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Request for Proposal (RFP) Issuance Date: **March 15, 2013**
Deadline for Receipt of Questions: **April 1, 2013 , 17:00 Dakar Local Time**
Responses to Questions/RFP Amendment: **April 8, 2013, 17:00 Dakar Local Time**
RFP Closing Date: **April 29, 2013**
RFP Closing Time: **08:00 Dakar Local Time**

Subject: **RFP No. SOL-685-13-000005**
Resilience and Economic Growth in the Sahel - Accelerated Growth (REGIS-AG)

Dear Prospective Offerors:

The United States Government, represented by the U.S. Agency for International Development (USAID) Senegal Regional Mission (USAID/Senegal) is seeking proposals from qualified organizations interested in providing technical services for the project entitled "Resilience and Economic Growth in the Sahel - Accelerated Growth (REGIS-AG)" as described in the attached solicitation.

This procurement is conducted through full and open competition for which the procedures for "contracting by negotiation, trade-off process", as described in Part 15 of the Federal Acquisition Regulations (FAR), shall apply. All types of organizations are eligible to compete under this RFP.

USAID/Senegal Regional Mission intends to award a cost-plus-fixed-fee (CPFF) completion type contract for a period of five (5) years from the date of award with an estimated costing ranging between $35,000,000 - $40,000,000.

Although an estimated range is provided, Offerors should propose costs that they believe are realistic and reasonable for the work described in their Proposal. The most effective approach for achieving the expected results is encouraged and award will be made to the offeror whose proposal offers the best value to the Government considering technical and cost factors (see Section M).

USAID encourages the participation to the maximum extent possible of small business concerns in this activity as a prime contractor or a subcontractor. In support of Implementation of Procurement Reform (IPR), USAID also encourages proposals that include partnerships or teams (prime and subs) with regional/local partners.

To facilitate a timely response, all questions and requests for clarification concerning this solicitation must be submitted electronically by the due date indicated above to jpcregisag@usaid.gov. If substantive questions are received which affect the response to the solicitation, or if changes are made to the closing date and time, as well as other aspects of the RFP, this solicitation will be amended. The amendments made will be issued and posted on the Federal Business Opportunities (FBO) website (http://www.fbo.gov). Offerors are strongly encouraged to check the FBO website periodically as acknowledgement of any such amendments is required to accompany the Offeror's proposal.

When submitting questions and requests for clarification, please make reference to the specific RFP as follows: **Subject: SOL-685-13-000005 REGIS-AG Project**
Reference: SOL Section ___, paragraph ___, page ___

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It is the responsibility of the recipient of this solicitation to ensure that the RFP has been downloaded and received in its entirety, including subsequent solicitation amendments, if any. USAID/Senegal Regional Mission bears no responsibility for data errors resulting from download, transmission, or conversion processes. Furthermore, Offerors are advised to read the solicitation carefully. Block 12 of Standard Form 33 of this RFP requires that offers remain valid for 180 calendar days from the closing date.

Proposal Due Date:

Proposals are due on **April 29, 2013 by 08:00** (Dakar local time). Late proposals will not be accepted. **Only electronic submission** will be accepted for receipt of this solicitation. Faxes are also not acceptable.

All questions and request for clarification must be received by April 1, 2013 not later than 17:00 (Dakar local time) and must be sent to the following email address: jpcregisag@usaid.gov. **Offerors must NOT submit questions to any other USAID staff, including the technical office.**

Proposals shall be submitted as follows: (see Section L.3 of solicitation)
An electronic copy of the technical proposal in Microsoft Word and cost proposal in Microsoft Excel with workable calculations shown in the spreadsheet and an electronic version of the narrative discussing the costs for each budget line, must be submitted to the following email address:

Email address: jpcregisag@usaid.gov.

The subject line for every email must be formatted as follows:

Resilience and Economic Growth in the Sahel (REGIS-AG) Activity RFP SOL- 685-13-000005
Offeror's name **TECHNICAL proposal** EMAIL: **1 of XX**

Resilience and Economic Growth in the Sahel (REGIS-AG) Activity RFP SOL- 685-13-000005
Offeror's name **COST proposal** EMAIL: **1 of XX**

Offerors are also instructed to pay careful attention to Section K – "Representations, Certifications and Other Statements of Offerors" of the RFP. Offerors must comply with FAR 52.204-7, Central Contractor Registration (CCR) website at https://www.sam.gov/portal/public/SAM/, and complete the annual representations and certifications electronically via the Online Representations and Certifications Application (ORCA) website (http://orca.bpn.gov).

Issuance of this solicitation does not in any way obligate the U.S. Government to award a contract nor does it commit to pay for any costs incurred by the offeror in the preparation and submission of a proposal. Award will be subject to funds availability following the proper completion of required USAID internal processes and other internal USAID approvals.

Sincerely,

Beatrice M. Condé
Regional Contracting Officer
USAID/Senegal

Attachment: REGIS-AG RFP SOL-685-13-000005

SOLICITATION, OFFER AND AWARD	1. THIS CONTRACT IS A RATED ORDER UNDER DPAS (15 CFR 700) →	RATING	PAGE 1	OF PAGES 150

2. CONTRACT NUMBER	3. SOLICITATION NUMBER SOL-685-13-000005	4. TYPE OF SOLICITATION ☐ SEALED BID (IFB) ☒ NEGOTIATED (RFP)	5. DATE ISSUED	6. REQUISITION/PURCHASE NO.

7. ISSUED BY CODE	8. ADDRESS OFFER TO *(if other than Item 7)*
USAID/Senegal - Regional Acquisition and Assistance Office American Embassy, Route des Almadies BP 49 - Dakar, Senegal	

NOTE: In sealed bid solicitations "offer" and "offeror" mean "bid" and "bidder".

SOLICITATION

9. Sealed offers in original and _______ copies for furnishing the supplies or services in the Schedule will be received at the place specified in Item 8, or if handcarried, in the depository located in ______________ until ______ local time ______ *(Hour)* *(Date)*

CAUTION - LATE Submissions, Modifications, and Withdrawals. See Section L, *Provision No.* 52.214-7 or 52.216-1. All offers are subject to all terms and conditions contained in this solicitation.

10. FOR INFORMATION CALL: →	A. NAME	B. TELEPHONE *(NO COLLECT CALLS)* AREA CODE / NUMBER / EXT.	C. E-MAIL ADDRESS
			jpcregisag@usaid.gov

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OFFER *(Must be fully completed by offeror)*

NOTE: Item 12 does not apply if the solicitation includes the provisions at 52.214-16, Minimum Bid Acceptance Period.

12. In compliance with the above, the undersigned agrees, if this offer is accepted within ______ calendar days *(60 calendar days unless a different period is inserted by the offeror)* from the date for receipt of offers specified above, to furnish any or all items upon which prices are offered at the price set opposite each item, delivered at the designated point(s), within the time specified in the schedule.

13. DISCOUNT FOR PROMPT PAYMENT *(See Section I, Clause No. 52.232-8)* →	10 CALENDAR DAYS (%)	20 CALENDAR DAYS (%)	30 CALENDAR DAYS (%)	CALENDAR DAYS %

14. ACKNOWLEDGMENT OF AMENDMENTS *(The offeror acknowledges receipt of amendments to the SOLICITATION for offerors and related documents numbered and dated):*	AMENDMENT NO.	DATE	AMENDMENT NO.	DATE

15A. NAME AND ADDRESS OF OFFEROR	CODE	FACILITY	16. NAME AND TITLE OF PERSON AUTHORIZED TO SIGN OFFER *(Type or print)*

15B. TELEPHONE NUMBER AREA CODE / NUMBER / EXT.	☐ 15C. CHECK IF REMITTANCE ADDRESS IS DIFFERENT FROM ABOVE. ENTER SUCH ADDRESS IN SCHEDULE.	17. SIGNATURE	18. OFFER DATE

AWARD *(To be completed by Government)*

19. ACCEPTED AS TO ITEMS NUMBERED	20. AMOUNT	21. ACCOUNTING AND APPROPRIATION

22. AUTHORITY FOR USING OTHER THAN FULL AND OPEN COMPETITION: ☐ 10 U.S.C. 2304(c) ( ) ☐ 41 U.S.C. 253(c) ( )	23. SUBMIT INVOICES TO ADDRESS SHOWN IN *(4 copies unless otherwise specified)* – >	ITEM

24. ADMINISTERED BY *(If other than item 7)* CODE	25. PAYMENT WILL BE MADE BY CODE
	USAID/Senegal, Financial Management Office

26. NAME OF CONTRACTING OFFICER *(Type or print)*	27. UNITED STATES OF AMERICA	28. AWARD DATE
Beatrice M. Condé, Regional Contracting and Agreement Officer	*(Signature of Contracting Officer)*	

IMPORTANT - Award will be made on this Form, or on Standard Form 26, or by other authorized official written notice.

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Previous edition is unusable

STANDARD FORM 33 (REV. 9-97)
Prescribed by GSA - FAR (48 CFR) 53.214(c)

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PART I – THE SCHEDULE
SECTION B - SERVICES AND PRICE/COSTS

B.1. PURPOSE

The purpose of this contract is to provide technical assistance and services as described in detail in Section C - Statement of Objectives for the implementation of USAID/Senegal Regional Mission's "Resilience and Economic Growth in the Sahel - Accelerated Growth" (REGIS-AG) Project.

B.2. CONTRACT TYPE

This is a cost-plus-fixed-fee (CPFF) completion-type contract. For the consideration set forth below, the Contractor shall achieve the performance objectives and deliverables or outputs described in the Statement of Work located in Section C in accordance with the performance standards specified herein.

B.3. ESTIMATED COST, FIXED FEE, AND OBLIGATED AMOUNT

(a) For the five-year contract period, the estimated cost for the performance of the work required hereunder, exclusive of fixed fee, is $ **TBD** . The fixed fee, for the contract period is $ **TBD.** The total estimated cost plus fixed fee is $ **TBD** .

(b) Within the estimated cost plus fixed fee specified in paragraph (a) above, the amount currently obligated and available for reimbursement of allowable costs incurred by the Contractor (and payment of fee) for performance of the contract period hereunder is $**TBD**. The Contractor must not exceed the aforesaid obligated amount unless authorized by the Contracting Officer pursuant to the clause of this contract entitled "Limitation of Funds" (FAR 52.232-22).

(c) Funds obligated hereunder are anticipated to be sufficient through **TBD**.

B.4. CONTRACT BUDGET AND TOTAL PRICE

(a) The contract budget found herein is based on the contractor's original proposal and/or final proposal revision, which was accepted by USAID through award of this contract.

(b) Without the prior written approval of the Contracting Officer, the Contractor may not exceed the total estimated costs set forth in the budget hereunder or the total obligated amount, whichever is less.

(c) The following itemized budget sets forth the estimates for reimbursement of dollar costs for individual line items of cost, and the fixed fee.

LINE ITEMS

Item	CLIN	Year 1	Year 2	Year 3	Year 4	Year 5	TOTAL
Direct Costs	**1**						
Indirect Costs	**2**						
Fixed Fee	**3**						
Total Estimated Costs Plus Fixed Fee							

B.5. INDIRECT COSTS

The contract clause entitled “Allowable Cost and Payment (June 2011)”, FAR52.216-7, specifies that the indirect cost rates must be established for each of the Contractor’s accounting periods that apply to this contract. Pending establishment of revised provisional or final indirect cost rates, allowable indirect costs must be reimbursed on the basis of the following negotiated provisional or predetermined rates and the appropriate bases:

Description	Rate	Base	Type	Period
		1/	1/	1/
		2/	2/	2/

1/ Base of Application:
Type of Rate:
Period:

2/ Base of Application:
Type of Rate:
Period:

Note: The Contractor is allowed to recover applicable indirect costs (i.e., overhead, G&A, etc.) on other direct costs (ODCs), if it is part of the Contractor’s usual accounting procedures, consistent with FAR Part 31, and Negotiated Indirect Cost Rate Agreement (NICRA). Indirect costs shall not be allowed for local organizations. All costs for local organizations shall be budgeted and billed as direct costs.

B.6. CEILING ON INDIRECT COST RATES

(a) For each of the contractor's accounting periods during the term of this contract, the parties agree as follows:

(1) The distribution base for establishment of final overhead rates is ___________________.

(2) The distribution base for establishment of final G&A rates is ______________________.

(The **offeror** having Government approved rates agreement is to complete, subject to negotiations of the ceiling rates)

(b) The contractor will make no change in its established method of classifying or allocating indirect costs without the prior written approval of the contracting officer.

(c) Reimbursement for indirect costs shall be at final negotiated rates, but not in excess of the following ceiling rates for each fiscal year:

Indirect Cost Type	FY 13	FY 14	FY 15	FY 16	FY 17	FY18
1. ______________	______	______	______	______	______	______
2. ______________	______	______	______	______	______	______
3. ______________	______	______	______	______	______	______

(d) The government shall not be obligated to pay any additional amount on account of indirect costs above the ceiling rates established in the contract. This advance understanding shall not change any monetary ceiling, cost limitation, or obligation established in the contract.

B.7. COST REIMBURSABLE

The US dollar costs allowable must be limited to reasonable, allocable and necessary costs determined in accordance with FAR 31 (Contract Cost Principles), A-21 (Cost Principles for Educational Institutions), A-122 (Cost Principles for Non-Profit Organizations), FAR 52.216-7 (Allowable Cost and Payment), FAR 52.216-8 (Fixed Fee), if applicable, and AIDAR 752.7003 (Documentation for Payment).

B.8. CANCELLATION PROCEDURES

In accordance with FAR 17.106-1(c) Cancelation procedures, all program years except the first are subject to cancellation. The cancellation ceiling shall be established below for years two, three, four and five of the contract.

Cancellation dates for years two, three, four and five are shall be the following:

Contract Year Two: _______ _TBD_______
Contract Year Three: ________TBD_______
Contract Year Four: ________TBD_______
Contract Year Five: ________ TBD_______

Cancellation Ceiling:

This is a CPFF type contract where the contractor is authorized to be reimbursed for all costs which are allowable in accordance with FAR 52.216-7, "Allowable Costs and Payment". Therefore, the contractor will not incur any costs which would have been amortized over the life of the contract should the contract be cancelled in accordance with FAR 52.217-2. Therefore, the cancellation ceiling for each cancellation date is [negotiated amount].

B.9. FIXED FEE - FAR 52.216-8 (JUN 2011)

Fixed Fee Payment. For performing this contract, USAID paying office must pay the Contractor a percentage of the fixed fee that directly corresponds to the percentage of allowable costs being paid as specified in the Schedule.

In the event of discontinuance of the work in accordance with the clause of the contract entitled "Termination (Cost Reimbursement)" (FAR 52.249-6), the fee must be re-determined by mutual agreement equitably to reflect the reduction in the work actually performed. The amount by which such fee is less than, or exceeds, payments previously made on account, the fee must be paid to, or repaid by the Contractor, as applicable.

[END OF SECTION B]

SECTION C - STATEMENT OF OBJECTIVES

RESILIENCE AND ECONOMIC GROWTH IN THE SAHEL ACCELERATED GROWTH (REGIS-AG)

Acronym List

3N - The Government of Niger's Nigeriens Nourish Nigerians
AGIR - Alliance Globale pour l'Initiative Resilience (Global Alliance for Resilience Initiative)
AO - Agreement Officer
AOR - Agreement Officer Representative
ATP/ EATP – Agribusiness and Trade Promotion/Expanded Agribusiness and Trade Promotion
BCC - Behavior Change and Communication
CHW/Vs - Community Health Workers/Volunteers
CILSS - Permanent Interstate Committee for drought control in the Sahel
CLA - Collaborate, Learn and Adapt
CO - Contracting Officer
COR - Contracting Officer Representative
CORAF - West and Central African Council for Agricultural Research and Development
CRS - Catholic Relief Services
DANIDA - Danish International Development Agency
DCA - Development Credit Authority
DFID - United Kingdom Department for International Development
DRR - Disaster risk reduction
EA - Environmental Assessment
ECHO - European Community Humanitarian Aid Office
ECOWAS - The Economic Community Of West African States
EMMP - Environmental Mitigation and Monitoring Plan
ENA - Essential Nutrition Actions
EU - European Union
FAO - Food and Agriculture Organization of the United Nations
FFP - Food for Peace
FMNR - Farmer Managed Natural Regeneration
GAFSP - Global Agriculture and Food Security Program
GAM - Global Acute Malnutrition
GAM - Global acute malnutrition
GPS - Global Position System
ICT - Information and Communication Technologies
IFAD – International Fund for Agricultural Development
IFDC - International Fertilizer Development Center
ISFM - Integrated Soil Fertility Management
LOE – Level of Effort
M&E - Monitoring and Evaluation
MCC - The Millennium Challenge Corporation
MFI - Microfinance Institutions
NGO - Non-Governmental Organization
NRM - Natural Resource Management

OFDA - The Office of U.S. Foreign Disaster Assistance
PD - Program Description
PDEV - Peace through Development Program
PIO - Public International Organization
PMP - Performance Monitoring and Evaluation
PNSR - The Government of Burkina Faso National Program for Rural Sector
PVO - Private Voluntary Organization
REGIS - Resilience and Economic Growth in the Sahel
REGIS-AG - Resilience and Economic Growth in the Sahel Accelerated Growth
REGIS-ER - Resilience and Economic Growth in the Sahel Enhanced Resilience
RFA - Request for Application
RFP - Request for Proposal
SACCO - Savings and Credit Cooperative Organizations
SOM - Soil Organic Matter
SOO - Statement of Objectives
SOW - Statement of Work
TSCTP - Trans-Sahara Counter-Terrorism Partnership
UEMOA- L'Union économique et monétaire ouest-africaine (West African Economic and Monetary Union)
UNFPA- United Nations Population Fund
UNICEF - United Nations Children's Fund
USDA - The US Department of Agriculture
USG – United States Government
VOIP - Voice over IP
WASH - Water, Sanitation and Hygiene
WAWASH - Water Supply, Sanitation and Hygiene Program
WEAI - Women's Empowerment in Agriculture Index
WFP - United Nations World Food Program

C.1. INTRODUCTION

The agro-pastoral and marginal agriculture zones in the Sahel suffer from high levels of poverty, historical (and current) marginalization, water scarcity, weak governance and gender inequality. Against this already challenging backdrop, a complex set of drivers and dynamics have resulted in a large and growing resilience deficit characterized by the inability of people, households, communities, countries and systems to mitigate, adapt to, and recover from shocks and stresses in a manner that reduces chronic vulnerability and facilitates inclusive growth.

Chief among these drivers and dynamics are population pressure, climate change and variability, and a growing reliance by households on markets to meet their food needs. The combination of these dynamics and drivers and the interaction between them has led to increased susceptibility to food price volatility, competition and conflict over resources, land degradation, uncertain production, declining land holdings, households exiting from farming and livestock keeping, declining and variable incomes, divestment of assets, and indebtedness. Population growth rates, upwardly volatile food prices and predicted increases in the frequency and intensity of climatic shocks suggest that, if left unaddressed, the depth and breadth of the already large resilience deficit in these zones will continue to grow at an accelerated pace.

It is within this context that there is now widespread recognition among national governments, regional institutions, the donor community, and humanitarian and development partners that more must be done to enhance the resilience of chronically vulnerable populations in these drought-prone regions. USAID defines *resilience* as the ability of people, households, communities, countries, and systems to mitigate, adapt to, and recover from shocks and stresses in a manner that reduces chronic vulnerability and facilitates inclusive growth.

C.1.1 Rationale for Investing in the Sahel

The rationale for investing in resilience in these targeted zones in the Sahel now is three-fold. First and foremost, continually responding to the symptoms of chronic vulnerability with humanitarian assistance every few years is ineffective and costly in human terms. Humanitarian assistance has saved lives in times of crisis. When timely, it has also protected livelihoods. However, humanitarian assistance is not intended to address chronic vulnerability and, in isolation, has done little to stem the large and growing resilience deficit underlying recurrent drought emergencies in the Sahel.

In the absence of a sustained and coordinated effort to address the underlying causes of chronic vulnerability, acute malnutrition rates (10% to 15%) and child mortality (645,000 per year) remain persistently high even in non-crisis years. An increasing number of households are also being forced to sell productive assets or become indebted in the face of a shock or cumulative stresses, creating a downward spiral that leaves them more vulnerable to shocks and cumulative stresses and less able to take advantage of the next opportunity to climb out of poverty and up the economic ladder. As a result, the number of people in need of external humanitarian assistance during drought episodes continues to grow.

Second, humanitarian assistance is costly in financial terms. Collectively, donors spent over $1 billion in humanitarian assistance in the Sahel in 2012 with the USG alone having spent over $400 million. Conversely, a DFID funded study found that in Kenya, over a 20 year period, every $1 spent on disaster resilience resulted in $2.9 saved in the form of reduced humanitarian spending. This and the human cost noted above, demand a much more balanced portfolio; investing in resilience to reduce chronic vulnerability and the persistent humanitarian assistance needs associated with it and using humanitarian assistance to respond to acute emergency needs.

Third, chronic vulnerability constrains economic growth. This is most evident in terms of productive losses during drought episodes, but applies equally to unattained potential. In turn, constrained economic growth further limits the ability of individuals, households, communities, countries and systems to effectively mitigate, adapt to and recover from shocks and stresses. The result is a macro-level equivalent of the downward spiral described above.

The USG is committed to leveraging both humanitarian and development resources to support these regional and national efforts. The USG is also committed to broader coordination with governments, regional bodies, the international donor community and other development and humanitarian partners.

C.1.2 Overall Contract Objective

The overarching goal of REGIS-AG is to increase the incomes of vulnerable households, including men and women, through the transformation of selected, high-potential value chains. Specifically, REGIS-AG will improve the overall performance and inclusiveness of three product value chains (cowpea, small ruminants, and poultry) and hence increase resilience in the agro-pastoral and marginal agriculture zones of Burkina Faso and Niger. The three value chains selected have high potential for commercially oriented activities and either are or have the potential to be critically important sources of income for both men and women in households across livelihood status groups. Translating improved value chain performance into incomes for vulnerable populations will be achieved through (1) identifying opportunities to improve targeted market systems, and ensuring the poor's ability to access and compete in markets; (2) improving post-production market systems including storage, aggregation, processing, transport, marketing and related services that are poorly developed in many agricultural and livestock value chains and are an important potential source of employment and income; (3) increasing access to inputs and supporting services that will enable men and women in vulnerable households to make the investments needed to participate successfully in promising value chains; (4) increasing access to finance, innovation, and private sector investment which will broaden and deepen markets without distorting them; and (5) improving the enabling environment which will provide incentives and reduce risks for households to invest in new technologies and/or practices.

C.2. BACKGROUND

REGIS-AG is not a stand-alone intervention. It is one of four new and ongoing projects that are operating in the targeted zones of Burkina Faso and Niger. They include:

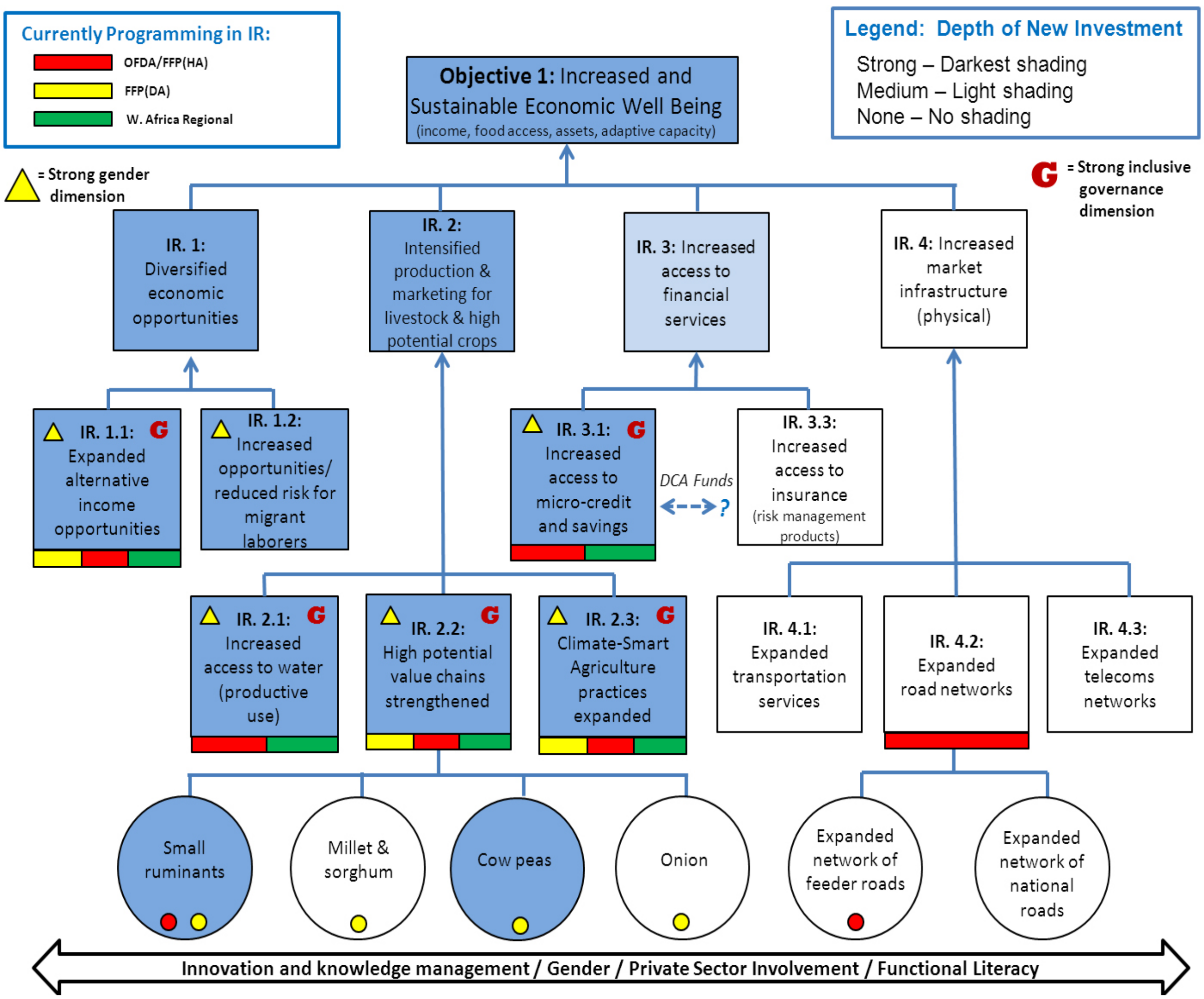
- Food for Peace (FFP) Projects (http://senegal.usaid.gov/en/node/17) (on going)
- The Enhanced Resilience Cooperative Agreement (REGIS-ER) (new)
- The Accelerated Growth (Value Chain) Contract (REGIS-AG) (new)
- A Learning Agenda procurement (new)

The overarching goal of USAID's **Sahel Resilience programs** – through REGIS-AG, REGIS-ER, the Learning Agenda, and Food for Peace (FFP) development investments is to *increase the resilience of chronically vulnerable people, households, communities and systems in targeted agro-pastoral and marginal agriculture livelihood zones in Niger and Burkina Faso.* (See Section J – Attachment 3 for REGIS Theory of Change).

REGIS-AG will work in tandem with REGIS-ER and FFP development programs to achieve its objectives. Concretely, it will foster vibrant cowpeas, small ruminants, and poultry value chains that generate opportunities for those all along the value chain, including small-scale farmers and livestock keepers at the base of the chain, middlemen, traders, transporters, processors, and buyers further down the chain. It will also foster growth, while expanding the depth and breadth of benefits from improved value chain competitiveness. Inclusion will be enhanced by improving market access, the availability and affordability of inputs and services needed to benefit from market participation, and the incentives created by the enabling environment for investing even for those with scarce resources. In the Sahel JPC Strategy Results Framework, the value chain project is a sub, sub-IR contributing to Sub-IR 2.2: High Potential Value Chains Strengthened **(see**

Figure 1 below). See Section J - Attachment 1 for the complete Sahel JPC Strategy Results Framework and Section J - Attachment 6 for a description of Objective 1.

Figure 1



In discussing more how these instruments are inter-related, REGIS-ER and FFP development programs will play the primary role in facilitating production activities that relate to the intensification of livestock and high potential crops, including the contract's focus value chains - cowpeas, small ruminants and poultry. They will also have primary responsibility for facilitating improved horizontal linkages and building the capacity of local producer organization and associations to participate as active stakeholders in viable value chains and improving access to water and enhancing and expanding climate-smart agricultural practices. Finally, REGIS-ER will have primary responsibility for facilitating improved market access and vertical linkages for value chains not addressed by REGIS-AG and will use its focus value chains as a model.

REGIS-AG, on the other hand, will focus on three high potential value chain; cowpeas, small ruminants, and poultry. Its primary role will be improving these value chains for delivery of agricultural inputs and related services for crops and livestock more generally. It will also provide value chain analyses and develop a process to bring together and cultivate linkages between representatives of all levels of the focus value chains. The contractor will need to do a thorough analysis with regard to facilitating linkages within and development of these value chains. It will serve as a model (and partner) for REGIS-ER for non-targeted value chains. See Section J – Attachment 2 for a complete description of how these programs will complement one another.

Finally the Learning Agenda procurement will serve as an instrument to promote effective collaborative performance management between all the projects; for developing, testing and catalyzing widespread adoption of new models; for building capacity of regional institutions in the targeted regions; and for carry out baseline and external evaluation for the efforts.

To help insure the degree of integration required between REGIS-AG and the other projects for the success of the overarching program, collaboration with the recipients of the REGIS-ER project and the Learning Agenda is anticipated. For specific information on collaboration requirements see Section C.5 – Requirements and Expected Results below.

C.3. SCOPE

The overarching goal of REGIS-AG is to increase the incomes of vulnerable households, including men and women, through the transformation of selected, high-potential value chains. Increasing the capacity of value chain actors to respond to current and future opportunities and threats will lead to improved resilience.

C.4. OBJECTIVES

To achieve the aforementioned targets the contractor will complete the following five objectives (see Section J - Attachment 4 for a more thorough description of the Components):

- Identify opportunities through value chain and end-market analysis
- Strengthen vertical and horizontal value chain linkages and relationships in selected value chains
- Strengthen input supply and other supporting services and improve smallholder and agro-pastoralist access to these interconnected markets
- Increase innovation and private-sector investment
- Improve the enabling environment for local and regional private sector investment

The inter-related targets are the following: Income from sheep, goats, poultry and cowpeas increased by 50% among target households, which will, in turn, contribute to reducing the depth of poverty (among the poor) by 20%. There is also a target of reaching 270,000 direct beneficiaries.

