely based upon market prices.

In addition to working directly with producer groups, USAID will promote a 3-year pilot activity working with private sector wholesalers (market aggregators) and retailers to help link small-scale farmers to local, regional and international markets through innovative and socially responsible value chains.

¹ Guatemala ranked 110 out of 183 in the 2010 World Bank Doing Business “Ease of Doing Business” indicator.

USAID intends for the recipient, in this instance, to sub-award this pilot activity. This Private Aggregator model is aimed at catalyzing private sector resources and access to markets, while at the same time maintaining agricultural producer power within the supply chain. It is expected that engagement with private sector wholesalers and retailers will stimulate demand for horticulture products and will expand market opportunities for smallholder horticultural producers. The engagement should also be used to facilitate the development of local, regional, and international consumer demand for Guatemalan products. In addition, it is expected that the model would provide jobs –through linkage effects of farm production and marketing-- for those that are not directly engaged or do not have access to the production of horticulture products. Under this private sector aggregator model, USAID also plans to establish an “Innovation and Investment Fund” to co-invest and share the risks with private sector organizations to incentivize investment in, inter alia, small-scale productive infrastructure, such as a packing facility, irrigation systems, cold storage rooms, green houses, and processing, among others, and/or address key value chain and systemic constraints. The purpose of this component is to test how results obtained from this model that expects to catalyze private sector resources, initially in a one-to-one ratio before expanding over the life of the pilot, compares with the current model in the horticulture value chain. This pilot activity would develop the capacity of the Western Highlands region to produce and market **horticulture** products for local, regional and international markets. It is expected that by engaging with the private sector, the demand of horticulture products will increase and will expand market opportunities for smallholder horticultural producers. In addition, it is expected that the model would provide jobs for those that are not engaged or do not have access to the production of horticulture products. If this model that aggregates significant private sector resources proves successful during the pilot phase, USAID plans to expand or replicate and extend it beyond the 3 years.

The sub-award for this component shall be competed based upon sub-applicant’s commitment to reach a lower cost per farmer for lower risk, high end farmers and expand rapidly to higher-risk, low end small holders, the amount of private investment leveraged, and the expected impact of the project in terms of increased rural household (producer and laborer) participation and incomes. However, if the Applicant identifies a private sector entity at the time the Application is submitted, competition of this component is no longer necessary. The model will need to be self-sustaining and long-term. Sub-applicant will work with farmers to build supply by introducing sustainable agricultural practices, increasing productivity and reducing post-harvest losses, while it improves their linkage to the market.

Recipient should contemplate at least \$1.0 million per year from USAID funds for this component and request leverage at the rate of at least 1:1 from interested private sector sub-applicants.

2. Illustrative activities to expanding markets and trade, unleashing innovation and private sector investment

- **Train** association leaders to better understand international market requirements
- **Improve and facilitate** access to timely and accurate market information
- **Facilitate** and catalyze private investment in selected value chains, including contract production, value-added opportunities, fee-for-service operations, productivity-enhancing research, and other opportunities where and as they arise.
- **Invest in innovative approaches** to reduce transaction costs and enable or improve access to markets.
- **Buy down the risks** for developing, testing and/or marketing new services or products, including but not limited to: training and/or technical assistance in safety standards, quality standards, productivity techniques; and/or new financial services.
- **Help establish** a Sanitary and Phytosanitary system that responds to markets requirements in close coordination with the USAID Policy Regulatory Support for Economic Growth Project and USDA's Foreign Agricultural Service and Animal and Plant Health Inspection Service within Guatemala (USDA).
- **Co-Invest in productivity-enhancing or value-added technologies** for value chain and agribusiness development, e.g., small scale irrigation systems, greenhouses, packing plant, cold storage, and coffee processing and storage.
- **Contribute to value chain-related research** to transfer cutting edge scientific, technological and other innovations to producers from an array of global agribusinesses, and that allow associative agribusiness enterprises to capture higher value-added opportunities in domestic and/or international markets.
- **Contribute to Improved Competitiveness of small producers**, through encouraging and facilitating business alliances, joint commercial ventures, and innovative approaches to increase access to and use of private BDS and financial services to expand and improve their operations.
- **Promote Increased Participation in Value Chains**, providing technical assistance, and training to small agricultural producers to become part/members of producers organization (the private aggregator), to improve productivity of associated producers, to improve products quality and meet markets standards.