C.4.1 Component 1: Identify Opportunities through Value Chain and End-Market Analysis

The contractor shall undertake a detailed value chain analyses in the target value chains (cowpea, small ruminants, poultry, and agricultural and livestock production inputs and related services). Analysis of opportunities begins with understanding the end markets capable of catalyzing upgrading.[1] These opportunities will demand an improved product (e.g. quality) or operations (e.g. efficiency), will often include value addition and will offer returns that incentivize investment in upgrading. Opportunities to upgrade through a series of small riskable steps are particularly important to chronically vulnerable populations. It is important to recognize that these end market and value chain analyses do not start from scratch, but need to fill gaps not covered by existing value chain studies (e.g. : those of FFP projects, the West African Agribusiness and Trade Promotion (ATP/EATP)[2] projects, the Nigeria MARKETS[3] project, and host country "filière" assessments)). It also is important for the value chain analyses and mapping to incorporate gender in assessing the roles and responsibilities of men and women, their access to and control over productive resources (land, labor, and capital), value chain relationships, supporting markets, and the enabling environment. This will help to reveal gender biases in resources and opportunities that may reduce incentives for women to upgrade.

BOX 1. FACILITATION

Facilitation aims to improve the functioning of a system (or systems) and to catalyze systemic change without taking a direct role in the system. Its objective is to ensure sustainability by putting local actors front and center as drivers of change processes with a focus on understanding both the opportunities and constraints that explain why the system functions the way it does. Finally, facilitation aims to achieve greater scale by targeting interventions at catalytic leverage points within systems.
For a briefing paper on "understanding facilitation: http://microlinks.kdid.org/sites/microlinks/files/resource/files/Facilitation_Brief.pdf

Value Chain Analysis

As mentioned above, considerable analysis has already been conducted which focused on target value chains.[4] The contractor will build on these existing studies, while using the value chain framework[5] to identify gaps and ensure a holistic analysis. The synthesis of existing and new analytics that include information on gender dynamics and disparities should begin with asking why the value chain function as it currently does. Moreover, the goal of analytics is to understand and help stakeholders understand, opportunities, potential drivers of change, and obstacles in the system to improved competitiveness, productivity, and broad-based benefits. Project analytics must clarify end-market opportunities through an analysis of market segmentation, competitiveness by segment, demand characteristics, and the potential for growth and inclusiveness[6]. They will also identify intangible and tangible constraints to these end-market opportunities through value chain analysis. Using a facilitation approach (see Box 1 above), this analysis shall be undertaken with and through stakeholders to the greatest extent possible.

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1 See http://microlinks.kdid.org/good-practice-center/value-chain-wiki/tools-end-market-analysis
2 http://www.agribizafrica.org/
3 http://www.nigeriamarkets.org/
4 Some sources include "filière" studies done by host country institutions, value chain analyses done by FFP programs, work on trade within the sub-region done by the ATP/E-ATP project, and work done by MARKETS and other programs on value chains in Nigeria.
5 http://www.unido.org/fileadmin/user_media/Services/Agro-Industries/Pro-poor_value_chain_development_2011.pdf
6 http://www.fao.org/fileadmin/templates/esa/LISFAME/Documents/Ecuador/value_chain_methodology_EN.pdf

C.4.2 Component 2: Strengthen Vertical and Horizontal Value Chain Linkages and Relationships in Selected Value Chains

The strengthening of vertical and horizontal linkages among value chain actors in the selected value chains will improve market access and aggregation functions as well as to address failures in cooperation and/or cases of destructive competition. Firms linked vertically through buying and selling relationships, represent conduits for the transfer of learning, information and technical, financial and business services along the chain. Leverage points in selected value chains and whether they have an appropriate amount of competition, cooperation or trust will need to be identified. Once this is understood, the contractor will work to improve relationships, where appropriate, to drive upgrading.

C.4.3 Component 3: Strengthen Input Supply and Other Supporting Services and Improve Smallholder and Agro-pastoralist Access to these Interconnected Markets

Input and service markets are interconnected, and inefficiencies in one market may be caused by another. Access to quality inputs and supporting services (e.g. business development services, agronomic services, Information and Communication Technologies (ICT), and/or financial services are important to enable agro-pastoral smallholders, traders, processors, and/or buyers to upgrade. The effective and timely delivery of inputs and services is essential to promoting upgrading for men and women all along the value chain, from smallholders to exporters. Gender may be an important factor in access to and delivery of inputs and services given barriers to women's mobility and limited participation in off farm commercial activities. The contract will strengthen input supply and other supporting services and improve access to these interconnected markets where such interventions can have the greatest leverage for driving growth in selected agriculture markets. Value chain competitiveness is often driven by increases in productivity, and under appropriate conditions, use of agricultural and livestock production inputs are a key source of increased productivity.

C.4.4 Component 4: Increasing Access to Finance, Innovation & Private Sector Investment

Although the role of governments in providing goods and services to rural populations waned significantly during the 1980s-90s, the private sector has not stepped up to take over that role. While in some cases, the enabling environment is seen as the major constraint (see C.4.5. Component 5), the private sector in Burkina Faso and Niger remains weak and has limited capacity to invest. Entrepreneurs and bankers consider the risks to outweigh the rewards of investing in the agricultural sector. This component is intended to work with both entrepreneurs and financial institutions to help overcome some of these constraints. Access to financial tools that can serve as a means to share risk with the value chain stakeholders and offer an incentive to financial institutions to provide resources to the relatively risky agricultural sector will be integral to this process.

The contractor, coordinating closely with banks that have active USAID/Development Credit Authority (DCA) loan guarantee programs can possibly manage a number of sub-contracts to unleash innovation and private-sector investment. Sub-contracts could be designed to co-invest with private-sector actors in activities that will catalyze change (upgrading) in the target value chains. The contractor will also actively seek out promising new private sector partners and provide assistance with business plan development and other business development services so that they may access commercial credit and strengthen their organizational capacities. They shall also look to partner with private firms, government agencies, research institutes, SACCOs, NGOs or other local organizations and other donors that are well placed to address key value chain and systemic constraints. The contractor may need to work closely with existing and new DCA guarantees to buy down risks for value chain actors to innovate and/or invest, and on broadening and deepening markets without distorting them, and on creating resilient markets and value chains that benefit the most vulnerable populations in the targeted zones. Finally, the Contractor will design ***an approach to sub-contracting and engagement with the private sector*** that is cost effective. These shall be designed to be responsive to the needs of scaling up investments in technology and REGIS-AG's value chain development activities without creating dependency.

C.4.5 Component 5: Improve the enabling environment for local and regional private sector investment

The contractor shall improve the enabling environment for investing, especially for local investors aiming to take advantage of local and/or regional market opportunities. The contractor could achieve this result by strengthening the advocacy capacity of associations representing private sector actors throughout the target value chains. In addition, by coordinating and linking with activities under REGIS-ER, interventions aimed at promoting the private sector shall help ensure increased investment in value chains important to the livelihoods and resilience of vulnerable populations.

The contractor could also work with value chain stakeholder organizations to strengthen their ability to advocate before decision makers and make persuasive fact-based arguments to support policies favorable to their members. In particular, it may facilitate strengthening value chain stakeholder organizations in advocacy activities, as well as the development of 'white papers' that provide fact-based rationales to support the arguments presented to decision makers. In all such efforts, equity among ethnic and economic groups and gender groups will guide the design of support activities.

C.5. REQUIREMENTS AND EXPECTED RESULTS

C.5.1 Contract Requirements

To achieve its objectives and goal, REGIS-AG should be catalytic and systematic in how it intervenes. To this end and in accordance with U.S. Government development commitments, including the Paris Declaration on Aid Effectiveness, the USAID Forward agenda, and USAID policies, REGIS-AG should integrate the following cross-cutting issues and adhere to the following guiding principles.

Cross-Cutting Issues

Gender **–** Women are key actors in the targeted value chains – on farm production, processing, and storage of cowpeas, raising and finishing small ruminants, and producing poultry -- but their access to inputs, services and markets and receipt of money from sales is largely mediated through men. Identifying gender dynamics and relations in these value chains, as they affect the participation and benefits to men and women, will be key to understanding incentives for upgrading and identifying strategic points of intervention that engage both men and women. The project must pay special attention to the empowerment of women in decisions about cowpea, small ruminant, and poultry production and marketing, access to and use of productive resources (land, water, capital and other inputs), and control over income and time use. Women's leadership in communities will be built upon and strengthened to foster inclusive growth and strong resource management. Systematic monitoring, evaluation, and learning components will generate sex disaggregated data at the household and market levels and incorporate impact evaluations around critical questions related to gender equality and women's empowerment in agro-pastoral social and economic systems. The contractor should specifically indicate how gender issues will be addressed in the technical approach, management, and monitoring, evaluation, and learning. This should include proposing relevant objectives and indicators related to women's empowerment and gender equality.

Water - In agro-pastoral and marginal agriculture livelihood zones of Niger and Burkina Faso there is no hard line between "domestic" and "productive" water sources. People use whatever combination of surface and ground water that are available to meet all of their needs. The contractor should articulate an integrated, community-based approach to the development and governance of multiple use water systems and services that cuts across all three core components of the proposed program.

Climate Change - Chronically vulnerable populations in the livelihood zones targeted depend heavily on natural-resources for their livelihoods. Increasing temperatures and more erratic rainfall patterns associated with climate change are already exacerbating natural resource management challenges. These trends are expected to continue or worsen and maintaining a strong natural resource base and promoting sustainable NRM and agricultural practices in the face of climate variability and change is critical for building and maintaining the resilience of these populations. The use of climate smart agriculture will further provide a foundation upon which to enhance resilience. The contractor should integrate climate change adaptation - including the effective use of climate smart agriculture and climate information – including how to best plan for and manage these changes- as a cross cutting theme and aim. They should also discuss creative, innovative, and holistic approaches to develop and build the capacity of stakeholders to prepare for and manage long-term climate change trends.

Information and Communication Technologies (ICT)-ICT includes Internet access, presence and web-based applications; voice, text and applications on mobile phone networks; radios, stand-alone videos and digital photos; global position system (GPS) location information and combinations of all of these. Given the cross-border character of some of the value chains and hence the inherent geographic distances the value chain will likely span within the region, ICT is an especially important tool to employ, where practical. As part of evaluating potential uses for ICT in selected value chains, the contractor should consider ICT access and affordability as well as fast changing technological and business model innovations.

Guiding Principles

Facilitation – As mentioned in Box 1 above, facilitation aims to improve the functioning of a system (or systems) and to catalyze systemic change without taking a direct role in the system. Its objective is to ensure sustainability by putting local actors front and center as drivers of change processes with a focus on understanding both the opportunities and constraints that explain why the system functions the way it does. Finally, facilitation aims to achieve greater scale by targeting interventions at catalytic leverage points within systems[7].

A Systems Approach - USAID defines resilience as the ability of people, households, communities, countries and *systems* to mitigate, adapt to, and recover from shocks and stresses in a manner that promotes inclusive growth. In line with this, REGIS-AG should adopt a systems approach that recognizes and leverages the interdependence of actors and relationships within and between social, economic, natural resource and other livelihood systems (broadly conceived). This approach should be informed by lessons learned from value chain facilitation, but extended and applied across other systems and all program components.

Focus on the most vulnerable, but engage entire communities (and systems) – The theory of change presented earlier is predicated on the principle that broad-based, inclusive economic opportunities and growth are necessary to improve the resilience of all, targeting the most vulnerable. This principle recognizes that the prospects of the most vulnerable are intimately tied to the prospects of the better off

[7] For a briefing paper on "understanding facilitation":
http://microlinks.kdid.org/sites/microlinks/files/resource/files/Facilitation_Brief.pdf

(and vice versa) - be it in relation to economic opportunities or the ability to rely on social networks in times of need.

Build on what's already working - As described earlier, there are a number of resilient adaptations and innovations already underway that informed the selection of agro-pastoralist and marginal agriculture livelihood zones as target geographies, including FMNR and water harvesting. The scaling up, deepening and expansion of these and other forms of adaptation and innovation also feature centrally in the theory of change. Accordingly, contractors should identify what adaptations and innovations are already underway, how they can be scaled up, deepened and expanded upon, what the barriers are to doing so, and how these can be overcome.

Inclusion through community-driven programming and local capacity building – REGIS-AG should actively engage with communities and other stakeholders - including vulnerable and marginalize groups such as women and youth - to identify and prioritize their needs, contributions, and ideas. This inclusive and participatory process is critical to ensuring solutions are locally owned and fit the local context. In line with this and USAID Forward, REGIS-AG should also prioritize the involvement of local institutions – be they government, private sector or community based. Doing so also demands building the capacity of these institutions.

Box 2. Collaborate, Learn and Adapt (CLA)

CLA facilitates a process for strategic collaboration among partners, systematically generates and captures learning, facilitates the exchange of knowledge, and promotes a learning culture. CLA posits that development efforts yield positive changes more quickly if they are collaborative, test new approaches in a continuous search for improvement and adapt based on what works and what does not work. http://kdid.org/sites/kdid/files/resource/files/Learning%20Thru%20Program%20Cycle%20Intro%20Materials.pdf

Functional Literacy – Given that a large proportion of the target population is illiterate and that women are both overrepresented in this group and critical change agents, REGIS-AG should utilize a functional literacy approach to skills-oriented learning when imparting new skills, technologies, and/or seeking to change behavior. In some cases, this will include basic literacy or numeracy. For example, if the contract is increasing the financial skills of extremely vulnerable households or producer groups, it should include basic numeracy in the approach to building new financial capabilities.

Flexibility learning – REGIS-AG should operate in an inherently dynamic environment and the program should maintain flexibility to be able to respond to new opportunities and changing conditions. This flexibility should be built on the concept of continuous learning and based on the Collaborate, Learn, and Adapt (CLA) approach developed by USAID's Bureau for Program Planning and Learning (USAID/PPL) (See Box 2) . This approach facilitates a process for strategic collaboration among partners, systematically generates and captures learning, facilitates the exchange of knowledge, and promotes a learning culture.

Evidence-based implementation – REGIS-AG should be informed by analytics, including value chain analyses, a gender analysis, and a climate change vulnerability and adaptation assessment. The large body of existing evidence in the academic and grey literature on FMNR, water harvesting, diversification strategies, nutrition, health and other relevant subjects should also inform programming. The references cited in this document and the accompanying annexes provide a starting point in this regard.

Conflict Sensitivity/Do No Harm - The Sahel region faces not only environmental challenges, but also a range of political, social and economic threats including, but not limited to, localized disputes over resources, a history of non-democratic transitions, trafficking in illicit products and extremist organizations. Additionally, the broader West Africa region is one of the most fragile in the world. REGIS-AG should be cognizant of these threats and remain diligent in understanding the impact of their activities on local economies, social networks and livelihoods in order to avoid exacerbating existing or potential future tensions. This requires contextual analysis and focused monitoring efforts and is in line with both humanitarian commitments (Sphere) and US commitments towards engaging in fragile states.

C.5.2 Monitoring & Evaluation Plan Requirements (M&E)

A life-of-contract Monitoring and Evaluation (M&E) Plan serves as the primary vehicle for quality assurance. This will be monitored by the COR.

M&E Plans generally include all required reporting indicators from Section J - Attachment 5, as well as additional indicators to measure resilience impact. They also discuss timeline methodology for baseline collection against expected results and desired outcomes. The learning and adapting approach based on the Collaborate, Learn, and Adapt (CLA) model developed by USAID's Bureau for Program Planning and Learning (USAID/PPL) will also be described. This continuous learning approach generates and captures learning, facilitates the exchange of knowledge, and promotes a learning culture.

C.5.3 Performance Monitoring Plan (PMP) Requirements

A PMP is a component of the M&E Plan which clearly and explicitly aligns with a proposed causal model and the Sahel JPC Strategy Results Framework (see Sahel JPC Strategy Results Framework in Section J - Attachment 1). The PMP will specify indicators, targets, and the methodologies that will allow the successful contractor and USAID to monitor the progress of contract activities towards achieving expected results and targets related to contract objectives and accountability. Measuring specific outputs, outcomes and impacts will facilitate better understanding of which approaches are working under which conditions, and which activities need to be refined or strengthened within each of the respective components of the contract. The PMP, as an effort toward quality assurance, will also allow USAID to gage the contractor's performance and understand any unforeseen changes in strategy to achieve intended results.

C.5.4 Gantt Chart

The purpose of the Gant Chart is to show the timeline of activities for the five years of programming to be undertaken.

C.5.5 Results

Expected Results
The following are expected results linked to their respective Components discussed in Section C.4.

Component 1: Identify Opportunities through Value Chain and End-Market Analysis

- Increased access to end market analytics and information by market players, including women
- Increased ability to use end market information to target market segmentation and access lucrative markets
- Increased participation in markets by all value chain actors
- Reduced disparities between men and women in outcomes related to value chains
- Increased employment or enterprise opportunities in value addition and services for vulnerable populations, including women
- Increased volume and value of domestic and/or export sales (e.g. cowpea, small ruminants, poultry, use of cowpea to fortify porridge used to improve child nutrition, skins, etc.)

- Increased production and marketing of products which target market segments identified in value chain analysis
- Increased volume and value of agricultural and livestock production inputs used by producers in target areas, including finance

Component 2: Strengthen Vertical and Horizontal Value Chain Linkages and Relationships in Selected Value Chains

- Strengthen vertical linkages that connect value chain actors – smallholder farmers or agro-pastoral producers, traders, processors and/or exporters (women and men) to markets while addressing the nature of relationships and transactions (e.g., trust, distribution of benefits, and willingness to cooperate)
- Strengthen the horizontal linkages of smallholder farmers and agro-pastoral producers, traders, processors, and other value chain actors that enable aggregation and facilitate access to markets, inputs and services
- Improved functioning of organizations (associations, federations, networks) that provide an institutional base for horizontal and vertical linkages of value chain actors
- Learning and innovation among stakeholders that leads to improved competitiveness, greater inclusion of smallholder farmers and small firms (women and men) and greater transparency

Component 3: Strengthen Input Supply and Other Supporting Services and Improve Smallholder and Agro-pastoralist Access to these Interconnected Markets

- Improved access to affordable, high quality inputs and supporting services that enable men and women value chain actors, from smallholder agro-pastoralists to traders to processors to exporters, to upgrade
- Improved delivery, in terms of cost effectiveness, timeliness, location of inputs and supporting services that incentivize upgrading and overcome gender barriers that may limit women's access.
- Strengthened input distribution systems that reach women and men smallholder agro-pastoralists
- Improved access to embedded or external financial services (e.g. credit, saving, remittance, insurance, leasing) all along the value chain (men and women) where these services can most effectively enable/incentivize upgrading
- New behaviors that include investment in and use of quality inputs, practices, financial services, new technologies and/or inputs by women and men viewing agriculture as a business
- Increased investment by men and women in upgrading using purchased inputs and services

Component 4: Increasing Access to Finance, Innovation & Private Sector Investment

- Increased private sector investment in new and/or innovative services and technologies to improve productivity and practices of target value chain actors, including women;
- Increased availability of new and/or innovative services and technologies to improve productivity and practices of target value chain actors, including women (e.g. increased processing of cowpea, livestock products, or cereals to improve value addition and employment, and reduce work drudgery)
- Increased adoption of new and/or innovative services and technologies to improve productivity and practices of target value chain actors, including women;
- Improved gross margins per unit (ha, animal) as a result of the use of new and more productive services, technologies and practices
- Increased number of formal and informal commercial relationships between value chain actors - sustained over time and including fee-for service and relationship-based production arrangements.

- New learning on how to promote resilience through value chain development and diversification of livelihoods.

Component 5: Improve the enabling environment for local and regional private sector investment

- Increased voice of the private sector at the policy level
- Improved dispute resolution mechanisms
- Decline in predatory trading practices and rent-seeking behavior
- Increased trust in business relationships (repeat customers, renewed contracts)
- More equitably distributed benefits within value chains
- Increased speed with which innovations spread throughout the agricultural market system

BOX 3. CROSS-BORDER LEARNING

Cross-Border Learning stimulates a form of growth that is uniquely adapted to the region, making maximum use of national and regional resources in both Niger and Burkina Faso. In particular it builds upon the experiences of successful adaptations already underway in one country and exports that expertise to a neighboring country that has a similar development context. Cross-Border Learning activities will lead to new ways of collaboration, a more systematic diffusion of knowledge, and better resource management. And the added-value of such cooperation has a greater overall impact –socially, economically and environmentally – than if undertaken separately.

C.6. PLACE OF PERFORMANCE

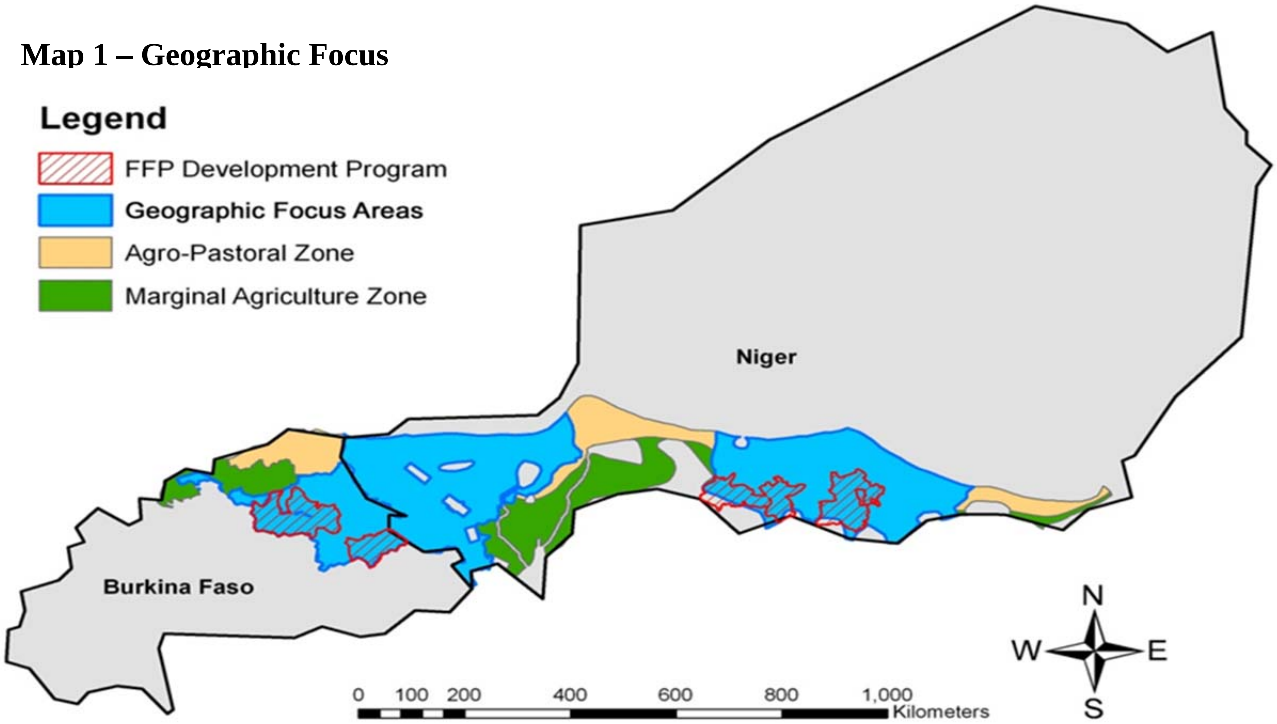
USAID has chosen to focus on Niger and Burkina Faso and to concentrate its new investment in these two geographic zones chosen on the basis of the following criteria:

- *Chronic Vulnerability* – Levels of food insecurity, acute malnutrition and USG humanitarian spending between 2005 and the present as a proxy for persistent humanitarian needs.
- *Comparative Advantage* – The presence of USAID funded humanitarian and development programs upon which this new investment can build.
- *Enabling Environment* – Security conditions, a conducive government partner, demonstrable evidence of resilient and scalable adaptations and innovations, such as Farmer Managed Natural Regeneration (FMNR) and water harvesting already underway.

As a result of applying these criteria at national and sub-national levels, agro-pastoralist and marginal agriculture livelihood zones in Niger and Burkina Faso were prioritized (Map 1 below). Within these targeted zones, Tillabéry, Maradi, and Zinder regions were selected in Niger and Séno, Yagha, Komondjari, Gnagna, Namentenga, Sanmatenga, Bam, and Loroum provinces in Burkina Faso[8]. The geographic continuity in northern Burkina Faso and southwestern Niger is intended to create and expand opportunities for **cross-border learning** (See Box 3 above) and trade. The total population in the target regions and provinces is approximately 11 million people. Reference to Focus Area maps – See Section J and following link: http://senegal.usaid.gov/en/Resilience

[8] In Burkina Faso, the provinces of Oudalan and Soum were not selected due to ongoing security concerns.

Map 1 – Geographic Focus



C.7. COORDINATION WITH HOST COUNTRY COUNTERPARTS AND OTHER IMPLEMENTERS

C.7.1 Strategic Layering, Sequencing and Coordination

A defining feature of USAID's strategy to increase the resilience of chronically vulnerable people, households, communities and systems in targeted agro-pastoral and marginal agriculture livelihood zones in Niger and Burkina Faso is our commitment to strategically layer, sequence and coordinate USAID and other resilience-building investments. A strategically aligned, three tiered strategy is envisioned:

- USAID's Core Partnership for Resilience
- Other USG Programs
- Governments, Regional Institutions, and Other Donors and Partners

C.7.2 USAID's Core Partnership for Resilience

The first tier is USAID's core partnership for resilience. This partnership is comprised of existing Food for Peace development programs in targeted agro-pastoral and marginal agriculture livelihood zones in Niger and Burkina Faso (see Map 1 above) and three new programs; REGIS-AG, REGIS-ER, and the Learning Agenda

Existing FFP development programs in Burkina Faso and Niger will provide a foundation for REGIS-AG. Each is unique in their activities and approaches, but all share the common aim of addressing the underlying causes of chronic malnutrition through economic growth, health, nutrition and capacity building. The programs are:

- ACDI/VOCA/Burkina Faso: Projet Victoire sur la Malnutrition

- CRS/Burkina Faso: Families Achieving Sustainable Outcomes
- CRS/ Niger
- Mercy Corps/Niger: Sawki
- Save the Children/Niger: Livelihoods, Agriculture and Health Interventions in Action

Both REGIS-AG and REGIS-ER efforts begin in communities where FFP development programs are already present and build on and out from these programs. They strategically layer and integrate their programs with one another. Given the overlap in programmatic focus between core partners and the intent to layer core partnership programs down to the community and household level, a high degree of coordination and integration will be required.

C.7.3 Other USG Programs

A second tier of USAID's strategy is the layering, sequencing and coordination of the core partnership for resilience with other USG programs that are in or have the potential to impact REGIS-AG's target geographies. These include humanitarian assistance programs funded by FFP and the Office of U.S. Foreign Disaster Assistance (OFDA), as well as development programs funded by USAID and the USG.

C.7.4 USAID Humanitarian Assistance Programs

USAID FFP and OFDA provide substantial food and non-food humanitarian assistance in the Sahel through WFP, UNICEF and NGO partners. USAID/OFDA also supports national and regional structures to strengthen early warning and response systems, as well as disaster risk reduction (DRR) programs that seek to reduce the risks and effects of acute malnutrition, displacement, and epidemics.

C.7.5 USAID Development Assistance Programs

USAID West Africa funds a number of development programs that either contribute to the resilience of populations in the livelihood zones that will be targeted by both REGIS-ER and REGIS-AG or have the potential to do so. The most relevant among these are:

- The Water Supply, Sanitation and Hygiene Program (WAWASH) which aims to increase sustainable access to safe water and sanitation, and improve hygiene;
- The USAID West Africa Agribusiness and Trade Promotion Program (ATP/ EATP) which aims to increase the value and volume of higher-quality staple foods and assisting value chain stakeholders to increase trade
- The Peace through Development (PDEV) program, USAID's component of the broader USG Trans-Sahara Counter-Terrorism Partnership (TSCTP) which focuses on good governance; youth empowerment and integration; and media and outreach support.

Other USG programs that afford opportunities for strategic coordination include the Millennium Challenge Corporation (MCC), the US Department of Agriculture (USDA), US Embassy funded programs in either/both countries and, in Burkina Faso, the G8 New Alliance for Food Security.

C.7.6 Governments, Regional Institutions, and Other Donors and Partners

The third tier of USAID's strategy is to align and coordinate the efforts of the core partnership and other USG investments with the efforts of national governments, regional institutions, and other donors and partners. Key regional institutions and initiatives include ECOWAS, the Permanent Interstate Committee for drought control in the Sahel (CILSS); the West African Economic and Monetary Union (UEOMA)

West and Central African Council for Agricultural Research and Development (CORAF), and the Ouagadougou Partnership (for family planning). Key donors and partners include the World Bank, the African Development Bank, UNICEF, FAO, WFP, UNFPA, IFAD, ECHO/ EU, DFID, the Swiss Development Agency, DANIDA and the Netherland Cooperation.

The recently established l'Alliance Globale pour l'Initiative Resilience Sahel (AGIR) provides a readymade platform for alignment and coordination of these efforts at the regional and international levels. All donors and development partners will be implementing under the overall umbrella of AGIR and the regional institutions that lead it (ECOWAS, UEMOA). All donors are aligning with the 3N (Nigeriens Nourish Nigeriens) initiative in Niger and the coordination body of the PNSR (National Program of the Rural Sector) in Burkina Faso.

[END OF SECTION C]

SECTION D – PACKAGING AND MARKING

D.1. AIDAR 752.7009 MARKING. (JAN 1993)

(a) It is USAID policy that USAID-financed commodities and shipping containers, and project construction sites and other project locations be suitably marked with the USAID emblem. Shipping containers are also to be marked with the last five digits of the USAID financing document number. As a general rule, marking is not required for raw materials shipped in bulk (such as coal, grain, etc.), or for semi-finished products which are not packaged.

(b) Specific guidance on marking requirements must be obtained prior to procurement of commodities to be shipped, and as early as possible for project construction sites and other project locations. This guidance will be provided through the Contracting Officer's Representative (COR) indicated on this contract, or by the Mission Director in the Cooperating Country to which commodities are being shipped, or in which the project site is located.

(c) Authority to waive marking requirements is vested with the Regional Assistant Administrators, and with Mission Directors.

(d) A copy of any specific marking instructions or waivers from marking requirements is to be sent to the Contracting Officer; the original must be retained by the Contractor.

D.2. BRANDING STRATEGY AND MARKING PLAN

Branding Strategy Implementation and Marking under this contract shall comply with the "USAID Graphics Standards Manual" available at http://www.usaid.gov/branding or any successor branding policy as detailed in ADS 320.3.2 http://www.usaid.gov/policy/ads/300/320.pdf . The offeror shall submit a Branding Implementation Plan (BIP) and a Marking Plan (MP) in accordance with Section L.8 entitled "Instructions for Preparation of the Branding Implementation and Marking Plans".

[END OF SECTION D]

SECTION E – INSPECTION AND ACCEPTANCE

E.1. NOTICE LISTING CONTRACT CLAUSES INCORPORATED BY REFERENCE

The following contract clauses pertinent to this section are hereby incorporated by reference (by Citation Number, Title, and Date) in accordance with the clause at FAR "52.252-2 CLAUSES INCORPORATED BY REFERENCE" in Section I of this contract. See FAR 52.252-2 for an internet address (if specified) for electronic access to the full text of a clause.