3. Expected Results from expanding markets and trade, unleashing innovation and private sector investment

- increased private investment in value chain activities;
- expanded rural household participation in value chains;

- expanded availability of new, more productive and/or innovative services; technologies and practices for value chain actors, including women;
- increased adoption of new, more productive and/or innovative services; technologies and practices by value chain actors, including women;
- increased number of formal and informal commercial relationships between value chain actors - sustained over time and including fee-for service and contract production relationships;
- increased competitiveness of the horticulture sector to take advantage of marketing and trade opportunities; increased demand for smallholder production;
- market price information systems available to farmers;
- small export groups exports certified under good agricultural practices and/or food safety standards seals;
- producers have and share power within supply chains;

4. Illustrative Indicators for expanding markets and trade, unleashing innovation and private sector investment Value of new private sector investments in the agriculture sector or food chain leveraged by FTF implementation; Number of public-private partnerships formed as a result of FtF assistance;

- Number of small-scale producers groups participating in the private aggregator model;
- Number of rural households participating in the Private Aggregator model, disaggregated by gender of household head;
- Number of jobs attributed to FTF implementation, under the Private Aggregator, disaggregated by gender;
- Number of women's organizations/associations assisted as a result of USG supported interventions."

4. Section IV.I. Alliance Partners, page 36, delete, *"Interested applicants should take note that while alliance building is encouraged for this program, ultimately, the award of a Cooperative Agreement will be issued to ONE organization. That recipient of the award will then assume all responsibilities, liabilities, and risks associated with the terms of the agreement."*

And substitute by:

"Interested applicants should take note that while alliance building is encouraged for this program, ultimately, the Cooperative Agreement will be issued to ONE lead local recipient per cooperative agreement. The lead local Recipient per cooperative agreement will assume all responsibilities, liabilities, and risks associated with the terms of their agreement on behalf of any of their alliance partners."

5. Delete Section IV.J. Leverage and Beneficiary Cost Sharing (page 36) and Section III.2) COST SHARE AND LEVERAGE (page 49) and substitute by the following:

"Leverage: Leverage is defined as financial and in-kind contributions/investments which enable the achievement of substantial results; it includes resources that third-parties bring to the program *without necessarily providing them directly to the Recipient*; these parties may include joint ventures, commercial partnerships, host government, private foundations, and individuals among others. However, it should not include sales, sales contracts, or purchase agreements. Within these parameters, Applicants are expected to quantify the leverage which will be provided in terms of cash and in-kind contributions.

Private Aggregator leverage: is defined as the leverage required from interested private sector sub-applicants for Component 4. A rate of at least 1:1 is required for this component, which means for each dollar required from USAID contribution, the same amount is required from interested private sector sub-applicants.

Applicants should treat USAID/Guatemala funding as an incentive to leverage funds from alliance partners which in combination can be used to build the foundation for sustained rural economic growth. The Applicant and its alliance partners are expected to provide leverage to help establish sustainable service delivery mechanisms to rural farm and off-farm enterprises.

Cost Sharing: are contributions, including cash in kind that *the Recipient provides directly* to the project. The criteria for Cost Sharing is defined by USAID as funds/contributions that:

- (1) Are verifiable from the recipient's records;
- (2) Are not included as contributions for any other U.S. Government-assisted program;
- (3) Are necessary and reasonable for proper and efficient accomplishment of project objectives;
- (4) Are types of charges that would be allowable under the applicable Federal cost principles;
- (5) Are not paid by the U.S. Government (USG) under another grant or agreement (unless the grant or agreement is authorized by USG law to be used for cost sharing or matching);
- (6) Are provided for in the approved budget when required by USAID; and

If at the end of the funding period the Recipient has expended an amount of non-U.S. Government funds less than the agreed upon amount, the Agreement Officer may apply the difference to reduce the amount of USAID funding for the following funding period, or, may require that the recipient refund the difference to USAID.