FEDERAL ACQUISITION REGULATION (48 CFR Chapter 1)

NUMBER	TITLE	DATE
52.246-3	Inspection of Supplies - Cost-Reimbursement	(MAY 2001)
52.246-5	Inspection of Services - Cost-Reimbursement	(APR 1984)

E.2. INSPECTION AND ACCEPTANCE

USAID inspection and acceptance of services, reports and other required deliverables or outputs shall take place at: TBD or at any other location where the services are performed and reports and deliverables or outputs are produced or submitted. The Contracting Officer Representative (COR) has been delegated authority to inspect and accept all services, reports and required deliverables or outputs. The COR may inspect and accept all services, reports and required deliverables or outputs if specified in the contract:

E.3. CONTRACTOR PERFORMANCE EVALUATION

Evaluation of the Contractor's overall performance will be conducted jointly by the COR and the Contracting Officer, and shall form the basis of the Contractor's permanent performance record with regard to this contract as required in FAR 42.15 and AIDAR 742.15.

During the period of the contract, the USAID COR will conduct periodic performance reviews to monitor the progress of work and the achievement of required results under this Contract. A variety of mechanisms will be used to monitor the progress and success of this award and the Contractor's performance in achieving agreed results.

- Monthly meetings with USAID;
- Review of Contractor's scheduled reports (which include updates to the Work Plan, fiscal expenditures and accruals, progress reports, consultancy reports, etc.);
- Feedback from host government officials, and other counterparts;
- Site visits by USAID personnel;
- Periodic impact assessments/evaluations;
- Regular planning meetings between USAID and the Contractor to finalize annual work plans and/or identify emerging priorities requiring attention;
- Coordinating committee meetings with USAID, the Contractor, the host government officials, and other stakeholders as agreed.

[**END OF SECTION E]**

SECTION F– DELIVERIES OR PERFORMANCE

F.1. NOTICE LISTING CONTRACT CLAUSES INCORPORATED BY REF.

The following contract clauses pertinent to this section are hereby incorporated by reference (by Citation Number, Title, and Date) in accordance with the clause at FAR "52.252-2 CLAUSES INCORPORATED BY REFERENCE" in Section I of this contract. See FAR 52.252-2 for an internet address (if specified) for electronic access to the full text of a clause.

FEDERAL ACQUISITION REGULATION (48 CFR Chapter 1)

NUMBER	TITLE	DATE
52.242-15	Stop-Work Order	(AUG 1989)

F.2. PERIOD OF PERFORMANCE

The period of performance for this contract will be five (5) years starting from the date of award.

F.3. PLACE OF PERFORMANCE

The place of performance will be Burkina Faso and Niger.

F.4. KEY PERSONNEL

The Contractor shall provide the following key personnel at 100% Level of Effort (LOE) for the performance of the REGIS-AG contract:

(*List of the Key Personnel and minimum qualifications.)*

- *Chief of Party – located in Niger*
- *Deputy Chief of Party – located in Burkina Faso*
- *Finance and Operations Manager – Located in Niger*
- *Value Chain Advisor – Located in Niger*

USAID reserves the right to adjust the level of key personnel during the performance of this Contract. The Chief of Party shall be an employee of the prime Contractor rather than the subcontractor. Offerors are encouraged to consider a local-hire or Sahelian as Deputy Chief of Party.

Prior to replacing any of the specified individuals, the Contractor shall immediately notify both the Contracting Officer and the designated COR reasonably in advance and shall submit written justification (including proposed substitutions) in sufficient detail to permit evaluation of the impact on the program. The Contractor shall be responsible for providing such personnel who meet the minimum qualifications herein, for performance at the level agreed upon and for the term required.

Unless specified in writing by the Contracting Officer, no replacement of key personnel shall be made by the Contractor without the written approval of the Contracting Officer.

<u>Minimum Qualifications</u>

<u>Chief of Party</u>

- Demonstrated expertise and at least 10 years professional experience working in livestock or agricultural development programs. Direct experience working in the Sahel is preferable.
- Minimum 5 years of work experience as COP/Senior Program Manager or an equivalent position managing large (at least $5 million), complex livestock and/or agricultural development programs with a value chain growth and resilience focus, preferably within an African context. Experience working in Niger or Burkina Faso strongly preferred.
- Demonstrated effectiveness in strategic thinking and policy analysis and able to dialogue with host country government.
- Demonstrated ability to be collaborative across projects, flexible and creative.
- Required to have oral and written communication and presentations skills in French (tested FSI R4/S4) and English.
- Strong communications and interpersonal skills with evidence of ability to productively interact with a wide range and levels of organizations (government, private sector, NGOs, research institutions).
- A minimum of a Master's degree in a relevant field or a Bachelor's degree in a relevant field with an additional 7 years' experience to the required minimums above.

<u>Deputy Chief of Party</u>

- Demonstrated expertise and at least 8 years professional experience working in livestock or agricultural development programs. Direct experience working in the Sahel is preferable.
- Minimum 5 years of work experience as Deputy Chief of Party, Senior Program Manager or an equivalent position managing large (at least $5 million per year), complex livestock and/or agricultural development programs with a value chain focus, preferably within an African context. Experience working in Niger or Burkina Faso strongly preferred.
- Demonstrated effectiveness in strategic thinking and policy analysis and able to dialogue with host country government.
- Demonstrated ability to be collaborative across projects, flexible and creative.
- Strong communications and interpersonal skills with evidence of ability to productively interact with a wide range and levels of organizations (government, private sector, NGOs, research institutions).
- A minimum of a Master's degree in a relevant field or a Bachelor's degree in a relevant field with an additional 7 years' experience to the required minimums above.
- Required oral and written communication and presentations skills in French (tested FSI R4/S4) and English.

<u>Finance and Operations Manager</u>

- Minimum 10 years of financial management and administration experience for an international development project. Previous Sahel experience preferred.
- S/he should have experience in professional accounting and/or auditing, including at least 3 years work experience with international donor reporting.
- At least 3 years of experience managing sub-grants and sub-contracts, and demonstrated knowledge of applicable regulations related to the oversight of such instruments.
- The Chief Financial Officer should have demonstrable analytical, organizational and written communication skills in English.
- A minimum of a Master's degree in a relevant discipline or a Bachelor's degree in a relevant field with an additional 7 years' experience to the required minimums above in areas such as accounting finance or business administration and applied skills in developing and managing large budgets.
- Required oral and written communication and presentations skills in French (tested FSI R3/S3) and English.

<u>Value Chain Advisor</u>

- Minimum of 10 years of regional/ international experience in economic growth, trade, value chain competitiveness, livestock, agricultural development, and/or food security programs. Preference will be given to those with considerable working experience in agro-pastoral and marginal agriculture areas.
- Demonstrated success in implementing programs aimed at increasing the competitiveness and inclusiveness of value chains using facilitation approaches.
- Demonstrated knowledge of the latest developments in advancing good/best practices in value chain development (i.e., USAID's value chain and facilitation approach) that reaches the women, youth, the poor and very poor, creativity, willingness to innovate, think systemically and design catalytic.
- Required oral and written communication and presentations skills in French (tested FSI R4/S4) and English.
- Demonstrated experience in collaborating across projects.
- Strong background in gender integration and women empowerment.
- A minimum of a Master's degree in a relevant discipline or a Bachelor's degree in a relevant field with an additional 7 years' experience to the required minimum above. Fields of discipline and experience will be from area such as Animal Science/Livestock Development, Veterinary science, Agriculture, Agric. Economics, Agribusiness, and/or Entrepreneurship Development.

F.5. PERFORMANCE STANDARDS

Evaluation of the contractor's overall performance will be in accordance with FAR 42.15, Contractor Performance Information, and corresponding USAID procedures. The Contractor's performance will be evaluated annually and at contract completion, utilizing the performance standards set forth within this contract.

Evaluation of the contractor's overall performance shall be the responsibility of the Contracting Officer, and shall form the basis of the contractor's permanent performance record with regard to this contract.

F.6. REPORTS AND DELIVERABLES OR OUTPUTS

In addition to the requirements set forth for submission of reports by AIDAR 752.242-70, Periodic Progress Report (OCT 2007), the Contractor shall submit the following reports and outputs to the Contracting Officer's Representative (COR) specified in Section G.2.

The contractor shall submit the following outputs to the USAID/Senegal COR or his/her designate. Each of the reports shall be submitted electronically using Microsoft Word, Excel, or PowerPoint software. All reports shall be written in plain, grammatically correct English. All reports are subject to approval by the USAID/Senegal COR. Written reports will be in the form of regular reports (as described below) as well as *ad hoc* written reports for which content and length will be determined jointly by the USAID/Senegal COR and the Contractor.

A. Reports and Deliverables

Deliverable	Delivery Date	USAID Acceptance
General Deliverables		
(1) Monthly Reports The Contractor shall provide a brief bulleted monthly update on project activities that highlights major events or accomplishments. The update shall not exceed two pages. The update will identify current and up-coming consultations/visitors, key activities and events of the previous month, and upcoming activities and events. Accomplishments shall highlight the developmental impact of the program's activities, rather than providing a list of trainings and meetings held.	Monthly updates are due the 1st of every month.	
(2) Quarterly Progress Reports The Contractor shall submit quarterly reports at the end of each calendar quarter, limited to twenty (20) pages. These shall reflect the structure of the annual work plan and the PMP, and address the following points: • Discuss benchmarks and achievements relating progress to indicators and/or impacts achieved to-date as identified in the Contractor's annual monitoring and evaluation plan, as well as reporting on women's empowerment, gender equality and gender-based violence indicators. The report shall identify which achievements were directly attributable to the Contractor's activities and those where the Contractor played a supporting role. This discussion shall be supported by quantitative and qualitative evidence, which will remain auditable under the terms of the contract and USAID program implementation procedures. • Identify key problems or issues encountered, how they were or will be resolved, and, as required, recommended USAID intervention to facilitate their timely resolution; • Present success stories that USAID/Senegal might use in reports to USAID/Washington. • Include a financial table which contains expenses of the reported period, year to date amount and remaining budget line item amount.	The quarterly reports are due the first day of the 2nd month following the end of the quarter (i.e. February 1st, May 1st and August 1st)	USAID shall review and provide comments within 15 calendar days.
(3) Annual Reports The annual reports will consist of both narrative and a quantitative section, reporting against all indicators established in the PMP, as well as addressing the points included above in the quarterly report section. A comprehensive property inventory list is required to be submitted annually.	The annual reports shall be submitted September 1st of each year	USAID shall review & provide comments within 15 calendar days.

(4) Final Report The Contractor shall submit the final report in English and French. The report includes: • An executive summary of the recipient's accomplishments in achieving results and conclusions about areas in need of future assistance; • An overall description of the recipient's activities and attainment of results during the life of the Contract, as well as reporting on women's empowerment, gender equality and gender-based violence indicators; • An assessment of progress made towards accomplishing the Objective and Illustrative Results; • Significance of these activities; • Lessons learned; • Success stories; • Comments and recommendations. • A comprehensive property inventory list is required to be submitted at contract completion. This report should not exceed 100 pages, although annexes may be appended. The final performance report shall be submitted to the COR, and the Contracting Officer. A copy of the final results shall be filed with the Development Experience Clearinghouse at: http://dec.usaid.gov or http://www.DocSubmit@usaid.gov. It is highly recommended that the final report be prepared before the end date of the Contract since additional costs cannot be incurred after the program end date.	30 calendar days prior the completion of the contract the contractor shall submit the draft report. Contractor will have no more than 90 calendar days after the completion date of activities under the Contract to submit a completed Final Report in English and in French.	USAID will have 15 calendar days to respond to the draft.
(5) Geospatial Data Geographic Information System (GIS) data. USAID is required to make nonproprietary geospatial data available to the public. Data shall be consistent with US Federal Geographic Data Committee (FGDC) level 1 metadata standards. USAID is in the process of developing standards and protocols for geospatial related activities. The contractor will be provided a copy of these once they are developed and will be required to abide by them. All spatial and geographic information system activities financed by USG federal funds must comply with: a. OMB Circular A-16, Executive Order 12906; b. Automated Directives System (ADS) 507 (Freedom of Information Act); c. ADS 551 (Data Administration); and	Within 30 calendar days of the end of each fiscal year during the life of the contract.	COR concurrence

d. ADS 557 (Public Information). Therefore, the Contractor shall: a. Document digital spatial data according to Federal Geographic Data Committee (FGDC) Level 1 metadata standards; b. Deliver to USAID digital copies of spatial data with accompanying metadata; and c. Make spatial data available to the public at the cost of reproduction.		
(6) Financial Report Two weeks before the end of each quarter (e.g. mid-December, mid-March, mid-June and mid-September) the Contractor shall submit accruals information to the COR. Financial reports must contain sufficient information on a budget sub-line items basis to review vouchers for approval. USAID will require that activities related to earmarks for Global Climate Change, Global Health Initiative, Feed the Future, Environment, Water and Humanitarian Assistance activities be tracked. **The Contractor must ensure that they attach a budget tracking table by earmark and the associated required indicators located in Attachment J-5 to their financial report on a quarterly basis.** This table shall be submitted to the COR.	2 weeks before the end of each quarter.	
(7) Short-Term Consultant and Technical Reports Upon completion of the services of each short-term consultant, the contractor shall submit a report to the COR summarizing the activities, accomplishments and recommendations of the consultant. This can be either in written or verbal form as determined by the COR. In addition, the contractor shall provide copies of all technical reports including analyses, policy recommendations, comparative studies, etc. to the COR as these are developed.	21 calendar days after completion of the consultancy.	
(8) Ad-Hoc Reports and Other Documentation As required by the COR in writing and based on deadlines established by the COR, the contractor shall submit ad hoc reports as necessary.	21 calendar days after COR's request.	
M&E, PMP and Work Plan Requirements (Please note that the following may require Collaboration with REGIS-ER and/or the Learning Agenda (this collaboration will be in bold)		
(1) M&E Requirements • Initial M&E (covers period from date of award through September 30, 2013) shall be finalized, submitted and include all required reporting indicators from Section J – Attachment 5, as well as additional indicators to measure resilience impact. The contractor should discuss the timeline methodology for	45 calendar days after contract award.	USAID shall review the initial M&E plan and

baseline collection against expected results and desired outcomes. • Annual M&E report **Once all three projects are awarded – M&E Plan shall be done in collaboration with the REGIS-ER recipient and the Learning Agenda contractor.**	October 1st of each year	provide comments within 15 calendar days.
(2) PMP Requirements • The initial PMP (a component of the M&E) shall be finalized and submitted. • Annual PMPs shall specify indicators, targets, and the methodologies that will allow the successful contractor and USAID to monitor the progress of contract activities towards achieving expected results and targets related to contract objectives and accountability. Measuring specific outputs, outcomes and impacts will facilitate better understanding of which approaches are working under which conditions, and which activities need to be refined or strengthened within each of the respective components of the contract. The PMP, as an effort toward quality assurance, will also allow USAID to gage the contractor's performance and understand any unforeseen changes in strategy to achieve intended results. In developing the PMP, the contractor will draw from, but will not be limited to, USAID's list of indicators. For each indicator proposed in the PMP, a brief narrative will include the following: • Data collection methodology • Data reliability and timeliness (i.e., intrinsic data quality) • Indicator validity (i.e., the relationship between the indicator and the desired output or result) Wherever possible and appropriate, the PMP will be presented in tabular and/or graphical forms that portray progress over time, affording an executive audience an immediate sense of progress or the lack thereof. • A baseline shall be completed by the Contractor at the beginning of the project.	45 calendar days after contract award October 1st of each year 120 calendar days after contract award.	USAID shall review the initial PMP and provide comments within 15 calendar days.
(3) Annual Work Plan The contractor shall submit annual work plans both individually and with the selected REGIS-ER recipient, as follows:	The draft individual Annual Work Plan for year one will be submitted within 45	USAID shall review the draft individual annual work plan and

Annual: The Annual Work Plan will form the basis for activities to be initiated in each year of the contract. For the purpose of the Annual Work Plan, "Annual" is defined according to the U.S. Government fiscal year: i.e. October 1st to September 30th. The contractor for REGIS-AG and the recipient for REGIS-ER shall each submit an individual Work Plan. **Given the interwoven nature of the two projects, the two partners, REGIS-AG and REGIS-ER, will also develop a consolidated Work Plan that demonstrates synergies and joint planning amongst the two partners each year.** **The COR for REGIS-AG and the AOR for REGIS-ER will collaborate with the contractor in determining appropriate activities for each year, which will be jointly planned with the selected value chain contract services that should be integrated into the work above. The COR will review and approve the consolidated REGIS-AG Annual Work Plans.** Modifications that respond to changed conditions may be made; however, major modifications to each Annual Work Plan such as items affecting the price, main timeline, or scope, are subject to the approval of the COR and CO. The Annual Work Plans will provide a detailed description, schedule, and expected results for activities in support of each component under the scope. Following review and comment by USAID, the contractor shall prepare a Final Work Plan for each year.	calendar days after the contract start date. Annual Work Plans for subsequent years shall be submitted no later than September 1st of each year. Within 30 calendar days of individual work plan approval the contractor will work with REGIS-ER to establish a collaborative work plan showing the linkages between the two projects work plans. If the REGIS-ER award has not yet been made, then within 30 calendar days of the approval of the REGIS-ER project work plan, the contract and REGIS-ER will put together a collaborative work plan.	provide comments within 15 calendar days after receipt. The contractor shall submit a final Annual Work Plan no later than 15 calendar days after receipt of comments from USAID.
Specific REGIS-AG Deliverables		
•End-market analysis, including segmentation, competitiveness by segment, demand characteristics, and growth potential. Identify segments with high growth/return potential paying particular attention to opportunities in the sub-region to which target area value chain participants have not yet been linked. •Value chain analysis for target value chains identifying opportunities and constraints, addressing gender where	These requirements should be completed within 150 calendar days of the contract	COR concurrence needed.

appropriate. This should draw both on previous studies and new research as needed to fill gaps. •A five- to ten-year vision of what REGIS-AG expects to achieve in each target value chain •A strategy (that is temporal and includes projected sequencing of interventions) for realizing this vision and a plan for how geographically targeted interventions will be leveraged and scaled up either during the project or in the future to meet REGIS-ER goals. •A gender integration plan that addresses gender biases and constraints along the value chain. •**A learning plan that details an approach to "learning as you go" and integrates real time learning back into the project strategy and program implementation, as well as sharing that learning with the broader REGIS-ER and FFP community. This learning plan should be built on the continuous learning and adjustment as described in the Collaborate, Learn, and Adapt (CLA) approach developed by USAID (See Box 2 under Section C.5.1).**	signing.	

B. Environmental Mitigation and Monitoring Plan (EMMP)

Completed EMMP must be submitted to the Mission Environmental Officer (MEO) (*specified in the contract)* and the format shown below is recommended and might be adapted, as necessary.

The reporting on implementation of the EMMP must be included in the quarterly reporting (i.e. February 1st, May 1st and August 1st) on the program/project implementation.

Environmental Mitigation and Monitoring Plan (EMMP)	
Program/Project/Activity Title:	
Implementing Partner:	
MEO:	Live Of Project:

Activity	Adverse impact(s) to me mitigated	Mitigation measure(s)	Monitoring indicator(s)	Benchmarks / Deadlines	Monitoring and Reporting Frequency	Party (ies) responsible.
List all activities in IEE that received a "negative determination with conditions." *Do not list any other activities.*	Briefly indicate the nature of impacts to be mitigated and the environmental factor affected.	If mitigation measures are well-specified in the IEE, quote directly from IEE If they are not well-specified in the IEE, define more specifically here.	Specify indicators to (1) determine if mitigation is in place and (2) successful. For example, visual inspections for seepage around pit latrine; sedimentation at stream crossings, etc.)	Indicate for each measure/ condition implementation due dates.	For example: "Monitor weekly, and report in quarterly reports. If XXX occurs, immediately inform USAID activity manager."	If appropriate, *separately* specify the parties responsible for mitigation, for monitoring and for reporting.

C. Inventory

Comprehensive property inventory lists are required to be submitted to USAID annually and before contract completion. Such inventory will include:

(1) The name, part number and description, manufacturer, model number, and National Stock Number (if needed for additional item identification tracking and/or disposition);
(2) Quantity received (or fabricated), issued, and balance-on-hand;
(3) Unit acquisition costs;
(4) Unique-item identifier or equivalent (if available and necessary for individual item tracking);
(5) Unit of measure;
(6) Accountable contract number or equivalent code designation;
(7) Location;
(8) Disposition;
(9) Posting reference and date of transaction;
(10) Date placed in service.

Before contract completion, USAID will provide disposition instructions to the Contractor.

D. Close-Out Plan

Six months prior to the completion date of the contract, the Contractor shall submit a close-out plan to the CO and COR. The close-out plan shall include, at a minimum, an illustrative property disposition plan; a plan for phase out of operations; a delivery schedule for all reports or other deliverables required under the contract; and a time line for completing all required actions, including the submission date of the final property disposition to the COR. The close-out plan shall also include a financial report which reflects expenditures to date by program element and projected funds to be de-obligated. The close-out plan shall be approved in writing by the COR.

F.7. ENVIRONMENTAL COMPLIANCE

(a) The Foreign Assistance Act of 1961, as amended, Section 117 requires that the impact of USAID's activities on the environment be considered and that USAID include environmental sustainability as a central consideration in designing and carrying out its development programs. This mandate is codified in Federal Regulations (22 CFR 216) and in USAID's Automated Directives System (ADS) Parts 201.5.10g and 204 (http://www.usaid.gov/policy/ads/200/), which, in part, require that the potential environmental impacts of USAID-financed activities are identified prior to a final decision to proceed and that appropriate environmental safeguards are adopted for all activities. Offeror compliance obligations under these regulations and procedures are specified in the following paragraphs.

(b) In addition, the offeror must comply with host country environmental regulations unless otherwise directed in writing by USAID. In case of conflict between host country and USAID regulations, the latter shall govern.

(c) No activity funded under this Agreement will be implemented unless an environmental threshold determination, as defined by 22 CFR 216, has been reached for that activity, as documented in a Request for Categorical Exclusion (RCE), Initial Environmental Examination (IEE), or Environmental Assessment (EA) duly signed by the Bureau Environmental Officer (BEO). (Hereinafter, such documents are described as "approved Regulation 216 environmental documentation.")

(d) As part of its initial Work Plan, and all Annual Work Plans thereafter, the contractor, in collaboration with the USAID Contract Officer's Representative (COR) and Mission Environmental Officer or Bureau Environmental Officer, as appropriate, shall review all ongoing and planned activities under this Cooperative Agreement to determine if they are within the scope of the approved Regulation 216 environmental documentation.

(e) If the contractor plans any new activities outside the scope of the approved Regulation 216 environmental documentation, it shall prepare an amendment to the documentation for USAID review and approval. No such new activities shall be undertaken prior to receiving written USAID approval of environmental documentation amendments.
(f) Any ongoing activities found to be outside the scope of the approved Regulation 216 environmental documentation shall be halted until an amendment to the documentation is submitted and written approval is received from USAID.

(f) The approved Regulation 216 documentation covers activities expected to be implemented under this Agreement. USAID has determined that a **Negative Determination with conditions** applies to one or more of the proposed activities. This indicates that if these activities are implemented subject to the specified conditions, they are expected to have no significant adverse effect on the environment. The offeror shall be responsible for implementing all IEE conditions pertaining to activities to be funded under this solicitation.

The contractor shall:

1. Unless the approved Regulation 216 documentation contains a complete environmental mitigation and monitoring plan (EMMP) or a project mitigation and monitoring (M&M) plan, the contractor shall prepare an EMMP or M&M Plan describing how the contractor will, in specific terms, implement all IEE and/or EA conditions that apply to proposed project activities within the scope of the award. The EMMP or M&M Plan shall include monitoring the implementation of the conditions and their effectiveness.
2. Integrate a completed EMMP or M&M Plan into the initial work plan.
3. Integrate an EMMP or M&M Plan into subsequent Annual Work Plans, making any necessary adjustments to activity implementation in order to minimize adverse impacts to the environment.

Cost and technical proposals must reflect approved Regulation 216 documentation preparation costs and approaches. Applicants should ensure that they budget for requirements such as required testing of water quality. Please refer to the Environmental Guidelines for Small-Scale Activities in Africa (http://www.encapafrica.org/egssaa.htm) for more detailed information on these requirements.

The contractor will be expected to comply with all conditions specified in the approved Regulation 216 documentation.

F.8. AIDAR 752.242-70 PERIODIC PROGRESS REPORTS (OCT 2007)

(a) The contractor must prepare and submit progress reports as specified in the contract schedule. These reports are separate from the interim and final performance evaluation reports prepared by USAID in accordance with FAR 42.15 and internal Agency procedures, but they may be used by USAID personnel or their authorized representatives when evaluating the contractor's performance.

(b) During any delay in furnishing a progress report required under this contract, the Contracting Officer may withhold from payment an amount not to exceed US$25,000 (or local currency equivalent) or 5 percent of the amount of this contract, whichever is less, until such time as the contractor submits the report or the Contracting Officer determines that the delay no longer has a detrimental effect on the Government's ability to monitor the contractor's progress.

F.9. PROJECT EVALUATION

The contract will be externally evaluated twice during the period of contract. Under a separate mechanism, USAID/Senegal Regional Mission expects to conduct an external mid-term and final evaluation scheduled near the end of the third and fifth years of the contract. The focus of the evaluation will be to assess the achievements of the project versus the stated objectives and goals, to identify which elements of the project had the most significant impact and which did not, and which aspects of project design need to be considered for continuation under future possible projects. The contractor may be requested to provide input into the evaluation and must be prepared to collaborate in the implementation of the evaluation.

F.10. LANGUAGE OF REPORTS AND OTHER OUTPUTS

All reports and other outputs shall be in the English language, unless otherwise specified. See also **Section H.8** AIDAR 752.211-70, Language and Measurement (June 1992), which is incorporated into this contract.

F.11. AIDAR 752.7005, SUBMISSION REQUIREMENTS FOR DEVELOPMENT EXPERIENCE DOCUMENTS (JAN 2004)

(a) Contract Reports and Information/Intellectual Products.

(1) The Contractor shall submit to USAID's Development Experience Clearinghouse (DEC) copies of reports and information products which describe, communicate or organize program/project development assistance activities, methods, technologies, management, research, results and experience as outlined in the Agency's ADS Chapter 540. Information may be obtained from the Contracting Officer Representative (COR). These reports include: assessments, evaluations, studies, development experience documents, technical reports and annual reports. The Contractor shall also submit to copies of information products including training materials, publications, databases, computer software programs, videos and other intellectual deliverable materials required under the Contract Schedule. Time-sensitive materials such as newsletters, brochures, bulletins or periodic reports covering periods of less than a year are not to be submitted.

(2) Upon contract completion, the contractor shall submit to DEC an index of all reports and information/intellectual products referenced in paragraph (a)(1) of this clause.

(b) Submission requirements.

(1) Distribution.

- (i) At the same time submission is made to the COR, the contractor shall submit, one copy each, of contract reports and information/intellectual products (referenced in paragraph (a)(1) of this clause) in either electronic (preferred) or paper form to one of the following: (A) Via E-mail: docsubmit@dec.cdie.org; (B) Via U.S. Postal Service: Development Experience Clearinghouse, 8403 Colesville Road, Suite 210, Silver Spring, MD 20910, USA; (C) Via Fax: (301) 588-7787; or (D) Online: http://www.dec.org/index.cfm?fuseaction=docSubmit.home
- (ii) The contractor shall submit the reports index referenced in paragraph (a)(2) of this clause and any reports referenced in paragraph (a)(1) of this clause that have not been previously submitted to DEC, within 30 days after completion of the contract to one of the address cited in paragraph (b)(1)(i) of this clause.

(2) Format.

- (i) Descriptive information is required for all Contractor products submitted. The title page of all reports and information products shall include the contract number(s), contractor name(s), name of the USAID cognizant technical office, the publication or issuance date of the document, document title, author name(s), and strategic objective or activity title and associated number. In addition, all materials submitted in accordance with this clause shall have attached on a separate cover sheet the name, organization, address, telephone number, fax number, and Internet address of the submitting party.
- (ii) The report in paper form shall be prepared using non-glossy paper (preferably recycled and white or off-white) using black ink. Elaborate art work, multicolor printing and expensive bindings are not to be used. Whenever possible, pages shall be printed on both sides.
- (iii) The electronic document submitted shall consist of only one electronic file which comprises the complete and final equivalent of the paper copy
- (iv) Acceptable software formats for electronic documents include WordPerfect, Microsoft Word, and Portable Document Format (PDF). Submission in PDF is encouraged.

(v) The electronic document submission shall include the following descriptive information:

(A) Name and version of the application software used to create the file, e.g., WordPerfect Version 9.0 or Acrobat Version 5.0.
(B) The format for any graphic and/or image file submitted, e.g., TIFF-compatible.
(C) Any other necessary information, e.g. special backup or data compression routines, software used for storing/retrieving submitted data, or program installation instructions.

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[END OF SECTION F]

SECTION G - CONTRACT ADMINISTRATION DATA

G.1. CONTRACTING OFFICER'S AUTHORITY

The Contracting Officer is the only person authorized to make or approve any changes in the requirements of this contract and notwithstanding any provisions contained elsewhere in this Contract, the said authority remains solely in the Contracting Officer. In the event the Contractor makes any changes at the direction of any person other than the Contracting Officer, the change shall be considered to have been made without authority and no adjustment shall be made in the contract terms and conditions, including price.

G.2. CONTRACTING OFFICER'S REPRESENTATIVE

The Contracting Officer's Representative (COR) will be appointed by the Contracting Officer through a separate COR designation letter, a copy of which will be provided to the contractor. The COR will be located in the USAID Senegal Regional Mission.

However, the Activity Managers will be located in Burkina Faso and Niger at the following addresses:

BURKINA FASO	NIGER
American Embassy in Burkina Faso Ouagadougou, Burkina Faso Rue 15.873 Avenue Sembène Ousmane	American Embassy in Niger Rue des Ambassades BP 11201 Niamey, Niger

G.3. TECHNICAL DIRECTIONS/RELATIONSHIP WITH USAID

(a) Technical directions are defined to include:

(1) Written directions to the contractor which fill in details, suggest possible lines of inquiry, or otherwise facilitate completion of work;

(2) Provision of written information to the contractor which assists in the interpretation of drawings, specifications, or technical portions of the work statement;

(3) Review and, where required, provide written approval of technical reports, drawings, specifications, or technical information to be delivered. Technical directions must be in writing, and must be within the scope of the work as detailed in Section C.

(b) The COR is authorized by designation to take any or all action with respect to the following which could lawfully be taken by the Contracting Officer, except any action specifically prohibited by the terms of this contract:

(1) Assure that the Contractor performs the technical requirements of the contract in accordance with the contract terms, conditions, and specifications.