SUMMARY OF LEVERAGE AND COST SHARE UNDER THIS PROGRAM

Required

Leverage for Component 4 -Private Aggregator	1:1
Cost Share	5% of USAID contribution

Highly Desirable

Leverage for the entire program	No specific amount"
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6. Annex A to this RFA Amendment 2, includes the list of organizations that participated in the pre-application conference.

7. Annex B to this RFA Amendment 2, includes a list of 70 municipalities in the five targeted departments of the western highlands. These 70 municipalities combine high rates of poverty and malnutrition with economic development potential. USAID/Guatemala considers these 70 municipalities as a "universe" or "pool" of potential municipalities for the RVCP work. Applicants are requested to consider these municipalities carefully when implementing the RVCP program; subject to USAID approval, applicants will not be limited to working only with these 70 municipalities should there be strong economic opportunities in nearby or adjacent municipalities.

All other terms and conditions of the RFA remain without change and in full force.

Sincerely,

Luis A. Rivera
Regional Agreement Officer

Annex A	List of organizations that participated in the RFA pre-application conference
Annex B	List of 70 municipalities



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Annex A

**PRE-APPLICATION MEETING
RURAL VALUE CHAINS**

**RADISSON HOTEL GUATEMALA CITY
THURSDAY, AUGUST 18, 2011**

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**PRE-APPLICATION MEETING
RURAL VALUE CHAINS**

**RADISSON HOTEL GUATEMALA CITY
THURSDAY, AUGUST 18, 2011**

No.	Nombre	Organización	Cargo	E-mail
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127	Jorge Escoto	Tetra Tech ARD Guatemala	Chief of Party	jescoto@ardguatemala.com
128	Sergio Zefarra	Tetra Tech DPK	Project Officer	szefarra@dpkconsulting.com
129	John Chudy	The Manoff Group		jchudy2002@yahoo.com ; mgriffiths@manoffgroup.com
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No.	Nombre	Organización	Cargo	E-mail
135	Hernán Delgado	USAID/HCI	Asesor	hdelgado@urc-chs.com
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FEED THE FUTURE: GEOGRAPHIC FOCUS

	Department	Municipality	Total Population	Percentage Poor population	Percentage Chronic Malnutrition
1	Huehuetenango	San Juan Atitán	13,365	94.6%	91.4%
2	Huehuetenango	San Pedro Necta	26,025	88.9%	66.5%
3	Huehuetenango	Santa Eulalia	30,102	88.8%	74.4%
4	Huehuetenango	San Rafael Independencia	10,830	87.5%	79.2%
5	Huehuetenango	Santa Cruz Barillas	75,987	86.1%	73.2%
6	Huehuetenango	Santiago Chimaltenango	5,811	83.9%	82.1%
7	Huehuetenango	Malacatancito	15,540	74.6%	39.9%
8	Huehuetenango	La Democracia	36,284	70.8%	47.9%
9	Huehuetenango	Jacaltenango	34,397	70.6%	53.6%
10	Huehuetenango	Santa Ana Huista	7,368	63.7%	35.7%
11	Huehuetenango	San Gaspar Ixchil	5,809	97.2%	74.7%
12	Huehuetenango	San Mateo Ixtatán	29,993	91.8%	79.7%
13	Huehuetenango	Chiantla	74,978	77.4%	56.9%
14	Huehuetenango	San Antonio Huista	12,675	63.7%	44.1%
15	Huehuetenango	Todos Santos Cuchumatán	26,118	88.5%	67.4%
16	Huehuetenango	San Miguel Acatán	21,805	91.5%	80.6%
17	Huehuetenango	San Sebastian Huehuetenango	21,198	93.8%	72.2%
18	Huehuetenango	Aguacatán	41,671	81.7%	63.7%
19	Quetzaltenango	Huitán	9,769	85.1%	73.9%
20	Quetzaltenango	Cabricán	19,281	84.0%	69.8%
21	Quetzaltenango	Palestina de los Altos	11,682	78.5%	61.5%
22	Quetzaltenango	Concepción Chiquirichapa	15,912	76.5%	62.6%
23	Quetzaltenango	San Miguel Sigüila	6,506	74.3%	63.7%
24	Quetzaltenango	San Juan Ostuncalco	41,150	72.5%	60.2%
25	Quetzaltenango	San Francisco La Unión	7,403	56.9%	53.3%
26	Quetzaltenango	Sibilia	7,796	35.2%	45.6%
27	Quetzaltenango	San Carlos Sija	28,389	40.9%	41.7%
28	Quetzaltenango	Cajolá	9,868	81.6%	67.8%
29	Quetzaltenango	El Palmar	22,917	77.7%	42.6%
30	Quetzaltenango	Colomba	38,746	69.2%	42.3%
31	Quiche	San Gaspar Chajul	31,780	92.8%	76.7%
32	Quiche	Playa Grande Ixcán	61,448	88.3%	48.2%
33	Quiche	Chicamán	25,280	87.7%	66.9%
34	Quiche	San Miguel Uspantán	41,892	87.6%	65.4%
35	Quiche	Cunén	25,595	87.6%	72.1%
36	Quiche	Santa María Nebaj	53,617	85.5%	78.3%
37	Quiche	Sacapulas	35,706	85.1%	64.7%
38	Quiche	San Juan Cotzal	20,050	83.9%	74.5%
39	Quiche	Chichicastenango	107,193	83.5%	72.4%
40	San Marcos	Tajumulco	41,308	93.3%	69.7%
41	San Marcos	Comitancillo	46,371	90.7%	77.7%
42	San Marcos	Sibinal	13,268	90.0%	69.2%
43	San Marcos	Ixchiguan	20,324	88.5%	66.2%
44	San Marcos	San José Ojetenam	16,541	87.1%	60.9%