(2) Perform or cause to be performed, inspections necessary in connection with a) above and require the Contractor to correct all deficiencies; perform acceptance for the Government.

(3) Maintain all liaison and direct communications with the contractor. Written communications with the Contractor and documents shall be signed as "COR" with a copy furnished to the Contracting Officer.

(4) Issue written interpretations of technical requirements of Government drawings, designs, and specifications.

(5) Monitor the contractor's production or performance progress and notify the contractor in writing of deficiencies observed during surveillance, and direct appropriate action to effect correction. Record and report to the Contracting Officer incidents of faulty or nonconforming work, delays or problems.

(6) Obtain necessary security clearance and appropriate identification if access to government facilities is required. If to be provided, ensure that government furnished property is available when required.

LIMITATIONS: The COR is not empowered to award, agree to, or sign any contract (including delivery or purchase orders) or modifications thereto, or in any way to obligate the payment of money by the Government. The COR may not take any action which may impact on the contract schedule, funds, scope or rate of utilization of LOE. All contractual agreements, commitments, or modifications which involve prices, quantities, quality, and schedules shall be made only by the Contracting Officer.

(c) The COR is required to meet annually with the contractor and the Contracting Officer concerning performance of items delivered under this contract and any other administration or technical issues. Telephonic reports may be made if no problems are being experienced. Problem areas shall be brought to the immediate attention of the Contracting Officer.

(d) In the absence of the designated COR, the Contracting Officer may designate someone to serve as COR in their place. However, such action to direct an individual to act in the COR's stead shall immediately be communicated to the contractor.

(e) Contractual Problems - Contractual problems, of any nature, that may arise during the life of the contract must be handled in conformance with specific public laws and regulations (i.e., Federal Acquisition Regulation and Agency for International Development Acquisition Regulation). The contractor and the COR shall bring all contracting problems to the immediate attention of the Contracting Officer. Only the Contracting Officer is authorized to formally resolve such problems. The Contracting Officer will be responsible for resolving legal issues, determining contract scope and interpreting contract terms and conditions. The Contracting Officer is the sole authority authorized to approve changes in any of the requirements under this contract. Notwithstanding any clause contained elsewhere in this contract, the said authority remains solely with the Contracting Officer. These changes include, but will not be limited to the following areas: scope of work, price, quantity, technical specifications, delivery schedules, and contract terms and conditions. In the event the contractor effects any changes at the direction of any other person other than the Contracting Officer, the change will be considered to have been made without authority.

(f) Failure by the contractor to notify the administrative Contracting Officer any action by the government considered to a change in writing promptly, within 7 calendar days from the date that the contractor identifies any government conduct (including actions, inactions, and written or oral communications) that the contractor regards as a change to the contract terms and conditions, shall waive the contractor’s right to any claims for equitable adjustments as found in FAR 52.243-7, Notification of Changes, which is a clause of this contract.

G.4. AIDAR 752.7003 DOCUMENTATION FOR PAYMENT (NOV 1998)

(a) Claims for reimbursement or payment under this contract must be submitted to the paying office indicated in the schedule of this contract. The COR is the authorized representative of the government to approve vouchers under this contract. The contractor must submit either paper or fax versions of the SF-1034, Public Voucher for Purchases and Services Other Than Personal. Each voucher shall be identified by the appropriate USAID contract number, in the amount of dollar expenditures made during the period covered.

(1) The SF 1034 provides space to report by line item for products or services provided. The form provides for the information to be reported with the following elements:

Total Expenditures
(Document Number: XXX-X-XX-XXXX-XX)

Line Item	Description	Amt. Vouchered to Date	Amt. Vouchered this Period
0001	Service Desc.	$XXXX.XX	$XXXX.XX
0002	Service Desc.	$XXXX.XX	$XXXX.XX
Total		$XXXX.XX	

(2) The SF-1034 shall be supported with the attached spreadsheet indicating contractor's expenditures broken down by countries and budget categories in accordance with the contract budget. The report shall be supported with the detailed cost breakdown of program expenses, including seminars, grants, roundtables, etc.

(3) The fiscal report shall include the following certification signed by an authorized representative of the Contractor: The undersigned hereby certifies to the best of my knowledge and belief that the fiscal report and any attachments have been prepared from the books and records of the contractor in accordance with the terms of this contract and are correct: the sum claimed under this contract is proper and due, and all the costs of contract performance (except as herewith reported in writing) have been paid, or to the extent allowed under the applicable payment clause, will be paid currently by the contractor when due in the ordinary course of business; the work reflected by these costs has been performed, and the quantities and amounts involved are consistent with the requirements of this contract; all required Contracting Officer approvals have been obtained; and appropriate refund to USAID will be made promptly upon request in the event of disallowance of costs not reimbursable under the terms of this contract.

BY: ____
TITLE: ____
DATE: ____

(b) Local currency payment. The contractor is fully responsible for the proper expenditure and control of local currency, if any, provided under this contract. Local currency will be provided to the Contractor in accordance with written instructions to be provided by the Mission Director. The written instructions will also include accounting, vouchering, and reporting procedures. A copy of the instructions shall be provided to the contractor's Chief of Party and to the Contracting Officer. The costs of bonding personnel responsible for local currency are reimbursable under this contract.

(c) Upon compliance by the Contractor with all the provisions of this contract, acceptance by the government of the work and final report, and a satisfactory accounting by the contractor of all government owned property for which the contractor had custodial responsibility, the government shall promptly pay to the contractor any moneys (dollars or local currency) due under the completion voucher. The government will make suitable reduction for any disallowance or indebtedness by the contractor by applying the proceeds of the voucher first to such deductions and next to any unliquidated balance of advance remaining under this contract.

(d) The Contractor agrees that all approvals of the mission director and the Contracting Officer which are required by the provisions of this contract shall be preserved and made available as part of the contractor's records which are required to be presented and made available by the clause of this contract entitled "Audit and Records--Negotiation".

G.5. PAYING OFFICE

The paying office for this contract is:

(To be added at time of award)

G.6. ACCOUNTING AND APPROPRIATION DATA

(To be added at time of award)

[END OF SECTION G]

SECTION H - SPECIAL CONTRACT REQUIREMENTS

H.1. NOTICE LISTING CONTRACT CLAUSES INCORPORATED BY REF.

The following contract clauses pertinent to this section are hereby incorporated by reference (by Citation Number, Title, and Date) in accordance with the clause at FAR 52.252-2 CLAUSES INCORPORATED BY REFERENCE. The full text of a clause may be accessed electronically at this address(es): **http://arnet.gov/far** (FAR); **http://www.usaid.gov/pubs/ads/ads/300/ aidar.pdf** (AIDAR).

FEDERAL ACQUISITION REGULATION (48 CFR Chapter 1)

NUMBER	**TITLE**	**DATE**
752.7027	PERSONNEL	DEC 1990

H.2. AUTHORIZED GEOGRAPHIC CODE

The authorized geographic code for procurement of goods and services under this award is **937**.

H.3. 752.225-70 SOURCE AND NATIONALITY REQUIREMENTS (FEB 2012)

(a) Except as may be specifically approved by the Contracting Officer, the Contractor must procure all commodities (e.g., equipment, materials, vehicles, supplies) and services (including commodity transportation services) in accordance with the requirements at 22 CFR Part 228 "Rules on Procurement of Commodities and Services Financed by USAID Federal Program Funds". The authorized source for procurement is Geographic Code 937 unless otherwise specified in the schedule of this contract. Guidance on eligibility of specific goods or services may be obtained from the Contracting Officer.

(b) Ineligible goods and services. The Contractor must not procure any of the following goods or services under this contract:

(1) Military equipment
(2) Surveillance equipment
(3) Commodities and services for support of police and other law enforcement activities
(4) Abortion equipment and services
(5) Luxury goods and gambling equipment, or
(6) Weather modification equipment.

(c) Restricted goods. The Contractor must obtain prior written approval of the Contracting Officer or comply with required procedures under an applicable waiver as provided by the Contracting Officer when procuring any of the following goods or services:

(1) Agricultural commodities,
(2) Motor vehicles,
(3) Pharmaceuticals and contraceptive items
(4) Pesticides,
(5) Fertilizer,
(6) Used equipment, or
(7) U.S. government-owned excess property.

If USAID determines that the Contractor has procured any of these specific restricted goods under this contract without the prior written authorization of the Contracting Officer or fails to comply with required procedures under an applicable waiver as provided by the Contracting Officer, and has received payment for such purposes, the Contracting Officer may require the contractor to refund the entire amount of the purchase.

H.4. NON-EXPENDABLE PROPERTY PURCHASES AND INFORMATION TECHNOLOGY RESOURCES

The Contractor is authorized to purchase equipment and other resources proposed in **(proposal date)** not to exceed the amount of **$xxxx**.

In the event that additional equipment is needed, separate Contracting Officer approval(s) must be obtained prior to purchase. Requests for additional equipment shall contain the following information:

- Type of equipment needed;
- Cost information;
- Need/justification for purchase;
- Competitive quotations, usually from at least three (3) sources.

H.5. VALUE ADDED TAX (VAT) AND CUSTOMS DUTIES

VAT and customs duties are excluded from the price of the contract. On request, the COR will provide the contractor with documentation to assist the contractor in obtaining this exemption from the Government of the Burkina Faso and Niger.

H.6. REPORTING OF FOREIGN TAXES (JULY 2007)

(a) The contractor must annually submit a report by April 16 of the next year.

(b) Contents of Report. The report must contain:

(1) Contractor name;
(2) Contact name with phone, fax and email;
(3) Contract number(s);
(4) Amount of foreign taxes assessed by a foreign government [each foreign government must be listed separately] on commodity purchase transactions valued at $500 or more financed with U.S. foreign assistance funds under this contract during the prior U.S. fiscal year;
(5) Only foreign taxes assessed by the foreign government in the country receiving U.S. assistance is to be reported. Foreign taxes by a third party foreign government are not to be reported. For example, if a contractor performing in Burkina Faso and Niger using foreign assistance funds should purchase commodities in Burkina Faso and Niger, any taxes imposed by Burkina Faso would not be reported in the report for Burkina Faso and Niger;
(6) Any reimbursements received by the contractor during the period in (4) regardless of when the foreign tax was assessed and any reimbursements on the taxes reported in (4) received through March 31.
(7) Report is required even if the contractor did not pay any taxes during the report period.
(8) Cumulative reports may be provided if the contractor is implementing more than one program in a foreign country.

(c) Definitions. For purposes of this clause:

(1) Agreement" includes USAID direct and country contracts, grants, cooperative agreements and interagency agreements;
(2) "Commodity" means any material, article, supply, goods, or equipment;
(3) "Foreign government" includes any foreign governmental entity;
(4) "Foreign taxes" means value-added taxes and custom duties assessed by a foreign government on a commodity. It does not include foreign sales taxes.

(d) Where. Submit the reports to: **[*Insert at time of award*]**.

(e) Sub-agreements. The contractor must include this reporting requirement in all applicable subcontracts and other sub-agreements.

(f) For further information see **http://www.state.gov/m/rm/c10443.htm.**

H.7. LOGISTICAL SUPPORT

The contractor shall be responsible for providing or arranging all logistical support required for performance of this contract.

H.8. 752.211-70 LANGUAGE AND MEASUREMENT (JUN 1992)

(a) The English language shall be used in all written communications between the parties under this contract with respect to services to be rendered and with respect to all documents prepared by the contractor except as otherwise provided in the contract or as authorized by the Contracting Officer.

(b) Wherever measurements are required or authorized, they shall be made, computed, and recorded in metric system units of measurement, unless otherwise authorized by USAID in writing when it has found that such usage is impractical or is likely to cause U.S. firms to experience significant inefficiencies or the loss of markets. Where the metric system is not the predominant standard for a particular application, measurements may be expressed in both the metric and the traditional equivalent units, provided the metric units are listed first.

H.9. GOVERNMENT FURNISHED FACILITIES OR PROPERTY

The Contractor and any employee or consultant of the Contractor is prohibited from using U.S. Government facilities (such as office space or equipment) or U.S. Government clerical or technical personnel in the performance of the services specified in the contract unless the use of Government facilities or personnel is specifically authorized in the contract or is authorized in advance, in writing, by the COR.

H.10. AIDAR 752.7007 PERSONNEL COMPENSATION (JULY 2007)

(a) Direct compensation of the contractor's personnel will be in accordance with the contractor's established policies, procedures, and practices, and the cost principles applicable to this contract.

(b) Reimbursement of the employee's base annual salary plus overseas recruitment incentive, if any, which exceed the USAID Contractor Salary Threshold (USAID CST) stated in USAID Automated Directives System (ADS) Chapter 302 USAID Direct Contracting, must be approved in writing by the Contracting Officer, as prescribed in 731.205-6(b) or 731.371(b), as applicable.

H.11. ADDITIONAL REQUIREMENTS FOR PERSONNEL COMPENSATION

(a) Definitions. Base pay, or base salary, is defined as an employee's basic compensation (salary) for services rendered. Income taxes are the responsibility, or liability, of the employee and are inclusive of, not additive to, base pay or salary. The base pay excludes benefits and allowances, bonuses, profit sharing arrangements, commissions, consultant fees, extra or overtime payments, overseas differential or quarters, cost of living or dependent education allowances, etc.

(b) Setting Salaries. The reasonableness of proposed salaries will be evaluated applying the factors set forth in the applicable cost principles (FAR Part 31) and AIDAR 752.7007. In addition to these factors, the Contracting Officer will consider the "market value" of each proposed position and the associated minimum qualifications as defined in the solicitation. The reasonableness of salaries or compensation will be determined by the Contracting Officer.

(c) Salaries and wages must be reflective of the "market value" for each position along with salary history. Salaries and wages may not exceed the contractor's established policy and practice, including the contractor's established pay scale for equivalent classifications of employees, which shall be certified to by the contractor. As well, no individual salary or wage may exceed the employee's current salary or wage, or the highest rate of annual salary or wage received during any full year of the immediately preceding three (3) years without the approval of the Contracting Officer. In the instance where the contractor believes that a particular salary cannot be accommodated within the "market value", the contractor bears burden of factually substantiating the need to exceed the established value or ceiling. Such presentation may not solely rest upon prior salary history and/or organizational policy.

(d) Initial Salaries. The initial starting salaries of all US national, third country national (TCN), and cooperating country (CCN) consultants or employees whose salaries are charged as a direct cost to this contract must be approved, in advance and in writing, by the Contracting Officer. Any initial starting salaries included in the final proposal revision and accepted during negotiations, are deemed approved upon contract execution.

(e) To-Be-Determined (TBD) Positions. The initial starting salaries for professionals whose salaries are charged as direct costs and were not included in the contractor's final proposal revision, and may have been indicated by "TBD" must be approved, in advance and in writing, by the Contracting Officer.

(f) Replacement Staff. With the exception of key personnel, initial salaries of new staff replacing those previously approved in the contractor's final proposal revision do not require prior approval by the Contracting Officer, provided that the following conditions are met: the position has been authorized in the contract; and the initial salary shall not exceed either the individual's recent long-term salary by 5%, as evidenced in USAID Form "Contractor Employee Biographical Data Sheet" (AID 1420-17 – Attachment J9), or the approved salary for the particular position in the final proposal revision, whichever is less. The contractor must obtain COR approval of the individual's technical appropriateness to work on program activities.

Note: The contractor must retain any approvals issued pursuant to sections (a) through (f) above for audit purposes. Approvals issued pursuant to the above must be within the terms of this contract, and shall not serve to increase the total estimated cost or the obligated amount of this contract, whichever is less.

(g) Salary Ceiling. A ceiling has been established for international and CCN staff on the reimbursable base salary or wage paid to personnel under the contract. For international staff, the ceiling is equivalent to the maximum annual salary of the USAID established rate for agencies without a certified SES performance appraisal system (AWCPAS) referred to as the USAID Contractor Salary Threshold

(USAID CST), published at http://www.opm.gov/oca/05tables/html/es.asp as amended from time to time, unless the Contracting Officer approves a higher amount in accordance with the Agency policy and procedures in ADS 302 "USAID Direct Contracting". For CCN staff, the ceiling is the maximum salary of the highest senior FSN position authorized under the U.S. Embassy Compensation Plan, which will be provided to the contractor on request after contract award.

(h) Annual Salary Increases.

International Staff: Project staff may be granted a one-time annual increase after their completion of twelve months of satisfactory service under the contract. The annual salary increase may not exceed 5% applied to an employee pool. Annual salary increases of any kind exceeding these limitations, or exceeding USAID maximum SES established rate (AWCPAS) or the USAID CST, require the advance written approval of the Contracting Officer.

Contractor Employees: For contractor employees, annual increases in accordance with the contractor's established policies, procedures and practices are allowable.

CCN Staff: Project staff may be granted a one-time annual increase after their completion of twelve months of satisfactory service under the contract. The annual salary increase may not exceed 5% applied to an employee pool. Annual salary increases of any kind exceeding these limitations or exceeding the maximum salary of the highest senior Foreign Service National (FSN) position authorized under the U.S. Embassy Compensation Plan require the advance written approval of the Contracting Officer.

(i) STTA and Consultants:

International Consultants: No compensation for consultants will be reimbursed unless their use under the contract has advance written approval of the Contracting Officer. If such provision has been made or approval given, compensation shall not exceed: (1) the highest rate of annual compensation received by the consultant during any full year of the immediately preceding three years or (2) the USAID SES established rate (AWCPAS), whichever is less. Requests for waiver to this compensation guidance must be fully justified and shall require the approval of the Contracting Officer.

Local Consultants: No compensation for consultants will be reimbursed unless their use under the contract has advance written approval of the Contracting Officer. If such provision has been made or approval given compensation shall not exceed the maximum rate of the highest senior FSN position authorized under the Mission Compensation Plan. Requests for waiver to this compensation guidance must be fully justified and shall require the approval of the Contracting Officer.

(j) Salaries during Travel

Salaries and wages paid while in travel status will not be reimbursed for a travel period greater than the time required for travel by the most direct and expeditious route possible.

(k) Return of Overseas Employees

Salaries and wages paid to an employee serving overseas who is discharged by the contractor for misconduct, inexcusable non-performance, or security reasons will in no event be reimbursed for a period which extends beyond the time required to return him/her promptly to his/her point of origin by the most direct and expeditious air route.

(l) Work Week

(1) Non-overseas Employees - The length of the contractor's U.S., non-overseas employees workday shall be in accordance with the contractor's established policies and practices and shall not be less than 8 hours per day and 40 hours per week.

(2) Overseas Employees - The work week for the contractor's overseas employees shall not be less than 40 hours and shall be scheduled to coincide with the work week for those employees of the USAID Mission. Holidays taken by contractor's overseas employees may not exceed those of the U.S. Mission, as published annually.

(3) Short-Term Technical Assistance (STTA) - Any six-day workweek proposed for STTAs requires prior written approval by the Contracting Officer. A six-day work week is authorized for international short-term technical assistance, with no premium pay.

H.12. EMPLOYMENT OF THIRD COUNTRY NATIONALS AND COOPERATING COUNTRY NATIONALS

(a) The following are unallowable costs for Third Country Nationals (TCNs) and Cooperating Country Nationals (CCNs) unless the Contracting Officer provides a written determination that such costs are allowable for specifically named individuals.

(1) Compensation, including merit or promotion increases, that exceeds the prevailing compensation paid to personnel performing comparable work in the cooperating country;
(2) Allowances and differentials;
(3) Payment of compensation to TCN and CCN employees in other than the currency of the cooperating country;
(4) Unless otherwise approved by the Contracting Officer, the maximum prevailing compensation will be the same as the maximum salary under the Mission Local Compensation Plan.

(b) The Contracting Officer will only determine the above costs to be allowable if and to the extent that the USAID mission director approves such exceptions, and also subject to the usual considerations of reasonableness and malleability.

(c) Even if the contract ceiling price is based on a cost proposal that estimated such payments, a specific determination from the Contracting Officer is required for such costs to be reimbursed under the contract.

H.13. INSURANCE AND SERVICES

Pursuant to AIDAR 752.228-3 Worker's Compensation Insurance (Defense Base Act); USAID's DBA insurance agent is Aon Risk Insurance Services West, Inc., The USAID DBA program with Aon Risk Insurance Services West, Inc., contains three rates per $100 of remuneration, depending on contract scope: (1) $2.00 for services, (2) $4.50 for construction, and (3) $7.50 for security.

AON Risk Insurance Services West, Inc. contacts are as follows:

199 Fremont St., Suite 1400
San Francisco, CA 94105
Hours: 8:30 A.M. to 5:00 PM, Pacific Time
Primary Contact: Fred Robinson

Phone: (415) 486-7516
Email: Fred.Robinson@aon.com
Secondary Contact: Angela Falcone
Phone: (415) 486-7000
Email: Angela.Falcone@aon.com

OR

AON Risk Insurance Services East, Inc.
1120 20th St., N.W., Suite 600
Washington D.C. 20036
Hours: 8:30 A.M. to 4:00 P.M., Eastern Time
Primary Contact: Ellen Rowan
Phone: (202) 862-5306
Email: Ellen.Rowan@aon.com

H.14. AIDAR 752.228-70 MEDICAL EVACUATION (MEDEVAC) Services (JUL 2007)

(a) The contractor must provide MEDEVAC service coverage to all U.S. citizen, U.S. resident alien, and TCN employees and their authorized dependents (hereinafter "individual") while overseas under a USAID financed direct contract. USAID will reimburse reasonable, allowable, and allocable costs for MEDEVAC service coverage incurred under the contract. The Contracting Officer will determine the reasonableness, allowability, and allocability of the costs based on the applicable cost principles and in accordance with cost accounting standards.

(b) Exceptions:

(i) The contractor is not required to provide MEDEVAC insurance to eligible employees and their dependents with a health program that includes sufficient MEDEVAC coverage as approved by the Contracting Officer;

(ii) The USAID mission director may make a written determination to waive the requirement for such coverage. The determination must be based on findings that the quality of local medical services or other circumstances obviate the need for such coverage for eligible employees and their dependents located at post.

(b) The contractor must insert a clause similar to this clause in all subcontracts that require performance by contractor employees overseas.

H.15. AIDAR 752.7004 EMERGENCY LOCATOR INFORMATION (JUL 1997)

The Contractor agrees to provide the following information to the COR or before the arrival in the host country of every contract employee or dependent:

(a) The individual's full name, home address, and telephone number.
(b) The name and number of the contract, and whether the individual is an employee or dependent.
(c) The contractor's name, home office address, and telephone number, including any after-hours emergency number(s), and the name of the Contractor's home office staff member having administrative responsibility for the contract.

(d) The name, address, and telephone number(s) of each individual's next of kin.
(e) Any special instructions pertaining to emergency situations such as power of attorney designees or alternate contact persons.

H.16. EXECUTIVE ORDER ON TERRORISM FINANCING (FEB 2002)

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 to ensure compliance with these Executive Orders and laws. This clause must be included in all subcontracts/subawards issued under this contract.

H.17. USAID DISABILITY POLICY - ACQUISITION (DECEMBER 2004)

(a) The objectives of USAID Disability Policy are (1) to enhance the attainment of United States foreign assistance program goals by promoting the participation and equalization of opportunities of individuals with disabilities in USAID policy, country and sector strategies, activity designs and implementation; (2) to increase awareness of issues of people with disabilities both within USAID programs and in host countries; (3) to engage other U.S. government agencies, host country counterparts, governments, implementing organizations and other donors in fostering a climate of nondiscrimination against people with disabilities; and (4) to support international advocacy for people with disabilities. The full text of the policy paper can be found at the following website: http://www.usaid.gov/about_usaid/disability/

(c) USAID therefore requires that the Contractor not discriminate against people with disabilities in the implementation of USAID programs and that it make every effort to comply with the objectives of USAID Disability Policy in performing this contract. To that end and within the scope of the contract, the Contractor's actions must demonstrate a comprehensive and consistent approach for including men, women and children with disabilities.

H.18. AIDAR 752.7032 INTERNATIONAL TRAVEL APPROVAL AND NOTIFICATION REQUIREMENTS (JAN 1990)

Prior written approval by the Contracting Officer is required for all international travel directly and identifiably funded by USAID under this contract. The contractor shall therefore present to the Contracting Officer an itinerary for each planned international trip, showing the name of the traveler, purpose of the trip, origin/destination (and intervening stops), and dates of travel, as far in advance of the proposed travel as possible, but in no event less than three weeks before travel is planned to commence. The Contracting Officer's prior written approval may be in the form of a letter or telegram or similar device or may be specifically incorporated into the schedule of the contract. At least one week prior to commencement of approved international travel, the Contractor shall notify the cognizant Mission, with a copy to the Contracting Officer, of planned travel, identifying the travelers and the dates and times of arrival. The Contracting Officer hereby delegates international travel approvals and notification as required under AIDAR 752.7032 to the COR.

H.19. FOREIGN GOVERNMENT DELEGATIONS TO INTERNATIONAL CONFERENCES (JUNE 2012)

Funds in this award may not be used to finance the travel, per diem, hotel expenses, meals, conference fees or other conference costs for any member of a foreign government's delegation to an international conference sponsored by a multilateral organization, except as provided in ADS Mandatory Reference

"Guidance on Funding Foreign Government Delegations to International Conferences [http://transition.usaid.gov/policy/ads/300/350maa.pdf] or as approved by the CO/COR..

H.20. CONFIDENTIALITY AND OWNERSHIP OF INTELLECTUAL PROPERTY

All reports generated and data collected during this project shall be considered the property of USAID and shall not be reproduced, disseminated or discussed in open forum, other than for the purposes of completing the tasks described in this document, without the express written approval of a duly-authorized representative of USAID.

All findings, conclusions and recommendations shall be considered confidential and proprietary.

H.21. DISCLOSURE OF INFORMATION

(a) Offerors are reminded that information furnished under this solicitation may be subject to disclosure under the Freedom of Information Act (FOIA). Therefore, all items that are confidential to business, or contain trade secrets, proprietary, or personnel information must be clearly marked. Marking of items will not necessarily preclude disclosure when the U.S. Office of Personnel Management (OPM or the U.S. Government) determines disclosure is warranted by FOIA. However, if such items are not marked, all information contained within the submitted documents will be deemed to be releasable.

(b) Any information made available to the contractor by the U.S. Government must be used only for the purpose of carrying out the provisions of this contract and must not be divulged or made known in any manner to any person except as may be necessary in the performance of the contract.

(c) In performance of this contract, the contractor assumes responsibility for protection of the confidentiality of U.S. Government records and must ensure that all work performed by its subcontractors shall be under the supervision of the contractor or the contractor's responsible employees.

(d) Each officer or employee of the contractor or any of its subcontractors to whom any U.S. Government record may be made available or disclosed must be notified in writing by the contractor that information disclosed to such officer or employee can be used only for a purpose and to the extent authorized herein, and that further disclosure of any such information, by any means, for a purpose or to an extent unauthorized herein, may subject the offender to criminal sanctions imposed by 19 U.S.C. § 641. That section provides, in pertinent part, that whoever knowingly converts to their use or the use of another, or without authority, sells, conveys, or disposes of any record of the United States or whoever receives the same with intent to convert it to their use or gain, knowing it to have been converted, shall be guilty of a crime punishable by a fine of up to $10,000, or imprisoned up to ten years, or both.

H.22. CONTRACTOR’S USE OF PROJECT VEHICLES AND LIABILITY INSURANCE REQUIREMENTS FOR PRIVATELY OWNED VEHICLES

(a) Home to office to home use of project vehicles is not considered official business and is not allowed under the terms of this contract.

(b) If the Contractor or any of its employees or their dependents transport or cause to be transported (whether or not at contract expense) privately owned automobiles to the Cooperating Country, or they or any of them purchase an automobile within the Cooperating Country, the Contractor agrees to make certain that all such automobiles during such ownership within the Cooperating Country will be covered by a paid-up insurance policy issued by a reliable per the requirements of AIDAR 752.228-7 which is referenced clause to this contract.

H.23. BUSINESS CLASS TRAVEL

For cost effectiveness, economy class travel must be used on all official travel funded under this contract. Business class travel shall only be used under exceptional circumstances, and in compliance with FAR 31.205.46.

H.24. NEWS RELEASE

No news release pertaining to this contract will be made without prior agency approval, as appropriate, and then only in coordination with the Contracting Officer.

H.25. CONSENT TO SUBCONTRACT

Pursuant to FAR Clause 52.244-2, Subcontracts (OCT 2010), the following subcontractors were identified and agreed to during negotiations to provide the services covered by this contract:
[TBD – to be proposed by offeror to allow completion at time of contract award]

Subject to FAR.52.244-2 requirements, subsequent or additional subcontractors and the content of their subcontracts require prior written approval from the Contracting Officer.

H.26. TITLE TO PROPERTY

Per AIDAR Clauses 752.245-70 Government Property -- USAID Reporting Requirements and 752.245-71 Title to and Care of Property, title to property is with USAID with care and custody with the Contractor.

H.27. PRESS RELATIONS

The Contractor shall coordinate all press inquiries and statements with USAID's COR. Contractor shall seek approval from COR before agreeing to or allowing staff to conduct interviews with the press. The Contractor shall not speak on behalf of USAID but will refer all requests for USAID information to the USAID COR/Communication/press officer.

H.28. ELECTRONIC SUBCONTRACTING REPORTING SYSTEM (eSRS) SF 294 – SUBCONTRACTING REPORT FOR INDIVIDUAL CONTRACTS AND SF 295 – SUMMARY CONTRACTING REPORT

The Contractors will use the e-SRS to comply with the reporting requirement in FAR clause 52.219-9 Alt. II "Small Business Subcontracting Plan" which will be made a part of this Contract. Contractor will electronically route summary SF 295 report to the office of Small Disadvantaged Business (OSDBU) and electronically enter the approved SF 294 for the subcontracting plan dated **(fill in date)** information if applicable into e-SRS.

H.29. UTILIZATION OF SMALL BUSINESS CONCERNS (JAN 2011)

(a) It is the policy of the United States that small business concerns, veteran-owned small business concerns, service disabled veteran-owned small business concerns, HUBZone small business concerns, small disadvantaged business concerns, and women-owned small business concerns shall have the maximum practicable opportunity to participate in performing contracts let by any Federal agency, including contracts and subcontracts for subsystems, assemblies, components, and related services for major systems. It is further the policy of the United States that its prime contractors establish procedures to ensure the timely payment of amounts due pursuant to the terms of their subcontracts with small business concerns, veteran-owned small business concerns, service-disabled veteran-owned small business concerns, HUBZone small business concerns, small disadvantaged business concerns, and women-owned small business concerns.

(b) The Contractor hereby agrees to carry out this policy in the awarding of subcontracts to the fullest extent consistent with efficient contract performance. The Contractor further agrees to cooperate in any studies or surveys as may be conducted by the United States Small Business Administration or the awarding agency of the United States as may be necessary to determine the extent of the Contractor's compliance with this clause.

(c) Definitions. As used in this contract—

"HUBZone small business concern" means a small business concern that appears on the List of Qualified HUBZone Small Business Concerns maintained by the Small Business Administration.