	Department	Municipality	Total Population	Percentage Poor population	Percentage Chronic Malnutrition
45	San Marcos	Nuevo Progreso	26,140	84.5%	51.0%
46	San Marcos	La Reforma	14,623	84.4%	54.1%
47	San Marcos	Tacaná	62,620	84.4%	63.2%
48	San Marcos	Sipacapa	14,043	84.0%	61.6%
49	San Marcos	San Lorenzo	9,714	83.5%	52.1%
50	San Marcos	San Jose El Rodeo	14,125	79.8%	42.9%
51	San Marcos	El Quetzal	18,979	79.5%	49.9%
52	San Marcos	Tejutla	27,672	72.0%	52.6%
53	San Marcos	Malacatán	70,834	71.4%	51.0%
54	San Marcos	San Cristobal Cucho	13,928	68.8%	46.2%
55	San Marcos	San Antonio Sacatepéquez	14,658	66.9%	55.6%
56	San Marcos	San Rafael Pie de la Cuesta	13,072	66.5%	38.4%
57	San Marcos	Catarina	24,561	62.1%	38.2%
58	San Marcos	Esquipulas Palo Gordo	8,613	54.6%	46.7%
59	San Marcos	R+C38o Blanco	4,872	53.6%	43.4%
60	San Marcos	San Pedro Sacatepéquez	58,005	53.3%	46.3%
61	San Marcos	Concepción Tutuapa	49,363	92.2%	80.9%
62	San Marcos	San Miguel Ixtahuacan	29,658	86.4%	61.5%
63	San Marcos	San Pablo	36,535	78.3%	50.0%
64	San Marcos	San Marcos	36,325	28.3%	33.7%
65	Totonicapán	Momostenango	87,340	81.2%	74.1%
66	Totonicapán	San Bartolo Aguas Calientes	8,684	77.4%	66.6%
67	Totonicapán	San Cristóbal Totonicapán	30,608	66.1%	62.5%
68	Totonicapán	San Francisco El Alto	45,241	63.7%	66.9%
69	Totonicapán	Totonicapán	96,392	67.1%	65.2%
70	Totonicapán	Santa Lucia La Reforma	13,479	94.5%	67.8%
		TOTAL	1,924,720		

SOURCE:

Total and Poor Population: GUATEMALA, INE, CENSOS 2002: XI DE POBLACION Y VI DE HABITACION
Chronic Malnutrition Rate: MINEDUC/SESAN, Tercer Censo Nacional de Talla (2008)