"Service-disabled veteran-owned small business concern"—

(1) Means a small business concern—

(i) Not less than 51 percent of which is owned by one or more service-disabled veterans or, in the case of any publicly owned business, not less than 51 percent of the stock of which is owned by one or more service-disabled veterans; and

(ii) The management and daily business operations of which are controlled by one or more service-disabled veterans or, in the case of a service-disabled veteran with permanent and severe disability, the spouse or permanent caregiver of such veteran.

(2) Service-disabled veteran means a veteran, as defined in 38 U.S.C. 101(2), with a disability that is service connected, as defined in 38 U.S.C. 101(16).

"Small business concern" means a small business as defined pursuant to Section 3 of the Small Business Act and relevant regulations promulgated pursuant thereto.

"Small disadvantaged business concern" means a small business concern that represents, as part of its offer that—

(1) (i) It has received certification as a small disadvantaged business concern consistent with 13 CFR part 124, Subpart B;

(ii) No material change in disadvantaged ownership and control has occurred since its certification;

(iii) Where the concern is owned by one or more individuals, the net worth of each individual upon whom the certification is based does not exceed $750,000 after taking into account the applicable exclusions set forth at 13 CFR 124.104(c)(2); and

(iv) It is identified, on the date of its representation, as a certified small disadvantaged business in the CCR Dynamic Small Business Search database maintained by the Small Business Administration, or

(2) It represents in writing that it qualifies as a small disadvantaged business (SDB) for any Federal subcontracting program, and believes in good faith that it is owned and controlled by one or more socially and economically disadvantaged individuals and meets the SDB eligibility criteria of 13 CFR 124.1002.

"Veteran-owned small business concern" means a small business concern—

(1) Not less than 51 percent of which is owned by one or more veterans (as defined at 38 U.S.C. 101(2)) or, in the case of any publicly owned business, not less than 51 percent of the stock of which is owned by one or more veterans; and

(2) The management and daily business operations of which are controlled by one or more veterans.

"Women-owned small business concern" means a small business concern—

(1) That is at least 51 percent owned by one or more women, or, in the case of any publicly owned business, at least 51 percent of the stock of which is owned by one or more women; and

(2) Whose management and daily business operations are controlled by one or more women.

(d) (1) Contractors acting in good faith may rely on written representations by their subcontractors regarding their status as a small business concern, a veteran-owned small business concern, a service-disabled veteran-owned small business concern, a small disadvantaged business concern, or a women-owned small business concern.

(2) The Contractor shall confirm that a subcontractor representing itself as a HUBZone small business concern is certified by SBA as a HUBZone small business concern by accessing the Central Contractor Registration (CCR) database or by contacting the SBA. Options for contacting the SBA include—

(i) HUBZone small business database search application web page at http://dsbs.sba.gov/dsbs/search/ dsp_searchhubzone.cfm ; or http://www.sba.gov/hubzone;
(ii) In writing to the Director/HUB, U.S. Small Business Administration, 409 3rd Street, SW., Washington, DC 20416; or
(iii) The SBA HUBZone Help Desk at hubzone@sba.gov.

H.30. 52.232-99 PROVIDING ACCELERATED PAYMENT TO SMALL BUSINESS SUBCONTRACTORS (DEVIATION) (AUG 2012)

This clause implements the temporary policy provided by OMB Policy Memorandum M- 12-16, Providing Prompt Payment to Small Business Subcontractors, dated July 11, 2012.

(a) Upon receipt of accelerated payments from the Government, the contractor is required to make accelerated payments to small business subcontractors to the maximum extent practicable after receipt of a proper invoice and all proper documentation from the small business subcontractor.
(b) Include the substance of this clause, including this paragraph (b), in all subcontracts with small business concerns.
(c) The acceleration of payments under this clause does not provide any new rights under the Prompt Payment Act.

H.31. 752.7101 VOLUNTARY POPULATION PLANNING (JUNE 2008)

(a) *Requirements for Voluntary Sterilization Program.* None of the funds made available under this contract shall be used to pay for the performance of involuntary sterilization as a method of family planning or to coerce or provide any financial incentive to any individual to practice sterilization.

(b) *Prohibition on Abortion-Related Activities.*

(1) No funds made available under this contract will be used to finance, support, or be attributed to the following activities: (i) procurement or distribution of equipment intended to be used for the purpose of inducing abortions as a method of family planning; (ii) special fees or incentives to any person to coerce or motivate them to have abortions; (iii) payments to persons to perform abortions or to solicit persons to undergo abortions; (iv) information, education, training, or communication programs that seek to promote abortion as a method of family planning; and (v) lobbying for or against abortion. The term "motivate", as it relates to family planning assistance, shall not be construed to prohibit the provision, consistent with local law, of information or counseling about all pregnancy options.

(2) No funds made available under this contract will be used to pay for any biomedical research which relates, in whole or in part, to methods of, or the performance of, abortions or involuntary sterilizations as a means of family planning. Epidemiologic or descriptive research to assess the incidence, extent or consequences of abortions is not precluded.

(c) The contractor shall insert this provision in all subcontracts.

H.32. 52.217-2 CANCELLATION UNDER MULTI-YR CONTRACTS (OCT 1997)

(a) "Cancellation," as used in this clause, means that the Government is canceling its requirements for all supplies or services in program years subsequent to that in which notice of cancellation is provided. Cancellation shall occur by the date or within the time period specified in the Schedule, unless a later date is agreed to, if the Contracting Officer—

(1) Notifies the Contractor that funds are not available for contract performance for any subsequent program year; or
(2) Fails to notify the Contractor that funds are available for performance of the succeeding program year requirement.

(b) Except for cancellation under this clause or termination under the Default clause, any reduction by the Contracting Officer in the requirements of this contract shall be considered a termination under the Termination for Convenience of the Government clause.

(c) If cancellation under this clause occurs, the Contractor will be paid a cancellation charge not over the cancellation ceiling specified in the Schedule as applicable at the time of cancellation.

(d) The cancellation charge will cover only—

(1) Costs—
  (i) Incurred by the Contractor and/or subcontractor;
  (ii) Reasonably necessary for performance of the contract; and
  (iii) That would have been equitably amortized over the entire multi-year contract period but, because of the cancellation, are not so amortized; and
(2) A reasonable profit or fee on the costs.

(e) The cancellation charge shall be computed and the claim made for it as if the claim were being made under the Termination for Convenience of the Government clause of this contract. The Contractor shall submit the claim promptly but no later than 1 year from the date—

(1) Of notification of the nonavailability of funds; or
(2) Specified in the Schedule by which notification of the availability of additional funds for the next succeeding program year is required to be issued, whichever is earlier, unless extensions in writing are granted by the Contracting Officer.

(f) The Contractor's claim may include—

(1) Reasonable nonrecurring costs (see Subpart 15.4 of the Federal Acquisition Regulation) which are applicable to and normally would have been amortized in all supplies or services which are multi-year requirements;
(2) Allocable portions of the costs of facilities acquired or established for the conduct of the work, to the extent that it is impracticable for the Contractor to use the facilities in its commercial work, and if the costs are not charged to the contract through overhead or otherwise depreciated;
(3) Costs incurred for the assembly, training, and transportation to and from the job site of a specialized work force; and
(4) Costs not amortized solely because the cancellation had precluded anticipated benefits of Contractor or subcontractor learning.

(g) The claim shall not include—

(1) Labor, material, or other expenses incurred by the Contractor or subcontractors for performance of the canceled work;
(2) Any cost already paid to the Contractor;
(3) Anticipated profit or unearned fee on the canceled work; or
(4) For service contracts, the remaining useful commercial life of facilities. "Useful commercial life" means the commercial utility of the facilities rather than their physical life with due consideration given to such factors as location of facilities, their specialized nature, and obsolescence.

(h) This contract may include an Option clause with the period for exercising the option limited to the date in the contract for notification that funds are available for the next succeeding program year. If so, the Contractor agrees not to include in option quantities any costs of a startup or nonrecurring nature that have been fully set forth in the contract. The Contractor further agrees that the option quantities will reflect only those recurring costs and a reasonable profit or fee necessary to furnish the additional option quantities.

(i) Quantities added to the original contract through the Option clause of this contract shall be included in the quantity canceled for the purpose of computing allowable cancellation charges.

[END OF SECTION H]

PART II - CONTRACT CLAUSES
SECTION I - CONTRACT CLAUSES

I.1. NOTICE LISTING CONTRACT CLAUSES INCORPORATED BY REF.

The following contract clauses pertinent to this section are hereby incorporated by reference (by Citation Number, Title, and Date) in accordance with the clause at FAR 52.252-2 CLAUSES INCORPORATED BY
REFERENCE. The full text of a clause may be accessed electronically at this address(es):
http://arnet.gov/far
(FAR); **http://www.usaid.gov/pubs/ads/ads/300/ aidar.pdf** (AIDAR).

FEDERAL ACQUISITION REGULATION (48 CFR Chapter 1)

NUMBER	TITLE	DATE
52.202-1	DEFINITIONS	JAN 2012
52.203-3	GRATUITIES	APR 1984
52.203-5	COVENANT AGAINTS CONTINGENT FEES	APR 1984
52.203-6	RESTRICTIONS ON SUBCONTRACOR SALES TO THE GOVERNMENT	SEP 2006
52.203-7	ANTI-KICKBACK PROCEDURES	OCT 2010
52.203-8	CANCELLATION, RESCISION, AND RECOVERY OF FUNDS FOR ILLEGAL OR IMPROPER ACTIVITY	JAN 1997
52.203-10	PRICE OR FEE ADJUSTMENT FOR ILLEGAL OR IMPROPER ACTIVITY	JAN 1997
52.203-12	LIMITATION ON PAYMENTS TO INFLUENCE CERTAIN FEDERAL TRANSACTIONS	OCT 2010
52.203-13	CONTRACTOR CODE OF BUSINESS ETHICS AND CONDUCT	APR 2010
52.203-15	WHISTLEBLOWER PROTECTIONS UNDER THE AMERICAN RECOVERY AND REINVESTMENT ACT OF 2009	JUNE 2010
52.204-2	SECURITY REQUIREMENTS	AUG 1996
52.204-4	PRINTED OR COPIED DOUBLE-SIDED ON POSTCONSUMER FIBER CONTENT PAPER	MAY 2011
52.204-7	CENTRAL CONTRACTOR REGISTRATION	DEC 2012
52.204-9	PERSONAL IDENTITY VERIFICATION OF CONTRACTOR PERSONNEL	JAN 2011
52.204-10	REPORTING EXECUTIVE COMPENSATION AND FIRST-TIER SUBCONTRACT AWARDS	AUG 2012
52.207-3	RIGHT OF FIRST REFUSAL OF EMPLOYMENT	MAY 2006
52.209-6	PROTECTING THE GOVERNMENT'S INTEREST WHEN SUBCONTRACTING WITH CONTRACTORS DEBARRED, SUSPENDED, OR PROPOSED FOR DEBARMENT	DEC 2010
52.209-9	UPDATES OF PUBLICLY AVAILABLE INFORMATION REGARDING RESPONSIBILITY MATTERS	FEB 2012
52.215-2	AUDIT AND RECORDS—NEGOTIATION	OCT 2010
52.215-8	ORDER OF PRECEDENCE - UNIFORM CONTRACT FORMAT	OCT 1997
52.215-11	PRICE REDUCTION FOR DEFECTIVE CERTIFIED COST OR PRICING DATA—MODIFICATIONS	AUG 2011
52.215-12	SUBCONTRACTOR CERTIFIED COST OR PRICING DATA	OCT 2010
52.215-13	SUBCONTRACTOR CERTIFIED COST OR PRICING DATA—MODIFICATIONS	OCT 2010

52.215-14	INTEGRITY OF UNIT PRICES	OCT 2010
52.215-19	NOTIFICATION OF OWNERSHIP CHANGES	OCT 1997
52.215-22	LIMITATIONS ON PASS-THROUGH CHARGES—IDENTIFICATION OF SUBCONTRACT EFFORT	OCT 2009
52.215-23	LIMITATIONS ON PASS-THROUGH CHARGES - Alt 1	OCT 2009
52.216-1	TYPE OF CONTRACT	APR 1984
52.216-7	ALLOWABLE COST AND PAYMENT	JUN 2011
52.216-8	FIXED FEE	JUN 2011
52.216-24	LIMITATION OF GOVERNMENT LIABILITY APR 1984	
52.217-8	OPTION TO EXTEND SERVICES	NOV 1999
52.222-2	PAYMENT FOR OVERTIME PREMIUMS	JULY 1990
52.222-3	CONVICT LABOR	JUNE 2003
52.222-4	CONTRACT WORK HOURS AND SAFETY STANDARDS ACT —OVERTIME COMPENSATION	JULY 2005
52.222-21	PROHIBITION OF SEGREGATED FACILITIES	FEB 1999
52.222-26	EQUAL OPPORTUNITY	MAR 2007
52.222-29	NOTIFICATION OF VISA DENIAL	JUN 2003
52.222-35	EQUAL OPPORTUNITY FOR VETERANS	SEP 2010
52.222-36	AFFIRMATIVE ACTION FOR WORKERS WITH DISABILITIES	OCT 2010
52.222-37	EMPLOYMENT REPORTS ON VETERANS	SEP 2010
52.222-54	EMPLOYMENT ELIGIBILITY VERIFICATION	JUL 2012
52.223-5	POLLUTION PREVENTION AND RIGHT-TO-KNOW INFORMATION	MAY 2011
52.223-6	DRUG-FREE WORKPLACE	MAY 2001
52.223-18	ENCOURAGING CONTRACTOR POLICIES TO BAN TEXT MESSAGING WHILE DRIVING	AUG 2011
52.225-13	RESTRICTIONS ON CERTAIN FOREIGN PURCHASES	JUN 2008
52.225-14	INCONSISTENCY BETWEEN ENGLISH VERSION AND TRANSLATION OF CONTRACT	FEB 2000
52.227-14	RIGHTS IN DATA—GENERAL	DEC 2007
52.227-23	RIGHTS TO PROPOSAL DATA (TECHNICAL)	JUNE 1987
52.228-3	WORKERS' COMPENSATION INSURANCE (DEFENSE BASE ACT)	APR 1984
52.228-7	INSURANCE - LIABILITY TO THIRD PERSONS	MAR 1996
52.230-2	COST ACCOUNTING STANDARDS	MAY 2012
52.230-3	DISCLOSURE AND CONSISTENCY OF COST ACCOUNTING PRACTICES	MAY 2012
52.230-6	ADMINISTRATION OF COST ACCOUNTING STANDARDS	JUNE 2010
52.232-9	LIMITATION ON WITHHOLDING OF PAYMENTS	APR 1984
52.232-17	INTEREST	OCT 2010
52.232-18	AVAILABILITY OF FUNDS	APR 1984
52.232-22	LIMITATION OF FUNDS	APR 1984
52.232-23	ASSIGNMENT OF CLAIMS	JAN 1986
52.232-24	PROHIBITION OF ASSIGNMENT OF CLAIMS	JAN 1986
52.232-25	PROMPT PAYMENT	OCT 2008
52.232-33	PAYMENT BY ELECTRONIC FUNDS TRANSFER—CENTRAL CONTRACTOR REGISTRATION	OCT 2003
52.232-34	PAYMENT BY ELECTRONIC FUNDS TRANSFER—OTHER THAN CENTRAL CONTRACTOR REGISTRATION	MAY 1999
52.233-1	DISPUTES	JUL 2002
52.233-2	SERVICE OF PROTEST	SEPT 2006
52.233-3	PROTEST AFTER AWARD (AUG 1996) Alternate I	JUN 1985
52.233-4	APPLICABLE LAW FOR BREACH OF CONTRACT CLAIM	OCT 2004

52.237-9	WAIVER OF LIMITATION ON SEVERANCE PAYMENTS TO FOREIGN NATIONALS	AUG 2003
52.242-1	NOTICE OF INTENT TO DISALLOW COSTS	APR 1984
52.242-2	PRODUCTION PROGRESS REPORTS	APR 1991
52.242-3	PENALTIES FOR UNALLOWABLE COSTS	MAY 2001
52.242-4	CERTIFICATION OF FINAL INDIRECT COSTS	JAN 1997
52.242-13	BANKRUPTCY	JUL 1995
52.243-2	CHANGES—COST-REIMBURSEMENT (AUG 1987) Alt I	APR 1984
52.244-5	COMPETITION IN SUBCONTRACTING	DEC 1996
52.244-6	SUBCONTRACTS FOR COMMERCIAL ITEMS	DEC 2010
52.245-1	GOVERNMENT PROPERTY	APR 2012
52.246-25	LIMITATION OF LIABILITY – SERVICES	FEB 1997
52.247-63	PREFERENCE FOR U.S. FLAG AIR CARRIERS	JUN 2003
52.247-67	SUBMISSION OF TRANSPORTATION DOCUMENTS FOR AUDIT	FEB 2006
52.249-6	TERMINATION (COST REIMBURSEMENT)	MAY 2004
52.249-14	EXCUSABLE DELAYS	APR 1984
52.253-1	COMPUTER GENERATED FORMS	JAN 1991

AIDAR 48 CFR CHAPTER 7

752.202-1	DEFINITIONS (JAN 1990)
752.219-8	UTILIZATION OF SMALL BUSINESS CONCERNS AND SMALL DISADVANTAGED BUSINESS CONCERNS
752.245-70	GOVERNMENT PROPERTY - USAID REPORTING REQUIREMENTS
752.7001	BIOGRAPHICAL DATA
752.7002	TRAVEL AND TRANSPORTATION (JAN199)0
752.7006	NOTICES (APR 1984)
752.7008	USE OF GOVERNMENT FACILITIES OR PERSONNEL (APR 1984)
752.7010	CONVERSION OF U.S. DOLLARS TO LOCAL CURRENCY (APR 1984)
752.7013	CONTRACTOR-MISSION RELATIONSHIPS (OCT 1989)
752.7014	NOTICE OF CHANGES IN TRAVEL REGULATIONS (JAN 1990)
752.7015	USE OF POUCH FACILITIES (JULY 1997)
752.7025	APPROVALS (APR 1984)
752.7028	DIFFERENTIALS AND ALLOWANCES (JULY 1996)
752.7029	POST PRIVILEGES (JULY 1993)
752.7031	LEAVE AND HOLIDAYS (OCT 1989)
752.7033	PHYSICAL FITNESS JUL 1997
752.7034	ACKNOWLEDGMENT AND DISCLAIMER DEC 1991
752.7035	PUBLIC NOTICES DEC 1991

I.2. FAR 52.252-2 CLAUSES INCORPORATED BY REFERENCE (FEB 1998)

This solicitation incorporates one or more clauses by reference, with the same force and effect as if they were given in full text. Upon request, the Contracting Officer will make their full text available. Also, the full text of a solicitation provision may be accessed electronically at this address: http://arnet.gov/far/

I.3. FAR 52.204-1 APPROVAL OF CONTRACT (DEC 1989)

This contract is subject to the written approval of **[TBD]** and shall not be binding until so approved.

I.4. FAR 52.216-24 LIMITATION OF GOVERNMENT LIABILITY (APR 1984)

(a) In performing this contract, the Contractor is not authorized to make expenditures or incur obligations exceeding **TBD** dollars.

(b) The maximum amount for which the Government shall be liable if this contract is terminated is **TBD** dollars.

I.5. FAR 52.216-25 CONTRACT DEFINITIZATION (OCT 2010)

(a) A cost plus fixed fee contract is contemplated. The Contractor agrees to begin promptly negotiating with the Contracting Officer the terms of a definitive contract that will include (1) all clauses required by the Federal Acquisition Regulation (FAR) on the date of execution of the letter contract, (2) all clauses required by law on the date of execution of the definitive contract, and (3) any other mutually agreeable clauses, terms, and conditions. The Contractor agrees to submit a proposal, including data other than certified cost or pricing data, and certified cost or pricing data, in accordance with FAR 15.408, Table 15-2, supporting its proposal.

(b) The schedule for definitizing this contract is [*insert target date for definitization of the contract and dates for submission of proposal, beginning of negotiations, and, if appropriate, submission of make-or-buy and subcontracting plans and certified cost or pricing data*]:

____
____
____
____

(c) If agreement on a definitive contract to supersede this letter contract is not reached by the target date in paragraph (b) of this section, or within any extension of it granted by the Contracting Officer, the Contracting Officer may, with the approval of the head of the contracting activity, determine a reasonable price or fee in accordance with Subpart 15.4 and Part 31 of the FAR, subject to Contractor appeal as provided in the Disputes clause. In any event, the Contractor shall proceed with completion of the contract, subject only to the Limitation of Government Liability clause.

(1) After the Contracting Officer's determination of price or fee, the contract shall be governed by—

(i) All clauses required by the FAR on the date of execution of this letter contract for either fixed-price or cost reimbursement contracts, as determined by the Contracting Officer under this paragraph (c);

(ii) All clauses required by law as of the date of the Contracting Officer's determination; and

(iii) Any other clauses, terms, and conditions mutually agreed upon.

(2) To the extent consistent with paragraph (c)(1) of this section, all clauses, terms, and conditions included in this letter contract shall continue in effect, except those that by their nature apply only to a letter contract.

Alternate I (Apr 1984). In letter contracts awarded on the basis of price competition, add the following paragraph (d) to the basic clause:

(d) The definitive contract resulting from this letter contract will include a negotiated __________ [*"firm fixed price"*] in no event to exceed _____________ [*insert the proposed price upon which the award was based*].

I.6 FAR 52.222.50 COMBATING TRAFFICKING IN PERSONS (FEB 2009)

(a) *Definitions*. As used in this clause—

"Coercion" means—

(1) Threats of serious harm to or physical restraint against any person;
(2) Any scheme, plan, or pattern intended to cause a person to believe that failure to perform an act would result in serious harm to or physical restraint against any person; or
(3) The abuse or threatened abuse of the legal process.

"Commercial sex act" means any sex act on account of which anything of value is given to or received by any person.

"Debt bondage" means the status or condition of a debtor arising from a pledge by the debtor of his or her personal services or of those of a person under his or her control as a security for debt, if the value of those services as reasonably assessed is not applied toward the liquidation of the debt or the length and nature of those services are not respectively limited and defined.

"Employee" means an employee of the Contractor directly engaged in the performance of work under the contract who has other than a minimal impact or involvement in contract performance.

"Forced Labor" means knowingly providing or obtaining the labor or services of a person—

(1) By threats of serious harm to, or physical restraint against, that person or another person;
(2) By means of any scheme, plan, or pattern intended to cause the person to believe that, if the person did not perform such labor or services, that person or another person would suffer serious harm or physical restraint; or
(3) By means of the abuse or threatened abuse of law or the legal process.

"Involuntary servitude" includes a condition of servitude induced by means of—

(1)) Any scheme, plan, or pattern intended to cause a person to believe that, if the person did not enter into or continue in such conditions, that person or another person would suffer serious harm or physical restraint; or
(2) The abuse or threatened abuse of the legal process.

"Severe forms of trafficking in persons" means—

(1)) Sex trafficking in which a commercial sex act is induced by force, fraud, or coercion, or in which the person induced to perform such act has not attained 18 years of age; or
(2) The recruitment, harboring, transportation, provision, or obtaining of a person for labor or services, through the use of force, fraud, or coercion for the purpose of subjection to involuntary servitude, peonage, debt bondage, or slavery.

"Sex trafficking" means the recruitment, harboring, transportation, provision, or obtaining of a person for the purpose of a commercial sex act.

(b) *Policy*. The United States Government has adopted a zero tolerance policy regarding trafficking in persons. Contractors and contractor employees shall not—

(1) Engage in severe forms of trafficking in persons during the period of performance of the contract;
(2) Procure commercial sex acts during the period of performance of the contract; or
(3) Use forced labor in the performance of the contract.

(c) *Contractor requirements*. The Contractor shall—

(1) Notify its employees of—

(i) The United States Government's zero tolerance policy described in paragraph (b) of this clause; and
(ii) The actions that will be taken against employees for violations of this policy. Such actions may include, but are not limited to, removal from the contract, reduction in benefits, or termination of employment; and

(2) Take appropriate action, up to and including termination, against employees or subcontractors that violate the policy in paragraph (b) of this clause.

(d) *Notification.* The Contractor shall inform the Contracting Officer immediately of—

(1) Any information it receives from any source (including host country law enforcement) that alleges a Contractor employee, subcontractor, or subcontractor employee has engaged in conduct that violates this policy; and

(2) Any actions taken against Contractor employees, subcontractors, or subcontractor employees pursuant to this clause.

(e) *Remedies.* In addition to other remedies available to the Government, the Contractor's failure to comply with the requirements of paragraphs (c), (d), or (f) of this clause may result in—

(1) Requiring the Contractor to remove a Contractor employee or employees from the performance of the contract;
(2) Requiring the Contractor to terminate a subcontract;
(3) Suspension of contract payments;
(4) Loss of award fee, consistent with the award fee plan, for the performance period in which the Government determined Contractor non-compliance;
(5) Termination of the contract for default or cause, in accordance with the termination clause of this contract; or
(6) Suspension or debarment.

(f) *Subcontracts.* The Contractor shall include the substance of this clause, including this paragraph (f), in all subcontracts.

(g) *Mitigating Factor*. The Contracting Officer may consider whether the Contractor had a Trafficking in Persons awareness program at the time of the violation as a mitigating factor when determining remedies. Additional information about Trafficking in Persons and examples of awareness programs can be found at the website for the Department of State's Office to Monitor and Combat Trafficking in Persons at *http://www.state.gov/g/tip*.

I.7. FAR 52.252-4 ALTERATIONS IN CONTRACT (APR 1984)

Portions of this contract are altered as follows:

____
____
____

I.8. AIDAR 752.209-71 ORGANIZATIONAL CONFLICTS OF INTEREST DISCOVERED AFTER AWARD (JUN 1993)

(a) The contractor agrees that, if after award it discovers either an actual or potential organizational conflict of interest with respect to this contract, it shall make an immediate and full disclosure in writing to the Contracting Officer which shall include a description of the action(s) which the contractor has taken or proposes to take to avoid, eliminate or neutralize the conflict.

(b) The Contracting Officer shall provide the contractor with written instructions concerning the conflict. USAID reserves the right to terminate the contract if such action is determined to be in the best interests of the Government.

[END OF SECTION I]

PART III - LIST OF DOCUMENTS, EXHIBITS AND OTHER ATTACHMENTS
SECTION J - ATTACHMENTS

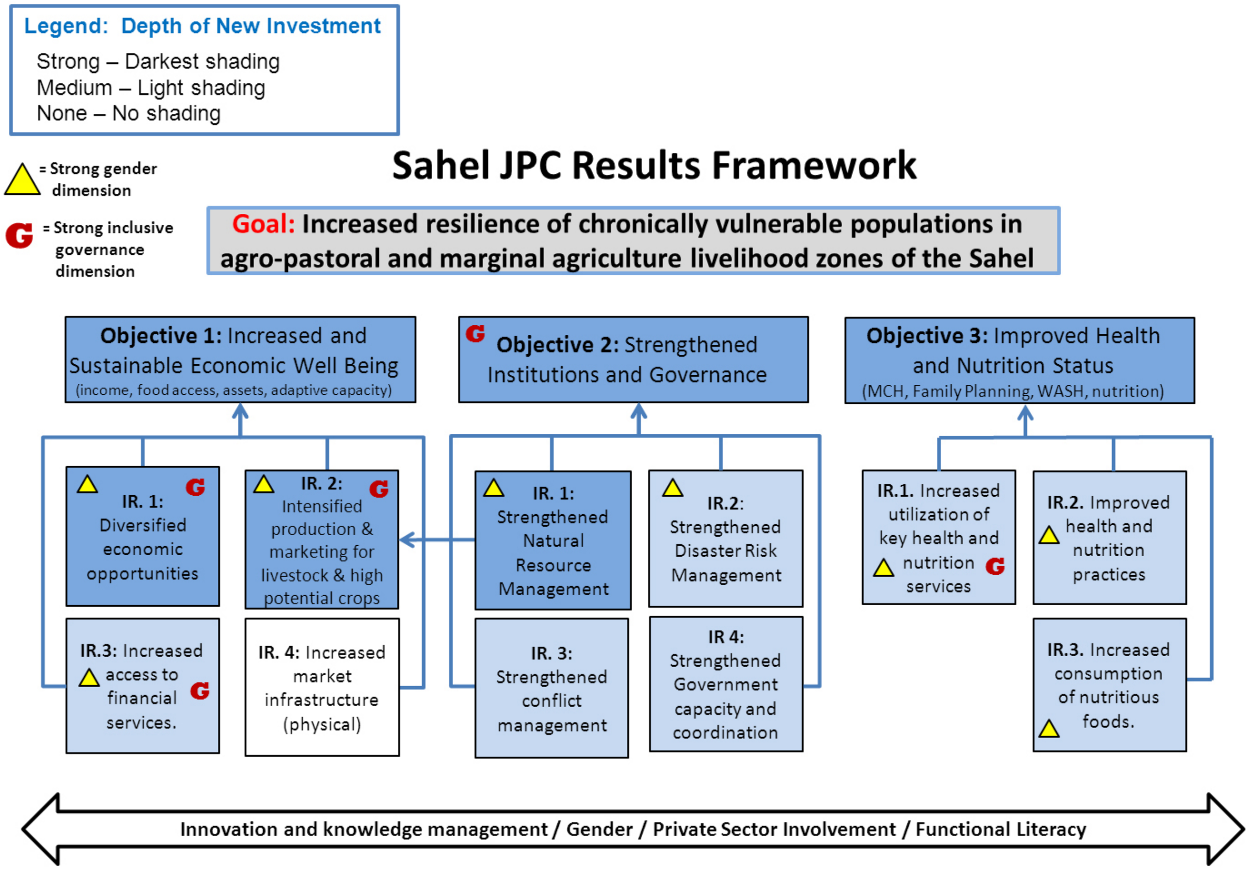
ATTACHMENT	TITLE
J.1	REGIS RESULTS FRAMEWORK
J.2	REGIS ROLES AND RESPONSIBILITIES
J.3	THEORY OF CHANGE
J.4	PROGRAM COMPONENTS
J.5	REQUIRED AND ILLUSTRATIVE INDICATORS BY OBJECTIVE & RESULT
J.6	SAHEL JOINT PLANNING CELL OBJECTIVE 1
J.7	SAHEL FOOD INSECURITY AND COMPLEX EMERGENCY
J.8	PRO-POOR VALUE CHAIN ANALYSIS (see link: Sahel JPC Value Chain Analysis Presentation Final 10-4-12)
J.9	SAHEL JPC STRATEGY (see link: Sahel JPC Strategy Presentation Public)
J.10	CONTRACTOR BIOGRAPHICAL DATA SHEET
J.11	LLL - DISCLOSURE OF LOBBYING ACTIVITIES
J.12	SUMMARY SUBCONTRACT REPORT (SF 295)
J.13	SUBCONTRACTING PLAN TEMPLATE

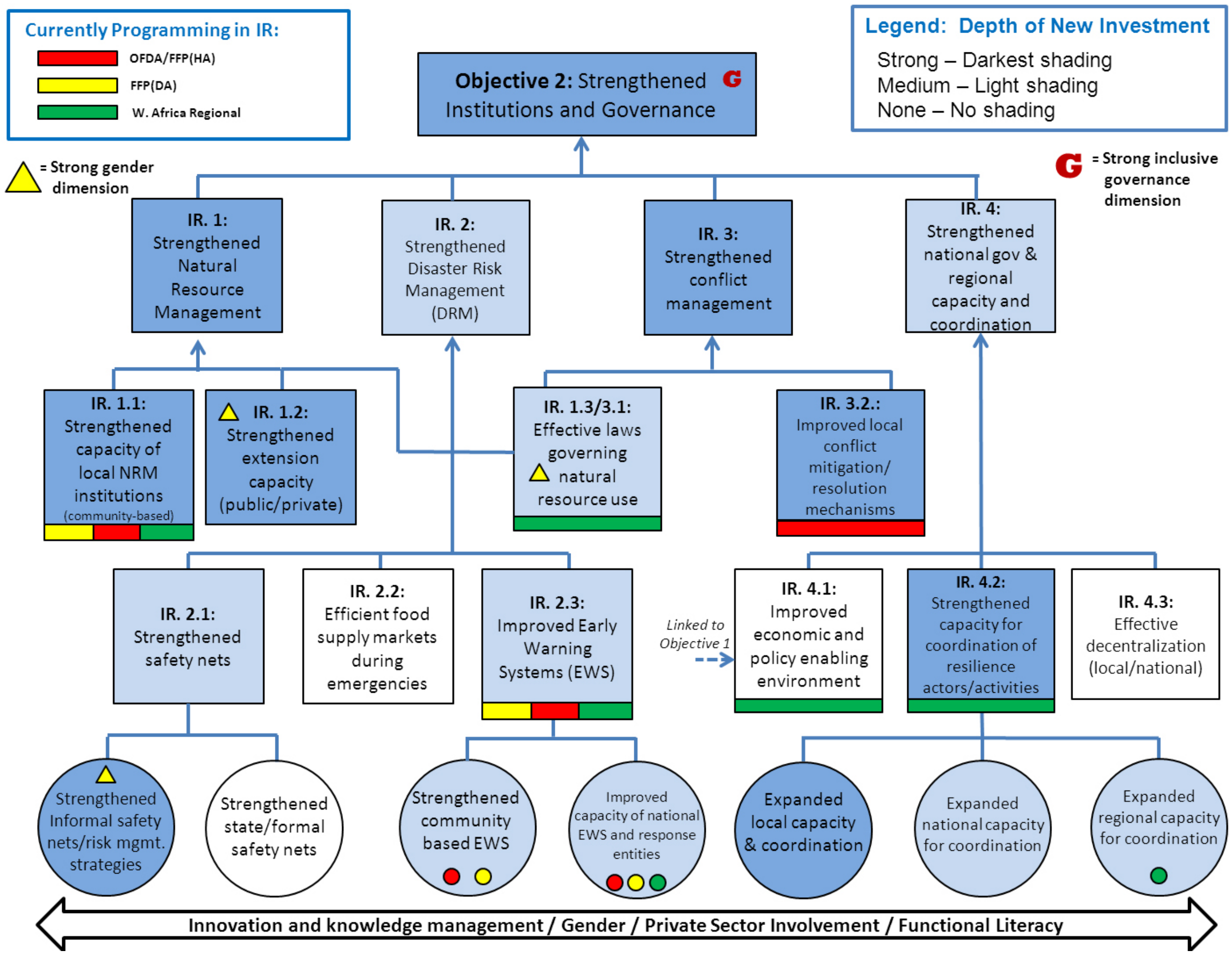
USEFUL LINKS

- Food for Peace (FFP) Projects: (http://senegal.usaid.gov/en/node/17)
- USAID's Value Chain Wiki Resources (http://microlinks.kdid.org/good-practice-center/value-chain-wiki)
- **Resilience and the Sahel Joint Planning Cell**: http://senegal.usaid.gov/en/Resilience

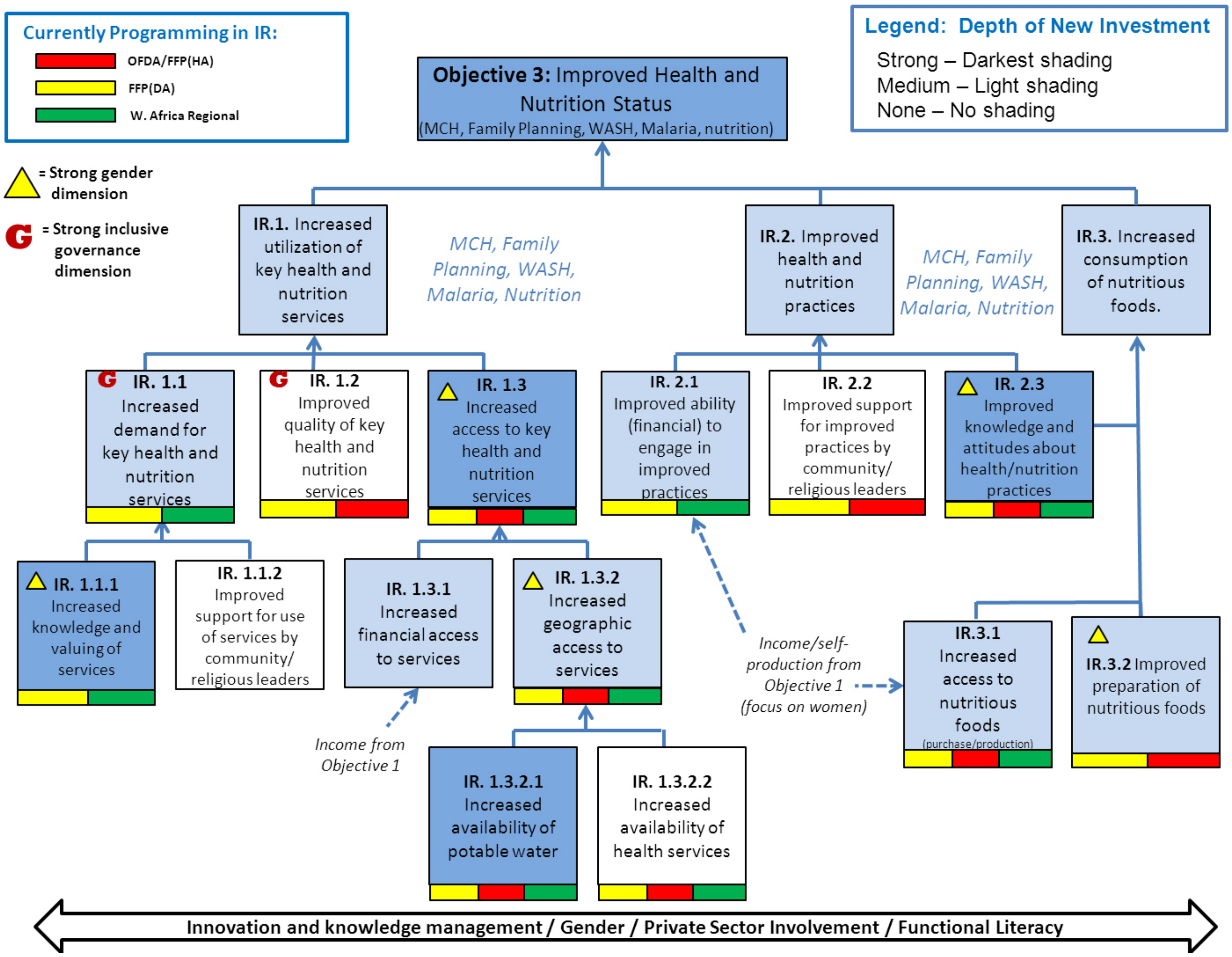
- Sahel JPC Fact Sheet 1-4-2013 : http://senegal.usaid.gov/sites/default/files/sahel_jpc_fact_sheet_1-4-2013.pdf
- Sahel JPC Strategy Presentation Public: http://senegal.usaid.gov/sites/default/files/sahel_jpc_strategy_presentation_public_1.pdf
- Sahel JPC Value Chain Analysis Presentation Final 10-4-12: http://senegal.usaid.gov/sites/default/files/sahel_jpc_value_chain_analysis_presentation_final_10-4-12.pptx
- Sahel JPC Focus Area Maps
- http://spsinternal.usaid.gov/OSDBU/Pages/Home.aspx
- http://www.agribizafrica.org/
- http://www.nigeriamarkets.org/

ATTACHMENT J.1 - REGIS RESULTS FRAMEWORK





Currently Programming in IR:
OFDA/FFP(HA)
FFP(DA)
W. Africa Regional
Objective 2: Strengthened Institutions and Governance
Legend: Depth of New Investment
Strong – Darkest shading
Medium – Light shading
None – No shading
= Strong gender dimension
= Strong inclusive governance dimension
IR. 1: Strengthened Natural Resource Management
IR. 2: Strengthened Disaster Risk Management (DRM)
IR. 3: Strengthened conflict management
IR. 4: Strengthened national gov & regional capacity and coordination
IR. 1.1: Strengthened capacity of local NRM institutions (community-based)
IR. 1.2: Strengthened extension capacity (public/private)
IR. 1.3/3.1: Effective laws governing natural resource use
IR. 3.2.: Improved local conflict mitigation/ resolution mechanisms
IR. 2.1: Strengthened safety nets
IR. 2.2: Efficient food supply markets during emergencies
IR. 2.3: Improved Early Warning Systems (EWS)
Linked to Objective 1
IR. 4.1: Improved economic and policy enabling environment
IR. 4.2: Strengthened capacity for coordination of resilience actors/activities
IR. 4.3: Effective decentralization (local/national)
Strengthened Informal safety nets/risk mgmt. strategies
Strengthened state/formal safety nets
Strengthened community based EWS
Improved capacity of national EWS and response entities
Expanded local capacity & coordination
Expanded national capacity for coordination
Expanded regional capacity for coordination
Innovation and knowledge management / Gender / Private Sector Involvement / Functional Literacy



Currently Programming in IR:
OFDA/FFP(HA)
FFP(DA)
W. Africa Regional
= Strong gender dimension
= Strong inclusive governance dimension
Objective 3: Improved Health and Nutrition Status
(MCH, Family Planning, WASH, Malaria, nutrition)
Legend: Depth of New Investment
Strong – Darkest shading
Medium – Light shading
None – No shading
IR.1. Increased utilization of key health and nutrition services
MCH, Family Planning, WASH, Malaria, Nutrition
IR.2. Improved health and nutrition practices
MCH, Family Planning, WASH, Malaria, Nutrition
IR.3. Increased consumption of nutritious foods.
IR. 1.1 Increased demand for key health and nutrition services
IR. 1.2 Improved quality of key health and nutrition services
IR. 1.3 Increased access to key health and nutrition services
IR. 2.1 Improved ability (financial) to engage in improved practices
IR. 2.2 Improved support for improved practices by community/ religious leaders
IR. 2.3 Improved knowledge and attitudes about health/nutrition practices
IR. 1.1.1 Increased knowledge and valuing of services
IR. 1.1.2 Improved support for use of services by community/ religious leaders
IR. 1.3.1 Increased financial access to services
IR. 1.3.2 Increased geographic access to services
Income/self-production from Objective 1 (focus on women)
IR.3.1 Increased access to nutritious foods (purchase/production)
IR.3.2 Improved preparation of nutritious foods
Income from Objective 1
IR. 1.3.2.1 Increased availability of potable water
IR. 1.3.2.2 Increased availability of health services
Innovation and knowledge management / Gender / Private Sector Involvement / Functional Literacy

ATTACHMENT J.2 - REGIS ROLES AND RESPONSIBILITIES

	REGIS-ER	REGIS-AG
Functional Personnel	▪ COP – responsible for coordination with REGIS-AG, FFP programs, and the Learning Agenda. ▪ Facilitation/association strengthening specialists ▪ Production specialists ▪ Climate smart specialists ▪ Water user specialist ▪ Producer and marketing group capacity building specialists ▪ Marketing specialist & liaison ▪ Finance specialist	▪ COP – responsible for coordination with REGIS-ER, FFP programs, and the Learning Agenda. ▪ Facilitation/linkage specialists ✓ Stakeholder process/engagement specialists ▪ Value chain specialists ✓ Marketing specialists ✓ Processing specialists ✓ Production specialist & liaison ✓ Innovation ▪ Finance specialist
Cross-Cutting	▪ Inclusiveness of poorest ▪ Participation of poorest ▪ Asset building of poorest ▪ Women targeted	
General	▪ Community level finance ✓ Savings ✓ Microloans ▪ Producer and marketing group capacity building ▪ NRM: FMNR & climate smart practices	▪ Facilitation ▪ End market analysis ▪ Value chain studies & analysis ▪ ID champions among value chain participants and develop collaboration with such champions ✓ Stakeholder approach: ✓ Networking ✓ Champions ✓ Stakeholder committee ▪ Promote innovation ▪ Links to formal enterprise level finance ▪ Link with new and existing DCAs
Small Ruminants	▪ Training (TOT) – productivity and marketing group capacity building ✓ Feeding - Fodder/forage/browse ✓ Water for productive use ✓ Breeding ✓ Group sales ▪ Financial Services ✓ Saving ✓ MF Loans ▪ Facilitate access to assets (red goats, other preferred breeds, small HH infrastructure) ▪ Leveraging assets to build capital	▪ Finishing segments ▪ Vet & pharmacy services – quality and availability of services/products ▪ Market access & linkages, especially for the poor ✓ Group sales ✓ Linkage with export markets ✓ Coordinate with regional programs to reduce trade barriers ▪ Market segmentation ✓ Identification of characteristics/ breeds desired by consumers & processors ▪ Processing/conditioning ✓ Dry meats ✓ Skins ✓ Milk & cheese ▪ Risk reduction/management ✓ Insurance, other innovations
Poultry	▪ Training (TOT) – productivity and marketing group capacity building, especially of HH producers	▪ Vet & pharmacy services – quality and availability of services/products ✓ Avian flu control/bio-safety, risk

	REGIS-ER	REGIS-AG
	✓ Climate smart adaptations ✓ Disease and parasite control/bio-safety ✓ Feeding ✓ Breeding ✓ Group sales ▪ Financial Services ✓ Saving ✓ MF Loans ▪ Facilitate access to assets (preferred breeds, small HH infrastructure) ▪ Leveraging assets to build capital ▪ Upgrading at HH and enterprise levels	management ▪ Feed ✓ Efficiency and low cost ▪ Market access & linkages, especially for the poor ✓ Group sales ▪ Market segmentation ✓ Eggs and meat ✓ Identification of characteristics/ breeds desired by consumers, resellers & processors ▪ Upgrade processing ✓ Sanitary, bio-safety ✓ Frozen meat?? ▪ Risk reduction/management ✓ Insurance, other innovations
Cowpea	▪ Training (TOT) – productivity and group capacity building ✓ Improved production practices ✓ Climate smart adaptations ✓ Soil and water management ✓ Disease and insect control o Safe use of phytosanitary products ▪ Capacity building for storage and bulking by producer organizations ✓ Use of PIC sacks to limit chemical use and improve bio-safety ✓ Group sales	▪ Access to phytosanitary products and related services ✓ Strengthen quality control of products ✓ Strengthen availability of services ▪ Strengthen distribution network for PIC sacks ✓ Reduce/limit chemical residues while preventing insect damage ▪ Market access & linkages, especially for the poor ✓ Group sales ✓ Linkages to export markets ▪ Market segmentation ✓ Identification of characteristics/ desired by consumers, resellers & processors ▪ Upgrade processing ✓ Expansion of artisanal processing ✓ Potential for commercial processing? ▪ Risk reduction/management ✓ Insurance, other innovations

ATTACHMENT J.3 – THEORY OF CHANGE

Theory of Change

The resilience of people, households, communities and systems in agro-pastoralist and marginal agriculture zones in Niger and Burkina Faso will be significantly enhanced by increasing sustainable economic well-being, strengthening institutions and governance, and improving health and nutrition. Those who are chronically vulnerable will adapt and become resilient and those who have adapted and become resilient will become further economically secure and thrive (See Figure 1 next page).

Increased sustainable economic well-being - defined by household income, food access, livelihood asset, and adaptive capacity - will be achieved by scaling-up, deepening, and expanding upon resilient adaptations and innovations already underway. Facilitating the scale-up, deepening and expansion of these adaptations and innovations will also create an avenue for inclusive economic growth that will further increase sustainable economic well-being and further enhance the ability of people, households, communities, systems and countries to mitigate, adapt to and recover from shocks and stresses.

Stronger institutions and governance will provide a critical source of stability that both constitutes and creates resilience - be it in relation to natural resources, disaster, and conflict management or the interface between state and non-state actors. It will also provide the enabling environment needed to facilitate inclusive economic growth and increased and sustainable economic well-being.

Improved health and nutrition are also a critical dimension of and pathway to resilience. First, the impact of poor health and nutrition on human development, individual and aggregate productivity and household resources will constrain and ultimately undermine efforts to facilitate inclusive economic growth and increased and sustainable economic well-being. Second, unanticipated health and nutrition crises within households and the financial and other costs associated with them are, themselves, an idiosyncratic shock (and/or stress) that can initiate or exacerbate the downward spiral of divestment and indebtedness among chronically vulnerable households, leaving them even more vulnerable.

Initiating and sustaining this positive dynamic of change requires working with and investing in entire communities from the most vulnerable to those who are already thriving as the prospects of all are intimately connected. It also requires bolstering the resilience of the social, economic, and natural resource systems in which they reside. Finally, it requires an integrated and comprehensive approach to gender that recognizes women as innovative and dynamic change agents, addresses gender disparities in access to resources, opportunities, and decision making and leverages the economic, political, and socio-cultural attributes, constraints, and opportunities associated with being male and female.

Box 1 - Adaptions Already Underway:

A small, but significant number of people, households and communities are adapting and innovating and, as a result, becoming more resilient to the shocks and stresses:

Extensify - Some have done so by expanding areas under production. However, this strategy is reaching its agro-ecological limits.

Intensify - Others have intensified crop and livestock production through the adoption of appropriate technologies and techniques such as Farmer Managed Natural Regeneration and water harvesting and increased engagement with - and orientation to - markets.
Diversify Still others have reduced their risk and become more resilient by diversifying into alternative livelihoods, including those less susceptible to drought.

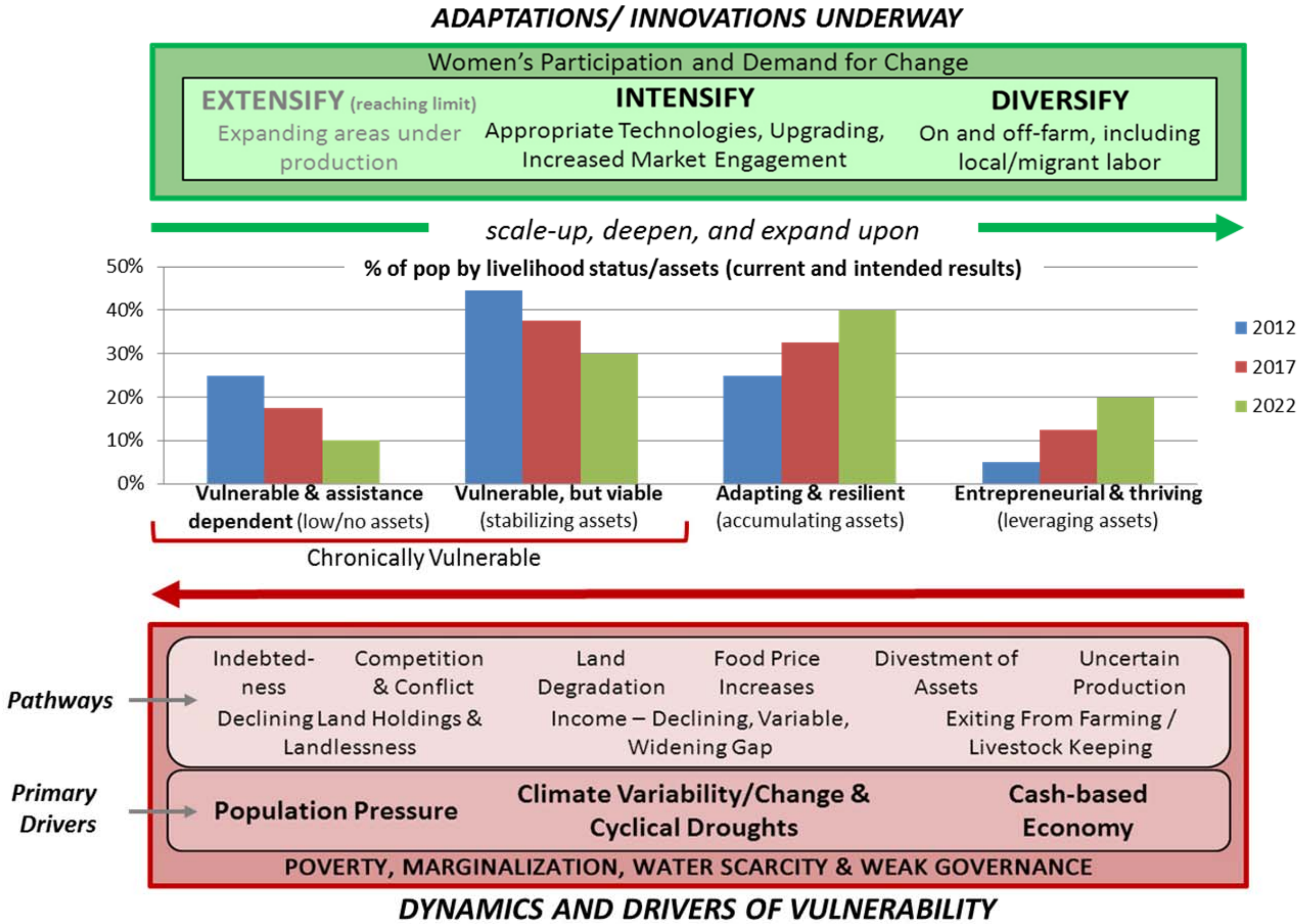
These adaptive strategies are mutually supportive of one another and often pursued simultaneously or sequentially.

Box 2 – The Centrality of Water

Water scarcity features prominently as part of the backdrop against which the dynamics and drivers of vulnerability in the Sahel have played out. Improving access to water for productive and domestic use will be critical to achieve increased and sustainable economic well-being and improved health and nutrition status. Improved water governance is also a critical component of natural resource, conflict and disaster risk management. The effective and sustainable management of ground water resources will be a critical part of the solution. Rain water harvesting and management will be equally critical as up to 50% of the rain that falls is currently lost to run-off and deep drainage (Stoosnijderi & Hoogumoed, 1984). The impact of increasing temperatures and more variable rainfall on supply makes the need for both more pressing still.

Stroosnijderi, L., & Hoogmoed, W. (1984). Crust formation on sandy soils in the Sahel, II Tillage and its effects on the water balance. Soil & Tillage, 4 321-337.

Figure 1 – Dynamics of Change



ATTACHMENT J.4 – PROGRAM COMPONENTS

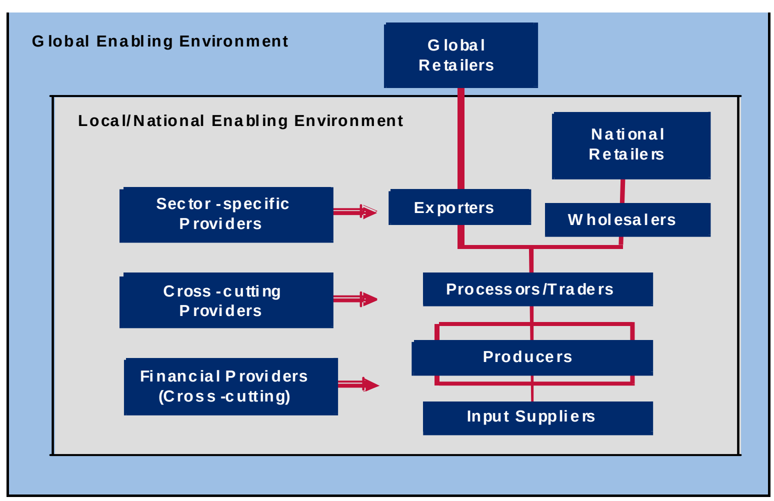
(Please note that some of this material is redundant from Sections C4 and C5)

Overview

REGIS-AG will increase incomes of vulnerable populations by facilitating the improved performance of value chains that involve both men and women and are an important source of livelihoods for vulnerable households. Translating improved value chain performance into incomes for vulnerable populations will be achieved by identifying opportunities to improve targeted market systems, and ensuring the poor's ability to access and compete in markets. Post-production market systems including storage, aggregation, processing, transport, marketing and related services are poorly developed in many agricultural and livestock value chains and are an important potential source of employment and income. Increased access to inputs and supporting services (including finance) will enable men and women in vulnerable households to make the investments needed to participate successfully in promising value chains. An improved enabling environment will provide incentives and reduce risks for households to invest in new technologies and/or practices. REGIS-AG's innovation and investment activities will strengthen the project's capacity to address constraints in the selected value chains or market systems and to buy-down the risks of potential investors along the value chain.

Even in the value chain space, REGIS-AG is not a stand-alone intervention. REGIS-AG will focus on improving the overall performance and inclusiveness of three product value chains (cowpea, small ruminants, and poultry). This will be achieved through facilitation of strategic interventions to strengthen agricultural inputs, processing, marketing and related services for both crops and livestock. The three value chains selected have high potential for commercially oriented activities and either are or have the potential to be critically important sources of income for both men and women in households across livelihood status groups in the target region. The intention is to have the REGIS-AG do a "thorough analysis" in facilitating development of these three value chains, and serve as a model for interventions in non-targeted value chains as well. This will also include efforts to identify areas where value addition and increased productivity can be promoted.

The REGIS-AG Contractor should use a facilitation approach, which aims to improve the functioning of a system and to catalyze systemic change without becoming embedded in the system.[9] Its objective is to ensure sustainability by putting local actors front-and-center as drivers of the change process. It focuses on understanding both the opportunities and constraints that explain why the system – whether economic, natural resource, social or political – functions the way it does. While understanding the "tangible" constraints to systemic change, such as lack of access to resources or markets, facilitation also addresses the "intangibles," such as lack of trust between actors, lack of transparency, rent seeking behavior, power asymmetries and/or socio cultural beliefs and norms that underpin why people behave the way they do. Facilitation also focuses on reaching greater scale by targeting interventions at leverage points—actors or relationships that will stimulate the spread of change without the program replicating activities itself. To achieve both scale and sustainability, programs should seek systemic change –change that improves the functioning of the system as a whole, rather than only improving the performance of specific firms.



To improve value chain competitiveness, REGIS-AG should also take a market systems approach. Market systems is made up of vertically and horizontally linked actors – that include producers, traders, processors, wholesalers and/or exporters – selling to end markets and supported by a range of technical, business and financial service providers (service markets), who enable value chain actors to improve their performance. Both value chain actors and service providers operate within an enabling environment (that includes the natural eco-system, the socio-cultural system as well as the policy and regulatory environment) that either facilitates or hinders sustainable value chain development and competitiveness. Market systems are typically

[9] For a briefing paper on "understanding facilitation": http://microlinks.kdid.org/sites/microlinks/files/resource/files/Facilitation_Brief.pdf

characterized by a gendered division of labor across activities that is continually negotiated and changes over time. The quality of the interconnections, including the ability of actors to cooperate and/or constructively compete, is key to facilitating investments in upgrading and improving competitiveness. Win-win relationships between actors support both social and economic resilience.

This market system is highly dependent on the natural eco-system, governance, and social support networks; and thus the Contractor's interventions in these multi-layers need to be coordinated with REGIS-ER order to achieve economic growth objectives.

All value chains must be addressed within the context of the farming/production systems in which they are produced to better contribute to the livelihoods of rural populations. For example, cowpea is primarily produced as part of a millet-cowpea intercrop; while in the target agro-pastoral system, livestock feeding is in part dependent upon crop residues and by-products from grain processing. While market focused interventions often concentrate on larger-scale producers and better off populations, one of the big challenges here will be to make the benefits of market/value chain participation accessible to the poorest and most vulnerable populations. On the flip side, the larger-scale and better off producers cannot be ignored, as their agricultural enterprises provide the bulk of local employment opportunities, which are also critically important to the poorest and most vulnerable populations.

Value chains also must be addressed in the context of the socio-cultural systems that establish norms related to age, gender and other factors affecting social roles and relationships and the division of labor. Gender norms play an important role in Niger and Burkina Faso in defining economic responsibilities, access to resources, and decision-making over time and income for men and women. For example, women play an important role in production and post-harvest processing of cowpeas, raising poultry, and finishing small ruminants, but incentives for upgrading may be reduced when men mediate their access to markets, information, and finance.

A. *The Selection of the Target Value Chains*

Preliminary analysis indicates that there are significant opportunities to market cowpea, small ruminants and poultry in both local and export markets, the underserved demand for cowpea and small ruminants in West African coastal markets being particularly important. At the same time, these are products that are produced by most smallholder agro-pastoralists in the target zone, and there is reason to believe that production can be increased and/or quality improved, even by the most vulnerable populations. All three provide a means of improving protein poor diets, and eggs, as a secondary product of poultry, provides a regular source of income and diet improvement.

Box 1. Small Ruminants

In 2006, a woman in Gourcy (Burkina Faso) participated in a FFP program to improve small ruminant productivity. She started with a herd of 6 small ruminants from which she generated 30,000 FCFA in annual sales. She adopted a package of improved animal feeding, vaccination and deworming along with improved shelter facilities. Within 3 years she had increased her herd to 33 sheep and goats and generated an income of 200,000 FCFA per year. The additional income was used to pay school fees, improve household health, and purchase cereals for family consumption.

Although livestock production and sales are particularly vulnerable to longer-term drought/climate events, they are less vulnerable than crops to a moisture deficit over several weeks in the middle of a cropping season. While feed availability and animal health concerns constrains poultry and small ruminant numbers, livestock assets can help offset revenue deficits and contribute to food and livelihood security if crops fail in a particular rainy season. Livestock also provide a means of developing an asset ladder, starting with a small investment in poultry, selling some poultry to purchase small ruminants, and potentially selling some small ruminants to purchase a cow/cattle.

The target area as a whole is cereal/millet deficit, and the most vulnerable households are net buyers (rather than surplus producers) of millet, increased revenue from cowpea can serve as both the means and an incentive to improve the common millet-cowpea intercrop. While millet is the most important food staple; in the target area smallholder farmers will typically eat the millet they produce and it will not generate revenue that could then be used, for example to purchase agricultural inputs. Intercropping cowpea and using the revenue it generates to invest in increased productivity provides a strategy for leveraging improvements in millet production as well. REGIS-AG will need to work closely with the FFP and REGIS-ER programs to help ensure that cowpea serves this role as part of the millet-cowpea intercrop production system.

Cowpea consumption provides an important source of protein to what are typically protein poor household diets, and thus serves as an important source of improved household nutrition. Value added processing, particularly to produce bean cakes, a popular street food, is an important source of income for many poor women in the target zone. Cowpea enriched porridge provides another opportunity for value addition that can significantly improve infant and child nutrition.

Box 2. Poultry

A woman in Tougo (Burkina Faso) raised poultry on a very small scale, selling perhaps 10 hens a year for an income of 6,000 FCFA. Cultural traditions limited the number of chickens/livestock that was considered appropriate for a woman to raise. In 2007 a FFP program sensitized men to allow women to increase their livestock production activities and provided production support. Beginning with 20 hens, she was able to sell 89 adult birds for an income of 112,500 FCFA after 7 months, and still increase her flock to 175 birds. She uses the income to pay school fees for 4 children, buy condiments to improve family diet and nutrition, and to reinvest in her aviculture production.

Poultry and small ruminant production, and particularly small ruminant finishing, is closely tied to the millet-cowpea cropping system. In addition to grass, dry grass fodder, and browse from tree or bush leaves, grain stalks and hay from cowpea or other legumes are important components in finishing quality animals and receiving good prices. Finishing and selling several sheep for the Tabaski festival is often one of the best economic opportunities available to smallholder agro-pastoralists, and women have done particularly well in this enterprise.

Finally, there is agreement that crop and livestock production activities would benefit from a value chain analysis, of and improved linkages all along the value chains for agricultural and livestock inputs (e.g. seeds, fertilizer, equipment, vaccines and medicines), and the services necessary for their delivery (e.g. information, extension, financial services). Analysis of how gender affects access to these inputs and services and how to ensure access by women would further enhance incentives for and benefits from intensifying production. The value chain team seems best equipped to handle this aspect of production input value chains and it will help insure that the REGIS-AG is engaged with the REGIS-ER and FFP projects to improve production and linkages between smallholder agro-pastoralists and the market systems.

B. Gender

Improving the resilience of the most vulnerable populations requires a comprehensive approach that engages both men and women in overcoming structural biases and barriers in value chains related to gender. While women face a range of unique challenges in areas of recurrent crisis – and often bear the heaviest burden of shocks and stresses – their individual and collective capacity make them essential agents in building resilience by contributing to and benefiting from intensified production and marketing in selected value chains. REGIS AG will take an evidence-based approach to gender analysis that identifies culturally sensitive ways to effectively reduce gaps between males and females and meet the different needs of men and women. The active engagement of both women and men is essential to inclusive value chain development and will insure community buy-in and preclude any potentially negative impacts, such as by increasing women's burdens. Through a process of inclusive consultation, the program will seek to increase women's access to and use of productive resources (land, water, capital), control over income and time, and build on women's leadership to foster inclusive growth and strong resource management. REGIS' community-driven programming will strive to enable women's participation at all stages by building their capacity and by providing appropriate time and space for women to be part of key discussion and activities.

Women are key actors in the targeted value chains – on farm production, processing, and storage of cowpeas, raising and finishing small ruminants, and producing poultry -- but their access to inputs, services and markets and receipt of money from sales is largely mediated through men. Identifying gender dynamics and relations in these value chains, as they affect the participation and benefits to men and women, will be key to understanding incentives for upgrading and identifying strategic points of intervention that engage both men and women. The aim of project implementation is to empower women in decisions about cowpea, small ruminant, and poultry production and marketing, access to and use of productive resources (land, water, capital and other inputs), and control over income and time use. Women's leadership in communities will be built upon and strengthened to foster inclusive growth and strong resource management. Systematic monitoring, evaluation, and learning components will generate sex disaggregated data at the household and market levels and incorporate impact evaluations around critical questions related to gender equality and women's empowerment in agro-pastoral social and economic systems.

Contractors should specifically indicate how gender issues will be addressed in the technical approach, management, and monitoring, evaluation, and learning. This should include proposing relevant objectives and indicators related to women's empowerment and gender equality. Post-award, bidders should plan to conduct an analysis of gender issues in the specific context and sector and incorporate impact evaluations around critical questions related to gender equality and women's empowerment in social and economic systems.

Component 1: Identify Opportunities through Value Chain and End-Market Analysis
Preliminary analysis indicates that there are significant opportunities to market cowpea, small ruminants and poultry in both local and export markets. There is a vibrant market for cowpea and small ruminants, and to a lesser extent for poultry in the West African coastal markets, particularly Cote D'Ivoire and Ghana for Burkina Faso and Nigeria for Niger.

REGIS-AG should undertake detailed value chain analyses in the target value chains (cowpea, small ruminants, poultry, and agricultural and livestock production inputs and related services). Analysis of opportunities begins with understanding the end markets capable of catalyzing upgrading.[10] These opportunities will demand an improved product (e.g. quality) or operations (e.g. efficiency), will often include value addition and offer returns that incentivize investment in upgrading. Opportunities to upgrade through a series of small riskable steps are particularly important to chronically vulnerable populations. It is important to recognize that these end market and value chain analyses do not start from scratch, but need to fill gaps not covered by existing value chain studies (e.g. : those of FFP projects, the West African Agribusiness and Trade Promotion (ATP/EATP) projects, the Nigeria MARKETS project, and host country "filière" assessments).). It also is important for the value chain analyses and mapping to incorporate gender in assessing the roles and responsibilities of men and women, their access to and control over productive resources (land, labor, capital), value chain relationships, supporting markets, and the enabling environment. This will help to reveal gender biases in resources and opportunities that may reduce incentives for women to upgrade.

REGIS-AG should also facilitate improvements in the ability of stakeholders to understand and participate in such analysis and use end market information to better ensure profitable investments. It will be particularly challenging to ensure that market information and incentives reach chronically vulnerable producers, including women. While women play important roles in production and processing, they traditionally do not participate in livestock markets or cowpea export markets, receiving payments and market information through male family members; which isolates them from market signals. Value chain analysis should seek ways to overcome these constraints for women.

Once REGIS-AG understands the opportunities, the next step will be to understand, with interested parties, why value chain participants have not taken advantage of these opportunities. The lack of responsiveness to market opportunities can be related to enabling environment issues that will be tackled under Component 5 below, or it could relate to relationships among value chain actors. In the latter case, REGIS-AG might use a variety of risk reduction tools (e.g. risk or cost sharing in the form of matching grants, promotional activity grants, loan guarantees, or possibly financial services such as insurance that will be addressed in Component 5) to facilitate new types of relationships and transactions based on mutual benefits. As part of the facilitation approach, the contractor will provide training of trainers in value chain concepts and approach for stakeholders and partner organizations.

Value chain analysis should also seek to identify the potential for value addition, through conditioning/finishing, artisanal or commercial processing, or targeting local nutritional needs (adding cowpea flour to cereal flour to provide high quality foods for infants). Such activities expand or improve the functioning of the value chain and provide important employment and enterprise opportunities for poor and vulnerable populations.

A. Value Chain Analysis

Considerable analysis has already been conducted focused on target value chains.[11] REGIS-AG will build on these existing studies, while using the value chain framework[12] to identify gaps and ensure a holistic analysis. The synthesis of

[10] See http://microlinks.kdid.org/good-practice-center/value-chain-wiki/tools-end-market-analysis

[11] Some sources include "filière" studies done by host country institutions, value chain analyses done by FFP programs, work on trade within the sub-region done by the ATP/E-ATP project, and work done by MARKETS and other programs on value chains in Nigeria.

existing and new analytics that include information on gender dynamics and disparities should begin with asking why the value chain functions as it currently does. Moreover, the goal of analytics is to understand and help stakeholders understand, opportunities, potential drivers of change, and obstacles in the system to improved competitiveness, productivity, and broad-based benefits. Project analytics must clarify end-market opportunities through an analysis of market segmentation, competitiveness by segment, demand characteristics, and the potential for growth and inclusiveness[13]. They should also identify intangible and tangible constraints to these end-market opportunities through value chain analysis. Using a facilitation approach, this analysis should be undertaken with and through stakeholders to the extent possible.

B. Vision and Strategy Development

Analysis should inform a strategy for realizing a vision of more competitive value chains, in which a fair portion of the benefits – in terms of income, nutrition and well-being - accrue to male and female smallholders and poor rural households. Building the capacity of local partners and entrepreneurs is a key element to the success of this program. Effective value chains should provide enterprise and employment opportunities in value addition and services, including processing, storage and aggregation, and other services. The vision should include inter-relationships among the target value chains and with input or supporting industries such as fertilizer, seed and equipment. The strategy for realizing this vision should fit with the overall REGIS-ER strategy and address temporal issues, i.e., identifying short, medium- and long-term strategies and how to sequence interventions to move the value chain from its current state towards the five- to ten-year vision. As REGIS-AG evolves and learns through implementation, the strategy for realizing this vision is bound to change. Nonetheless, the initial strategy becomes a guidepost for project implementation and should be monitored and adjusted throughout the life-of-the-project.

C. Expected Outcomes

- Increased access to end market analytics and information by market players, including women
- Increased ability to use end market information to target market segmentation and access lucrative markets
- Increased participation in markets by all value chain actors
- Reduced disparities between men and women in outcomes related to value chains
- Increased employment or enterprise opportunities in value addition and services for vulnerable populations, including women
- Increased volume and value of domestic and/or export sales (e.g. cowpea, small ruminants, poultry, use of cowpea to fortify porridge used to improve child nutrition, skins, etc.)
- Increased production and marketing of products which target market segments identified in value chain analysis
- Increased volume and value of agricultural and livestock production inputs used by producers in target areas, including finance

Component 2: Strengthen Vertical and Horizontal Value Chain Linkages and Relationships in Selected Value Chains

REGIS-AG should strengthen vertical and horizontal linkages among value chain actors in selected value chains to improve market access and aggregation functions as well as to address failures in cooperation and/or cases of destructive competition. Firms linked vertically through buying and selling relationships, represent conduits for the transfer of learning, information and technical, financial and business services along the chain.

Value chains are driven by relationships between participants both vertically and horizontally. These relationships can be either competitive or cooperative. Both can be good or bad depending on whether they lead to upgrading. Value chains rely heavily on relationships of trust that are hard to build (especially for new entrants without preexisting social or commercial ties), easy to break and embody risk. REGIS-AG should identify leverage points in selected value chains and identify whether they have an appropriate amount of competition, cooperation or trust. Once this is understood, the project will work to improve relationships, where appropriate, to drive upgrading.

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[12] http://www.unido.org/fileadmin/user_media/Services/Agro-Industries/Pro-poor_value_chain_development_2011.pdf
[13] http://www.fao.org/fileadmin/templates/esa/LISFAME/Documents/Ecuador/value_chain_methodology_EN.pdf

Knowledge flow throughout the value chain is critically important for upgrading. Knowledge can flow from supporting markets and services, from horizontally connected firms (e.g. producer to producer) or through vertically linked buying and selling relationships. These knowledge transactions are essential for innovation and sustained value chain competitiveness.

Horizontal linkages between firms—whether formal cooperatives and associations or informal groups—can reduce transaction costs, create economies of scale, and contribute to increased efficiency throughout the chain. In addition to lowering the cost of inputs and services, including financial services, cooperation contributes to shared skills and resources and enhances product quality through common production standards. Moreover, formal and informal linkages also facilitate collective learning and risk sharing while increasing the potential for upgrading and innovation. Horizontal linkages may be particularly important to women, providing an alternative pathway to access markets, market information, and training.

Box 3. Ethnic/Kin Linkages

Historically, linkages are often based on kin or ethnic ties. Hausa, Doula and Mossi merchants are found in most major markets in the region, and they are often involved in the sales of products from back home. A key example is that Hausa migrants from onion producing areas dominate onion marketing in large coastal cities of West Africa. One of the challenges is to expand value chain linkages and sources of information beyond these traditional relationships and gender roles, while at the same time building on the strength of these ties.

BOX 4. ILLUSTRATION OF STRENGTHENING VERTICAL LINKAGES

The DFID funded PROPCOM project in Nigeria developed a substantial stakeholder process, bringing together representatives from all along the value chain. The project used the value chain analysis to contact and consult with key stakeholders regarding issues facing the value chain. This helped inform the design of value chain interventions. Stakeholder meetings reviewed and revised the project's planned interventions, and elected a steering committee to represent the stakeholders in interactions with the project, banks, and government, and lead the advocacy of policies favorable to value chain participants. Stakeholders took ownership of efforts to improve and expand the value chain.

REGIS-AG will complement REGIS-ER and FFP development program efforts to build the capacity of producer associations in target value chains, specifically, with respect to improving the use of market information to guide production and marketing. REGIS-AG will advise the REGIS-ER and the FFP development programs on market segmentation, product quality, varieties/breeds or other characteristics demanded by the markets.

There is significant potential for producer associations to expand their role in storage and bulking functions. Enabling group sales allows significant reduction in transaction costs, particularly transport and handling charges, and increases the potential of relationship-based production and marketing. It also has potential for increasing the participation of women in off-farm post-harvest activities. Group purchases of inputs and related services can potentially serve a similar role. Group savings and credit organizations may be one channel for improving access to capital resources, as well as being another organizational approach that has had some success at the community level, particularly for women. Additional financial tools that REGIS-AG will mobilize are addressed in Component 4.

A. *Expected Outcomes*

- Strengthen vertical linkages that connect value chain actors – smallholder farmers or agro-pastoral producers, traders, processors and/or exporters (women and men) to markets while addressing the nature of relationships and transactions (e.g., trust, distribution of benefits, and willingness to cooperate)
- Strengthen the horizontal linkages of smallholder farmers and agro-pastoral producers, traders, processors, and other value chain actors that enable aggregation and facilitate access to markets, inputs and services
- Improved functioning of organizations (associations, federations, networks) that provide an institutional base for horizontal and vertical linkages of value chain actors
- Learning and innovation among stakeholders that leads to improved competitiveness, greater inclusion of smallholder farmers and small firms (women and men) and greater transparency.

Component 3: Strengthen Input Supply and Other Supporting Services and Improve Smallholder and Agro-pastoralist Access to these Interconnected Markets

Input and service markets are interconnected, and inefficiencies in one market may be caused by another. Access to quality inputs and supporting services (e.g. business development services, agronomic services, ICT, and/or financial services) are important to enable agro-pastoral smallholders, traders, processors, and/or buyers to upgrade. The effective and timely delivery of inputs and services is essential to promoting upgrading for men and women all along the value chain, from smallholders to exporters. Gender may be an important factor in access to and delivery of inputs and services given barriers to women's mobility and limited participation in off farm commercial activities. The Project will strengthen input supply and other supporting services and improve access to these interconnected markets where such interventions can have the greatest leverage for driving growth in selected agriculture markets. Value chain competitiveness is often driven by increases in productivity, and under appropriate conditions, use of agricultural and livestock production inputs are a key source of increased productivity.

Box 5. Layering Efforts to Improve Access to Financial Services

REGIS-AG and REGIS-ER will share responsibility for improving access to financial services. REGIS-AG's primary roles will be to improve understanding of the demand for formal financial services, increase access to and effectiveness of delivery channels for these services (including mobile solutions) and the improved design and availability of formal financial products and services.

REGIS-ER will complement these efforts by improving understanding of the demand for community-based savings and loan mechanisms and other financial service delivery channels that reach vulnerable populations currently outside the reach of the formal financial sector, including women and youth. REGIS-ER will also facilitate improved financial knowledge, skills, practices and behaviors, including the informed use of both community-based and formal financial services by productive enterprises and households, targeting the most vulnerable.

Farmers in the target area, including those in activities beyond cowpeas, poultry and small ruminants, receive little return on investments in improved seed and fertilizer, in the absence of good water and soil management. So while it is essential that the delivery of agricultural inputs and related services be improved, it is critical that these efforts be coordinated with interventions by REGIS-ER and the FFP development programs to improve access to water and climate-smart production practices. Residues and by-products from annual and perennial crops also are important for animal feeding, and particularly for fattening/finishing as part of a marketing strategy. Delivery of livestock production inputs and related services (veterinary medicines and services, feeding supplements, improved breed stock) is equally important and also needs to be closely integrated with FFP development program and REGIS-ER efforts to improve production practices. The provision of agricultural and livestock inputs provides another chance to expand employment and enterprise opportunities in rural communities in the target area.

A. *Expected Outcomes*

- Improved access to affordable, high quality inputs and supporting services that enable men and women value chain actors, from smallholder agro-pastoralists to traders to processors to exporters, to upgrade.
- Improved delivery, in terms of cost effectiveness, timeliness, location of inputs and supporting services that incentivize upgrading and overcome gender barriers that may limit women's access.
- Strengthened input distribution systems that reach women and men smallholder agro-pastoralists
- Improved access to embedded or external financial services (e.g. credit, saving, remittance, insurance, leasing) all along the value chain (men and women) where these services can most effectively enable/incentivize upgrading
- New behaviors that include investment in and use of quality inputs, practices, financial services, new technologies and/or inputs by women and men viewing agriculture as a business
- Increased investment by men and women in upgrading using purchased inputs and services

Box 6. Improving Fertilizer-Use Efficiency by Increasing Soil Organic Matter

Studies in West Africa by the International Fertilizer Development Center (IFDC)* showed that nitrogen fertilizer uptake is substantially higher on soils higher in soil organic matter (SOM). Marenya and Barrett** showed a direct correlation between SOM and the economic use of fertilizer. Working with 260 Kenyan households, they showed that below a certain SOM level, farmers lost money on fertilizer investments. For many farmers, improved fertilizer market conditions alone may be insufficient to stimulate increased fertilizer use without complementary improvements in the biophysical conditions that affect input efficacy.

* Wopereis, M.C.S. et.al, (2006); *Mineral fertilizer management of maize on farmer fields differing in organic inputs in the West African savanna*; Field Crops Research 96 (2006) 355–362
** Marenya, P. P. and C. B. Barrett (2009) *Soil quality and fertilizer use rates among smallholder farmers in western Kenya;* Agricultural Economics 40 (2009) 561–572

Component 4: Increasing Access to Finance, Innovation & Private Sector Investment

Box. 7 Finance and Infrastructure
The IICEM Project in Mali used a loan guarantee fund to help facilitate access to finance for a federation of Irish potato producer organizations. The federation established a rotating fund that allowed producer associations to borrow towards building or renovating potato storage facilities. The significant increase in storage facilities reduced the market glut at harvest, significantly improved prices, and allowed producer associations to extend their marketing over a 5-6 month period. With only modest physical losses and significant price increases, producers achieved substantial increases in income.

Although the role of governments in providing goods and services to rural populations waned significantly during the 1980s-90s, the private sector has not stepped up to take over that role. While in some cases, the enabling environment is seen as the major constraint (see Component 5), the private sector in Burkina Faso and Niger remains weak and has limited capacity to invest. Entrepreneurs and bankers consider the risks to outweigh the rewards of investing in the agricultural sector. This component is intended to work with both entrepreneurs and financial institutions to help overcome some of these constraints. Access to financial tools that can serve as a means to share risk with the value chain stakeholders and offer an incentive to financial institutions to provide resources to the relatively risky agricultural sector will be integral to this process.

REGIS-AG should coordinate closely with banks who have active USAID/Development Credit Authority loan guarantee programs and manage a number of sub-contracts to unleash innovation and private-sector investment. Sub-contracts should be designed to co-invest with private-sector actors in activities that will catalyze change (upgrading) in the target value chains. REGIS-AG will actively seek out promising new private sector partners and provide assistance with business plan development and other business development services so that they may access commercial credit and strengthen their organizational capacities. REGIS AG should look to partner with private firms, government agencies, research institutes, SACCOs, NGOs or other local organizations and other donors that are well placed to address key value chain and systemic constraints. The contractor will work closely with existing and new DCA guarantees to buy down risks for value chain actors to innovate and/or invest, and on broadening and deepening markets without distorting them, and on creating resilient markets and value chains that benefit the most vulnerable populations in the targeted zones.

The Contractor shall design ***an approach to sub-contracting and engagement with the private sector*** that is cost effective. These will be designed to be responsive to the needs of scaling up investments in technology and REGIS-AG's value chain development activities without creating dependency.

The Contractor must incorporate a gender analysis of the target value chains and diversified economic opportunities. This analysis will demonstrate innovations and technologies that reduce women's labor burden, increase productivity of labor typically provided by women, and/or increase productivity of economic activities typically managed by women. This component will have strategies for targeting outreach and communication to women in order to increase their access to finance.

Box 8. Development Credit Authority (DCA)
Despite overwhelming demand for working capital and expansion finance, credit to the agriculture sector in both Niger and Burkina Faso is extremely limited. While some microfinance institutions (MFIs) make small, short-term loans for agricultural production, the agriculture sector in these two countries is still considered risky due to its non-uniform/ seasonal cash flows, rural bias, generally poorly-capitalized and widely-dispersed producers, and price/market/weather risks. Though banks may see profit opportunities, they would likely enter the sector more aggressively with the benefit of a risk mitigant such as a credit guarantee.

USAID intends to increase access to credit among value chain actors in Niger and Burkina Faso through its Development Credit Authority (DCA) loan guarantee mechanism. The REGIS-AG and ER programs will work in tandem with an existing DCA loan portfolio guarantee with Ecobank Niger and Ecobank Burkina Faso to help facilitate the commercialization of the agriculture sector and create market opportunities that increase access to finance on positive terms to creditworthy but underserved potential clients which are largely small and medium-sized enterprises (SME).

Several new and innovative DCA interventions are being investigated by the USAID/DCA Office to provide support to REGIS-AG in getting services down to the most vulnerable populations, including increasing capitalization to local microfinance institutions to support lending to vulnerable populations, working directly with microfinance institutions to reach the targeted most vulnerable borrower group, and agriculture insurance programs and crisis-triggered guarantee products.

A. *Expected Outcomes*

Through carefully selected sub-contracts and loan guarantees, this component will achieve:

- Increased private sector investment in new and/or innovative services and technologies to improve productivity and practices of target value chain actors, including women;
- Increased availability of new and/or innovative services and technologies to improve productivity and practices of target value chain actors, including women (e.g. increased processing of cowpea, livestock products, or cereals to improve value addition and employment, and reduce work drudgery)
- Increased adoption of new and/or innovative services and technologies to improve productivity and practices of target value chain actors, including women;
- Improved gross margins per unit (ha, animal) as a result of the use of new and more productive services, technologies and practices
- Increased number of formal and informal commercial relationships between value chain actors - sustained over time and including fee-for service and relationship-based production arrangements.
- New learning on how to promote resilience through value chain development and diversification of livelihoods.

Component 5: Improve the enabling environment for local and regional private sector investment

REGIS-AG shall improve the enabling environment for investing, especially for local investors aiming to take advantage of local and/or regional market opportunities. REGIS-AG will achieve this result by strengthening the advocacy capacity of associations representing private sector actors throughout the target value chains. By coordinating and linking with activities under REGIS-ER, REGIS-AG interventions aimed at promoting the private sector will help ensure increased investment in value chains important to the livelihoods and resilience of vulnerable populations.

REGIS-AG aims to empower leaders and representative organizations with the information they need to advocate for a fair share of country resources. REGIS-AG shall work with value chain stakeholder organizations to strengthen their ability to advocate before decision makers and make persuasive fact-based arguments to support policies favorable to their members. In particular, it will facilitate strengthening value chain stakeholder organizations in advocacy activities, as well as the development of 'white papers' that provide fact-based rationales to support the arguments the present to decision makers. In all such efforts equity among ethnic and economic groups and gender groups will guide the design of support activities.

In strengthening the enabling environment for increased commercialization of the agricultural and livestock sectors, REGIS-AG will need to consider the informal dimensions of the enabling environment, including the norms, customs and codes of conduct that affect value chain actors' attitudes, behaviors and access to resources and markets. These informal rules are particularly important among agricultural and agro-pastoral smallholders and will be vital to furthering commercialization. Post-production commercial activities such as storage, aggregation, processing, transport, marketing and related services are seriously constrained in many agricultural and livestock value chains, but also provide important opportunities for employment and income generation. REGIS-AG will work with REGIS-ER to foster viable and acceptable pathways for vulnerable populations to effectively engage in commercial activities. These pathways will likely include increased access to markets, finance, crop protection and animal health care as well as culturally acceptable mechanisms for engaging men and women in selling products, gaining land tenure, restocking herds and ensuring the social safety net. To the extent that those pathways challenge existing social norms and structural biases based on gender, age, or other factors, care will be taken to identify culturally sensitive strategies.

A. Expected Outcomes

- Increased voice of the private sector at the policy level
- Improved dispute resolution mechanisms
- Decline in predatory trading practices and rent-seeking behavior
- Increased trust in business relationships (repeat customers, renewed contracts)
- More equitably distributed benefits within value chains
- Increased speed with which innovations spread throughout the agricultural market system

ATTACHMENT J.5 – REQUIRED AND ILLUSTRATIVE INDICATORS BY OBJECTIVE AND RESULT

Objective/Results	*Required and Illustrative Indicators* *(All relevant indicators must be disaggregated by sex)*
IR 2.2:	**High Potential Value Chains Strengthened**
Result 2.2.1 Identify opportunities through value chain and end-market analysis	*Required by FTF* • Value of incremental sales (farm level, by sex of head) • Percent change of value of intra-regional trade in targeted agricultural commodities • Value of new private sector investment in agricultural value chain • Number of private enterprises, producer organizations, water user associations, trade and business associations, and community-based organizations (CBOs) that applied new technologies or management practices as a result of USG assistance • Number of jobs attributed to USG implementation *Illustrative custom indicators*[14] • Number of new management practices adopted by men and women market actors (smallholders, processors, traders, exporters) • Number of supply contracts renewed • Value of revenues generated from sales of target value chain products • Number of women and men beneficiaries benefiting from increased sales of target value chain products • Depth of Poverty
Result 2.2.2 Strengthen vertical & horizontal value chain linkages and relationships in selected value chains	*Required by FTF* • • Number of food security private enterprises (for profit), producer organizations, water user associations, women's groups, trade and business associations and community-based organizations (CBOs) receiving USG assistance • Number of members of producer organizations and community-based organizations receiving USG assistance • Number of stakeholders using climate information in their decision making as a result of USG assistance • Number of stakeholders implementing risk-reducing practices/actions to improve resilience to climate change as a result of USG assistance *Illustrative custom indicators* • Number of contracts (formal or informal) between suppliers and buyers (women/men) • Volume and value of sales resulting from contracts (formal or informal) between suppliers and buyers (women and men) • Number of renewals of contracts (formal or informal) between suppliers and buyers (women/men) • Number of innovations transferred between vertically linked firms
Result 2.2.3	*Required by FTF* • Number of firms (excluding farms) or NGOs engaged in agricultural and food

[14] http://microlinks.kdid.org/sites/microlinks/files/resource/files/Indicators_of_Sustainability.pdf

Objective/Results	*Required and Illustrative Indicators* *(All relevant indicators must be disaggregated by sex)*
Strengthen input supply and other supporting services and improve smallholder access to these interconnected markets	security-related manufacturing and services operating more profitably (at or above cost) because of USG assistance • Number of farmers and others who have adopted new technologies or management practices as a result of USG assistance • Number of additional hectares under improved technologies or management practices as a result of USG assistance • Number of private enterprises, producer organizations, water users associations, trade and business associations, and community-based organizations (CBOs) receiving USG assistance • Number of private enterprises, producers organizations, water users associations, trade and business associations, and community-based organizations (CBOs) that applied new technologies or management practices as a result of USG assistance • Total increase in installed storage capacity (m^3) *Illustrative custom indicators* • Value and volume of purchased services (e.g., transport, business development services, equipment repair, equipment leasing, financial services, ICT) by smallholder farmers, traders, processors, exporters, etc • Number of smallholder farmers, traders, processors, exporters (women and men) purchasing and using new inputs • Number of smallholder farmers, traders, processors, exporters (women and men) purchasing and using new services • Number of new markets that value chain actors (women and men) are able to sell into as a result of upgrading investments
Result 2.2.4 Increasing Innovation and Private-Sector Investment	*Required by FTF* • Value of agricultural and rural loans • Number of MSMEs, including farmers, receiving USG assistance to access loans • Number of MSMEs, including farmers, receiving business development services from USG assisted services • Number of public-private partnerships formed as a result of FtF assistance • Value of new private sector investment in the agriculture sector or food chain leveraged by FtF implementation • Number of firms (excluding farms) or CSOs engaged in agricultural and food security-related manufacturing and services now operating more profitably (at or above cost) because of USG assistance *Illustrative custom indicators* • Number and value of loans to farmers and agro-pastoralists • Number and value of loans to MSMEs (excluding farmers and agro-pastoralists) in the agricultural sector
Result 2.2.5 Improve the enabling environment for local and regional private sector investment	• Number of meetings between association leadership and government representatives • Number of law or regulation changes accepted by host governments and advocated by associations of value chain actors (e.g., farmers, agro-pastoralists, cooperatives, traders, processor, exporter associations) • Number of informal and formal contracts or arrangements between suppliers and buyers

Objective/Results	*Required and Illustrative Indicators* *(All relevant indicators must be disaggregated by sex)*
	• Number of disputes mediated by arbitration mechanisms • Value of increases in smallholder incomes compared to value of sales at end market • Amount of time between the introduction of a new technology and practice and uptake

ATTACHMENT J.6 – SAHEL JOINT PLANNING CELL - OBJECTIVE 1

(The following is a description of Objective 1 taken from the REGIS-ER Cooperative Agreement)

1. Objective 1: Increased and Sustainable Economic Well-Being

Problem Statement: The poor state of economic well-being among households and communities in agro-pastoral and marginal agriculture livelihood zones in Niger and Burkina Faso is characterized by low and unstable incomes, food insecurity, the failure to protect, accumulate and leverage livelihood assets and a compromised ability to adapt to (and recover from) shocks and longer-term stresses. Driven and exacerbated by population pressure and increasing climate variability and change, a number of factors have contributed to this poor; an overreliance on expanding areas under production as an adaptive strategy in a context of declining availability of arable land, a lack of secure access to land, limited access to financial services, limited intensification of crop and livestock production, a lack of access to remunerative markets, a dearth of off and on farm livelihood alternatives, and poor physical market infrastructure.

Goal: Increased and sustainable economic well-being - defined by increased incomes, food security, the accumulation and leveraging of assets and the capacity to adapt to (and recover from) shocks and stresses in the face of population pressure and climate variability and change.

Theory of Change: REGIS-ER will achieve this goal by facilitating the diversification of economic opportunities, intensification through increased crop and livestock productivity and the development of high potential crop and livestock value chains, and improved access to financial services. The expansion of the economy resulting from the intensification and diversification of economic opportunities will increase the demand for a variety of goods and services and, in turn, further expand economic opportunity.

Diversifying livelihood opportunities will provide a critical source of income and livelihood for those with limited access to assets such as productive land or livestock. For those with access to productive land and livestock, it will provide an additional livelihood source and income to complement the seasonal sources, as well as a source of capital to reinvest in existing livelihoods sources or further diversify into others. It will also reduce the covariate risks associated with households and communities being engaged in the same, limited set of climate-sensitive economic activities, particularly if it includes livelihood opportunities that are less susceptible to climate variability and drought, such as migration for employment opportunities elsewhere and natural product value chains.

Facilitating intensification through the development of high potential livestock and crop value chains, climate smart agriculture and water harvesting will provide the foundation upon which diversification and intensification strategies to enhance the resilience of people, households, communities, countries and systems in targeted zones will build. It will enable those with access to productive land and livestock to better leverage these assets through intensified production and improved access to and linkages with remunerative markets. The income derived will provide them with a source of capital to reinvest in existing livelihoods and related enterprises or further diversify into others. For those with limited access to these productive assets, it will afford new labor, service sector and enterprise opportunities and, on a more limited basis, enable marginal land to be converted into more productive land. Secure access to productive land is pre-requisite for creating these opportunities and motivating these investments and will be addressed in objective 2.

Facilitating improved access to financial services, including savings, credit, money transfer services and insurance, will provide the capital needed for populations in the targeted livelihood zones - including the most vulnerable - to become full and active stakeholders in viable value chains linked to intensification and diversification. It will also provide households with a buffer against idiosyncratic shocks such as illness and reduce the risk associated with those migrating for labor opportunities elsewhere sending money home. Improved access to insurance products will provide a means of protecting assets and investments and further reducing risk.

Improved physical market infrastructure such as roads and telecommunications is a critical aspect of the enabling environment required to improve and sustain economic well-being. However, it will not be a focus for this program. Accordingly, REGIS-ER must work in close collaboration with governments and other partners who are working in these areas to ensure all efforts to improve and sustain economic well-being are coordinated and aligned.

Expected Results:

- Increased income among all income quartiles
- Depth of poverty amongst poor households reduced by 20%

- Prevalence of severely and moderately hungry households reduced by 20%
- Stability of income improved (seasonal and trend)
- Increased household asset ownership (productive/non-productive)
- Increased capacity to adapt to climate variability and change
- Women's Empowerment in Agriculture improved (WEAI)

1.1 Diversified Economic Opportunities

Problem Statement: In the absence of other economic opportunities, many vulnerable households rely heavily on local labor opportunities for income. Remuneration is often inadequate, particularly for households who rely solely on it to meet their food and non-food needs. Local labor demand, and therefore labor opportunities, is also highest at critical times during the agricultural cycle such as land preparation and planting and can compete with the need for vulnerable households to tend to their own fields.

Migration for labor opportunities elsewhere can be more lucrative than local, on-farm labor, but it requires capital, networks, and marketable skills, including - ideally - functional literacy. Migration for labor opportunities elsewhere also carries with it substantial risk, including the risk of exploitation and extortion, as well as sexually-transmitted diseases (including HIV/AIDS). Migration for labor can also create friction within households leading to family breakdown. In addition, money earned is not always sent home, further burdening those left at home, most often women and children. The ability to engage in migrant labor is greater for men, as women's mobility is often constrained by social norms. Gender based violence is also an ever present risk.

A significant proportion of vulnerable households also depend heavily on natural resources for income. In the absence of effective natural resource management, practices such as unsustainable charcoal production have resulted in significant environmental degradation, posing a threat to the natural resource base and all livelihoods tied to it. This threat is further exacerbated by acute climate variability and longer-term climate trends.

The innovation necessary to diversify beyond the livelihood activities chronically vulnerable households are already engaged in is constrained by social norms, risk aversion, and a lack of exposure to new ideas and new ways of thinking. High levels of indebtedness further limit the ability (and desire) of vulnerable households to take on additional risk (and credit). The most vulnerable do not participate in producer and marketing groups and community/local governance, further limiting their access to the information and opportunities that give rise to innovation and new ways of thinking.

Goal: An expanded range of diversified, innovative and sustainable economic opportunities for men, women and youth, including opportunities that are less susceptible to climate shocks and stresses and suited to the asset-base and risk tolerance of vulnerable households.

Theory of Change: REGIS-ER will achieve this goal by reducing the risks associated with migrating for labor opportunities, facilitating the development of natural resource product value chains, and encouraging innovation in productive and service oriented enterprises through exposure to new ideas and ways of thinking. The facilitation of high potential crop, small ruminant and poultry value chains in response to market demand, as well as the development of natural product value chains, will further incentivize innovation by creating new labor, processing, aggregation and trade, and service sector opportunities (see objective 1.2). Similarly, the health and nutrition objective (see objectives 3) will similarly create enterprise opportunities associated with increased demand for health and nutrition services and products, including water, sanitation and hygiene.

Reducing the risks associated with (seasonal) migration for labor opportunities will enable chronically vulnerable households to take advantage of these potentially lucrative economic opportunities, particularly in periods of low local labor demand. This will be achieved by facilitating access to national identification documents, developing the skills of laborers to match skills in higher demand, and improving access to information about labor opportunities. In the case of women, it will also entail putting in place the support mechanisms needed to reduce the threat of gender-based violence. Improving access to secure money transfer services will complement these efforts by reducing the risk associated with sending money home (see objective 1.3). The risk of negative social impacts on families, and on women and children left behind in particular, must also be taken into account, mitigated and addressed as part of reducing the risks associated with migration for labor opportunities.

Objective 2.1 of the REGIS-ER program will improve natural resource management, providing the basis for the sustainable exploitation of natural foods, fodder, fuel-wood and other products, including by the most vulnerable.

Facilitating opportunities for men and women to upgrade in and profit from these and other natural product value chains through segmentation, aggregation and processing will also increase the demand for effective natural resource management (see objective 2.1). To do so, the differences in men's and women's roles in natural product value chains must be well understood. The combination of these efforts and the incentives derived from them will transform natural products from a default and marginal source of livelihood for those forced to exit farming and livestock keeping to a viable and adaptive livelihood strategy.

Facilitating exposure to new ideas and new ways of thinking will encourage innovation in productive and service oriented enterprises, including those linked to intensification (objective 1.2) and the demand for health and nutrition services (objective 3). This will be achieved through increased participation in producer and marketing groups and community and local governance structures, as well as exchanges with individuals and communities where enterprise innovation is already taking place. As appropriate, new ideas from outside the programming area will also be introduced. Positive deviance in regard to innovation will serve as a model for others to follow, particularly when it is supported and promoted by local leadership.

Expected results:

- Sustainable natural products value chains developed
- Improved access to identification cards for migrant laborers
- Improved skills for local and migrant labor based on end market demand
- Increased and sustainable income from local and migrant labor
- Increased and sustainable income from natural products
- Increased participation in producer and marketing groups and local and community governance
- Expanded range of alternative, off-farm income generating opportunities
- Increased income from alternative, off-farm income generating opportunities

1.2 Intensified Production and Marketing (Inclusive Value Chain Development)

Problem Statement: Crop and livestock production are constrained by nutrient-poor soils, low and erratic rainfall, intensified rainfall events that produce high run-off, extended intervals between rainfall events that produce early crop and fodder die-back, greater unpredictability of the timing and duration of the rainy season and increasing temperatures. These biophysical conditions are predicted to worsen over time.

Insecure access to productive land, lack of access to water for productive use, perverse natural resources policies, and ineffective natural resource management - including the lack of governance structures for convening various natural resource users and stakeholders - further compound the biophysical challenges noted above. These factors impact all users and stakeholders, but are particularly problematic for marginalized users and stakeholders such as women, youth and agro-pastoralists. The encroachment of farmers into the seasonal rangelands that herders rely on for fodder and water has undermined the viability of mobile livestock keeping (the most productive use of marginal, low-rainfall zones). It has also resulted in competition and conflict over resources.

Knowledge and the diffusion of technologies for addressing biophysical constraints to production are limited. Adoption of solutions that do exist, such as climate smart agriculture and the reclamation of biodegraded lands, can also be labor intensive. The lack of reliable, appropriate, and timely climate information to inform decision making further increases farmer vulnerability - particularly at planting time - leaving less room for error. Similarly, information on pasture conditions and water availability is lacking or underutilized by agro-pastoralists who also face production constraints associated with livestock disease and the high and variable costs of feed and fodder. The tendency to focus on single prescriptions, such as the use of fertilizers in isolation, rather than promoting more resilient farming/herding system solutions to these production constraints has also increased farmer and herder vulnerability.

Lack of access to remunerative markets, more frequent shocks and increasing pressure on natural resources (by both population growth and climate change) has resulted in a downward spiral of indebtedness and divestment leading to destitution. Farmers sell at harvest time when prices are at their lowest to meet immediate needs only to buy back (as food) months later when prices are high. Similarly, the socio-culturally informed tendency of agro-pastoralists to hold livestock as wealth, rather than engaging in more commercially-oriented routine

Box 1 - Warrantage

Warrantage is an inventory credit system that helps farmers avoid the debt trap of selling at harvest when prices are low and buying back during the lean season when prices are at their highest. Farmers receive post-harvest credit in exchange for storing their grain which is treated as collateral for the loan.

sales, results in panic sales under drought conditions when animal prices (and the animal-grain terms of trade) are at their lowest. Lack of access to remunerative markets also undermines the incentives and ability of farmers and agro-pastoralists to invest in intensified production, as do high transaction costs associated with the distribution of inputs to and collection of produce from large numbers of geographically dispersed producers and losses at critical parts of the value chain due to poor post-harvest handling and disease. Women's access to markets is further constrained and mediated by men, limiting their ability to engage in and benefit from lucrative activities such as processing, aggregation and animal finishing.

Horizontal and vertical linkages among value chain participants are weak and underdeveloped. Unbalanced power relations between buyers and sellers have reduced value chain competitiveness to the detriment of producers. With few exceptions, farmers and agro-pastoralists are passive producers of raw materials with few opportunities to add value or get premium prices. Producers and producer organizations, as firms in value chains, are particularly weak in providing storage, aggregating and bulking functions, serving as a channel for financial services and agricultural inputs, negotiating prices and otherwise forming mutually-beneficial partnerships with other firms in the value chain. A lack of established quality standards and poor communication regarding standards that do exist limit opportunities for segmentation. Commercial processing of most crop and livestock products is minimal and artisanal processing is inefficient, similarly limiting opportunities for upgrading.

Box 2 - Improving Fertilizer-Usefficiency by Increasing Soil Organic Matter

Studies in West Africa by the International Fertilizer Development Center (IFDC)* showed that nitrogen fertilizer uptake is substantially higher on soils higher in soil organic matter (SOM). Marenya and Barrett** showed a direct correlation between SOM and the economic use of fertilizer. Working with 260 Kenyan households, they showed that below a certain SOM level, farmers lost money on fertilizer investments. For many farmers, improved fertilizer market conditions alone may be insufficient to stimulate increased fertilizer use without complementary improvements in the biophysical conditions that affect input efficacy.

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** Marenya, P. P. and C. B. Barrett (2009) *Soil quality and fertilizer use rates among smallholder farmers in western Kenya;* Agricultural Economics 40 (2009) 561–572

Goal: Expanded economic opportunities and increased income for men and women, targeting the most vulnerable, from sustainable and resilient crop and livestock enterprises within inclusive and competitive value chains.

Theory of Change: In collaboration with REGIS-AG, REGIS-ER will achieve this goal by promoting climate-smart agriculture and water harvesting and management practices and facilitating the development of inclusive livestock and crop value chains – including the ability of value chain actors to understand and response to changing market demand. These efforts will be informed by research on and analysis of climate change trends to ensure long-term sustainability.

Farmers and agro-pastoralists will be motivated and able to intensify production by improved access to remunerative markets, including access to warrantage (or similar mechanisms) that enable producers to avoid the downward spiral of divestment and indebtedness noted above. They will be further motivated by the dissemination of climate-smart agriculture information, techniques, technologies - including Farmer Managed Natural Regeneration (FMNR), water harvesting, and integrated soil fertility management (ISFM) - to address and temper biophysical and other production constraints that are likely to worsen as a result of climate change and variability. The improved *efficiency* of inputs such as fertilizers enabled by these techniques and technologies will motive and sustain investment in these inputs. Secure access to productive land and effective natural resource and conflict management achieved through objective 2 will provide both an enabling environment for intensification and additional incentives to do so.

Box 3 – Water Harvesting

Research in Mali, Senegal and The Gambia showed that ridge tillage reduced run-off and increased rainfall infiltration by over 60% thereby increasing yields (50-100%), fertilizer-use efficiency (35%), and adding to the ground water (22%) allowing farmers to irrigate in the dry season.

Kablan, R. et.al, (2008). *Amenagement en courbes de niveau: Increasing Rainfall Capture, Storage, and Drainage in Soils in Mali*. Arid Land Research and Management, 22:62-80.
Doumbia, M. et al.(2008). *Sequestration of organic carbon in West African soils by Aménagement en Courbes de Niveau.* Agron. Sustain. Dev.

Linking efforts to improve access to and management of water for productive uses, including through water harvesting, must be linked efforts to improve access to and management of water for domestic uses, including consumption via a multi-use water systems approach (see objective 3.2). Given the amount of time women spend in collecting water, improving access to water for all uses will empower them to live more productive, healthy and dignified lives.

Improved post-harvest handling and disease management knowledge, techniques and technologies and the integration of annual crops, livestock, tree crops and on-farm forestry as part of an intensified and resilient farming system will further improve productivity and further reduce risks associated with climate variability, including drought. Initial gains in productivity, efficiency, risk reduction and income will motivate and rationalize further investment in inputs such as fertilizer, vaccinations and improved feed and seeds. It will also encourage and enable diversification into other on-farm economic activities that will further increase the productivity, income and resilience of households, communities and farming systems. Examples include off-season gardening and livestock keeping among farmers who do not currently own livestock.

Inclusive value chain development will provide the approach and catalyst for this positive dynamic of change. In collaboration with REGIS-AG, REGIS-ER will focus its efforts on facilitating the organization and strengthening of formal and informal producer groups that will augment and aggregate the capacity of individual producers and provide a forum for the business and organizational skills development needed for small-holders to be active stakeholders in viable value chains. The aggregation and organization of individual producers will also strengthen their position when negotiating prices with buyers and input suppliers and reduce transactions costs associated with input supply. Finally, it will provide a platform for improving bulking and storage capacity, disseminating information on market prices, demand, and quality standards for aggregation and segmentation, and improving access to financial services (see objective 2.3).

As noted in objective 1.1, facilitating the development of value chains that have lower barriers to entry and opportunities for low-cost value addition such as processing and aggregation will create new productive enterprise opportunities for those with limited access to productive land and livestock, including women and youth. It will also create new labor and service sector opportunities. Facilitating the expansion of these opportunities and the innovation and skills development necessary for vulnerable men and women to take advantage of them will ensure that the benefits of economic growth are *inclusive* - a necessary condition in both objective 1 and overarching theories of change.

Expected Results:

- Increased income from crop and livestock enterprises by men and women
- Proven climate-smart agriculture practices and technologies scaled up, including FMNR
- Effective use of climate and market information to maintain and increase productivity
- Low-cost technologies and techniques for water harvesting and management scaled up
- Increased use and efficiency of capital inputs (fertilizer, improved seed, vaccinations)
- Increased participation by men and women in formal and informal producer groups
- Producer groups strengthened and linked to inputs, services and markets
- Increased and sustainable access to water for productive use
- Improved demand for and access to agricultural inputs (fertilizer, vaccines, improved seeds)
- Increased capacity to adapt to climate variability and change
- Improved value chain efficiency and competitiveness
- Increased number farming households with livestock (small ruminants and poultry)
- Expanded range of income generating opportunities linked to target value chains (labor, processing, aggregation and trade, service sector)

1.3 Improved Access to Financial Services

Problem Statement: Lack of access to affordable and appropriate financial services - including savings, credit, remittance services and insurance - constrains the ability of households to invest in and take advantage of economic opportunities, including the expanded economic opportunities that will be facilitated by other objectives of this program. It also reduces their ability to effectively respond to and recover from covariate shocks such as drought and unexpected, idiosyncratic shocks such as a health crises within a household.

Box 4 - Layering Efforts to Improve Access to Financial Services

As with component 2.2, REGIS-ER and REGIS-AG will share responsibility for improving access to financial services. REGIS-AG's primary roles will be to improve understanding of the demand for formal financial services, increase access to and effectiveness of delivery channels for these services (including mobile solutions) and the improved design and availability of formal financial products and services.

REGIS-ER will complement these efforts by improving understanding of the demand for community-based savings and loan mechanisms and other financial service delivery channels that reach vulnerable populations currently outside the reach of the formal financial sector, including women and youth. REGIS-ER will also facilitate improved financial knowledge, skills, practices and behaviors, including the informed use of both community-based and formal financial services by productive enterprises and households, targeting the most vulnerable.

Many banks operating in the target livelihood zones charge excessive interest on loans and require collateral in excess of the amount borrowed and micro-finance institutions that exists often charge even higher interest rates. These loan conditions and high interest rates greatly limit the affordability and access, particularly for chronically vulnerable households.

The ability to borrow from friends, family or other socially-embedded insurance schemes for investment or in times of need can provide functional substitutes for some formal services. However, vulnerable households with financial capital deficits are also likely to have social capital deficits, particular in areas where recurrent crises have forced them to lean on others and reduced the ability of others to be leaned on. Moreover, the informal, socially-embedded social safety nets upon which vulnerable households relied on in the past have been eroded to the point where they can no longer be relied upon in times of need (see section 2.3). The result is an overreliance on informal lenders who charge exorbitant rates and, for many, an acceleration of the already downward spiral of divestment and indebtedness.

Box 5 – Development Credit Authority

Despite overwhelming demand for working capital and expansion finance, credit to the agriculture sector in both Niger and Burkina Faso is extremely limited. While some microfinance institutions (MFIs) make small, short-term loans for agricultural production, the agriculture sector in these two countries is still considered risky due to its non-uniform/ seasonal cash flows, rural bias, generally poorly-capitalized and widely-dispersed producers, and price/market/weather risks. Though banks may see profit opportunities, they would likely enter the sector more aggressively with the benefit of a risk mitigant such as a credit guarantee.

USAID intends to increase access to credit among value chain actors in Niger and Burkina Faso through its Development Credit Authority (DCA) loan guarantee mechanism. The REGIS-AG and ER programs will work in tandem with an existing DCA loan portfolio guarantee with Ecobank Niger and Ecobank Burkina Faso to help facilitate the commercialization of the agriculture sector and create market opportunities that increase access to finance on positive terms to creditworthy but underserved potential clients which are largely small and medium-sized enterprises (SME).

Several new and innovative DCA interventions are being investigated by the USAID/DCA Office to provide support to REGIS-AG in getting services down to the most vulnerable populations, including increasing capitalization to local microfinance institutions to support lending to vulnerable populations, working directly with microfinance institutions to reach the targeted most vulnerable borrower group, and agriculture insurance programs and crisis-triggered guarantee products.

Goal: Improved access to affordable and appropriate financial services, including savings, credit, remittance services, and insurance, including products, services and delivery channels that reach and meet the needs of women, youth and the vulnerable.

Theory of Change: In collaboration with REGIS-AG, REGIS-ER will achieve this goal by facilitating the design of financial products, services and delivery channels to reach customers, targeting the most vulnerable, based on an evolving understanding of the demand for financial services.

An improved understanding of the demand for various financial services in the targeted geographic zones will provide the basis for improving the design of products, services and delivery channels to reach customers, targeting the most vulnerable, women and youth. This demand will change and grow as farmers, agro-pastoralists and households engaged in other productive enterprises become full and active stakeholders in viable value chains as a result of efforts to facilitate intensification and diversification and the increasing availability of affordable and appropriate financial services will further enable them to do so.

Facilitating increased access to appropriate credit products will be fundamental in this regard, as will facilitating the ability of households to accumulate investment capital through savings. Improved access to affordable and appropriate savings products will also reduce risks associated with climate variability and unexpected shocks such as health crises within individual households by providing households with a means of smoothing consumption. In turn, this will slow and eventually reverse the downward spiral of divestment and indebtedness noted above, replacing it with an upward spiral of investment and asset accumulation leading to improved economic well-being and resilience. Facilitating improved access to affordable and appropriate insurance products will further reduce these risks for households and enterprises for whom investing in asset and investment protection is rational in relation to the costs associated with doing so[15]. In this sense, improved household access to this range of financial services will both promote and protect chronically vulnerable households.

[15] USAID is exploring the potential use of a Development Credit Authority loan guarantees to support these efforts. http://transition.usaid.gov/our_work/economic_growth_and_trade/development_credit/faq.htm

Improving access to efficient and affordable remittance services alone will not fully remove the risks associated with migration for labor opportunities at the coast or elsewhere. However, reducing the cost, time and security risks associated with money transfer will enable and encourage those migrating for labor opportunities to send money home and, in concert with efforts to facilitate access to identification and development of marketable skills, improve the impact of labor migration on household economic well-being and resilience.

Improved financial capabilities and outcomes associated with facilitated increases in access to and the informed use of the financial products and services outlined above will increase both the depth and breadth of demand for these and other financial products and services. It will also provide an avenue and source of confidence for vulnerable and marginalized groups, including women and youth, to proactively engage in new and innovative economic opportunities.

Expected Results

- Improved financial knowledge, skills, practices, and behaviors
- Financial service delivery channels that reach populations currently outside the reach of formal financial services
- Increased capacity of producer groups to form viable, remunerative partnerships with financial institutions
- Increased use of financial services for intensification and diversification of economic activities by type of service, including by women and youth
- Improved money management practices and informed use of financial services by enterprises and households, targeting the most vulnerable.

ATTACHMENT J.7 – SAHEL FOOD INSECURITY AND COMPLEX EMERGENCY

USAID
FROM THE AMERICAN PEOPLE

SAHEL – FOOD INSECURITY AND COMPLEX EMERGENCY

FACT SHEET #2, FISCAL YEAR (FY) 2013, JANUARY 3, 2013

NUMBERS AT A GLANCE

9 million
Estimated Number of People Affected by Food Insecurity in the Sahel
U.N./National Governments – December 2012

344,326
Total Number of People Displaced by the Conflict in Mali to Sahelian Countries
Mali Protection Cluster and the Office of the U.N. High Commissioner for Refugees (UNHCR) – December 2012

198,558
Internally Displaced Persons (IDPs) in Mali
Mali Protection Cluster – November 2012

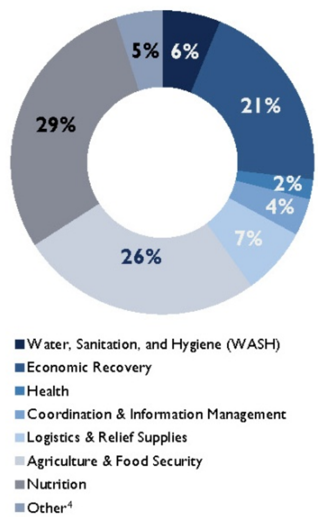
54,117
Malian Refugees in Mauritania
UNHCR – December 2012

52,875
Malian Refugees in Niger
UNHCR – December 2012

38,776
Malian Refugees in Burkina Faso
UNHCR – December 2012

USAID/OFDA[1] FUNDING

BY SECTOR IN FY 2012 AND 2013



HIGHLIGHTS

- USAID provides additional $22.4 million for humanitarian assistance to the Sahel since November
- Robust harvests contribute to overall improved food security in the Sahel
- Situation in Mali remains relatively stable, despite localized insecurity

HUMANITARIAN FUNDING

TO THE SAHEL IN FY 2012 AND 2013

USAID/OFDA	$64,821,795
USAID/FFP[2]	$364,632,549
State/PRM[3]	$38,529,782

$467,984,126
TOTAL U.S. GOVERNMENT (USG) ASSISTANCE TO THE SAHEL

KEY DEVELOPMENTS

- Late 2012 crop assessments in West Africa indicated that cereal production had risen by 13 percent compared to the 2011/2012 harvests and by 18 percent relative to the average production of the past five years, according to the West Africa Food Crisis Prevention Network.[5] While robust harvests will likely improve food security conditions overall, factors such as floods, high food prices, indebtedness, and conflict-related displacement could continue to cause difficulties for vulnerable populations.
- The situation in Mali remains relatively stable, although insecurity continues, particularly in the north. On December 20, the U.N. Security Council unanimously adopted a resolution to allow the deployment of an African-led International Support Mission in Mali (AFISMA) for an initial period of one year to help restore Mali's territorial integrity. The resolution also urged the transitional Government of Mali to finalize a political roadmap that includes credible elections and fully restores constitutional order.

[1] USAID's Office of U.S. Foreign Disaster Assistance (USAID/OFDA)
[2] USAID's Office of Food for Peace (USAID/FFP)
[3] U.S. Department of State's Bureau of Population, Refugees, and Migration (State/PRM)
[4] Other includes funding for natural and technological risk reduction; humanitarian protection activities; and program support costs. Please note that the funding reflects only USAID/OFDA country-specific programs, not region-wide programs.
[5] Network members include the Permanent Interstate Committee for Drought Control in the Sahel (CILSS) and the Economic Community of West African States (ECOWAS).

REGIONAL

- Since November, the number of desert locusts has declined in Chad, Mali, and Niger due to locust migration and widespread control operations, according to the U.N. Food and Agriculture Organization (FAO). Locust breeding has generally halted in the affected countries, and most locusts have migrated north and west to Algeria, Libya, and Mauritania. Nonetheless, FAO notes the continued need for anti-locust survey and control activities, particularly in Mali, northern Niger, and western Mauritania, where some clusters of locusts persist.
- On December 10, the U.N. Security Council issued a statement expressing concern regarding the political and social crises in the Sahel and reaffirmed the need for a U.N. Integrated Regional Strategy for the Sahel to link humanitarian assistance with long-term development to address vulnerability in the region. U.N. Special Envoy for the Sahel Romano Prodi noted that although restoring the unity of Mali was a high priority, regional and international entities should focus on building resilience across the Sahel while still meeting urgent humanitarian needs.
- On December 14, the U.N. launched a 2013 global humanitarian funding appeal that included consolidated appeals (CAPs) for five Sahelian countries. Each CAP reflects proposed funding requirements from U.N. agencies, non-governmental organizations, and other relief agencies working in the country for activities in 2013. Through the CAPs, humanitarian organizations are requesting $135 million for Burkina Faso, $500 million for Chad, $370 million for Mali, $180 million for Mauritania, and $354 million for Niger. The total 2013 requirement of approximately $1.5 billion for the Sahel reflects a nearly 7 percent decrease from the $1.65 billion requested in 2012.

BURKINA FASO

- As of late November, most households in Burkina Faso had completed the annual harvest of cereal crops, and food security conditions were steadily improving as households rebuilt food supplies depleted by last year's food insecurity crisis, according to the USAID-funded Famine Early Warning Systems Network (FEWS NET). Nonetheless, the U.N. estimates that approximately 1.7 million people in Burkina Faso remain food insecure as of late December.
- Through its emergency food security program, USAID/FFP recently contributed more than $1.3 million to Catholic Relief Services (CRS) for the construction and rehabilitation of irrigation systems in Seno and Soum provinces in northern Burkina Faso. The program will help expand and improve land used for the production of agricultural goods for sale, while providing nearly 15,000 Burkinabe with temporary employment during the country's dry season.

CHAD

- Between August and October, heavy seasonal rains in parts of Chad resulted in severe localized flooding, particularly in central and southern areas of the country. By November, floods had affected approximately 700,000 people and destroyed more than 100,000 homes, according to U.N. estimates. Preliminary assessments by humanitarian personnel indicated that priority concerns in affected areas included limited access to safe drinking water and a potential increase in the transmission of waterborne diseases.
- On November 21, U.S. Ambassador Mark M. Boulware declared a disaster due to the effects of the floods. In response, USAID/OFDA provided an initial $50,000 to the Red Cross of Chad to increase affected populations' access to safe drinking water by rebuilding water points in Mayo-Kébbi Est and Tandjilé regions.
- USAID/OFDA is also providing $300,000 to International Medical Corps (IMC) to support water, sanitation, and hygiene (WASH) interventions for vulnerable populations, including flood-displaced individuals. Through IMC, USAID/OFDA is providing affected households with emergency relief commodities, including hygiene kits, water containers, and mosquito nets. To complement the supplies, IMC-trained facilitators plan to conduct hygiene promotion sessions to encourage safe water collection and other sanitary practices.

MALI

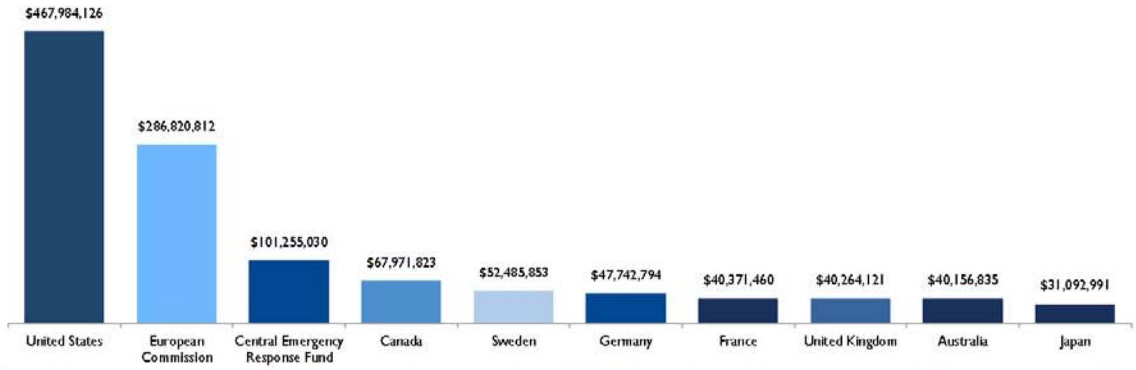
- Although basic foods remain available in markets in northern Mali, sustained above-normal food prices since late 2011 and reduced household incomes—due to disrupted economic activity resulting from continued instability in the region—have limited the capacity of many households to purchase essential food. Approximately 510,000 people in northern Mali are likely experiencing moderate to severe food insecurity and require immediate food assistance, according to the U.N.
- In late November, the Mali Protection Cluster—the coordinating body for humanitarian protection activities in the country—released revised IDP figures. The new estimates, representing the results of recent surveys by multiple partners, indicated that approximately 198,600 IDPs were residing within Mali, slightly lower than the previous estimate of 203,800 IDPs in October. The cluster noted that continuous movements of IDPs within Mali constrain efforts to capture precise information on displacement patterns. In addition, some regional IDP estimates remain cumulative and do not account for returns.
- In December, UNHCR revised the number of Malian refugees in Mauritania and Niger following individual-level registration activities in both countries. In Mauritania, UNHCR revised the refugee caseload from approximately 108,000 to 54,000 people. In Niger, although UNHCR temporarily suspended the registration exercise in mid-December due to the national census, initial results prompted the revision of Malian refugee estimates from approximately 65,000 people in November to nearly 53,000 in December. The reductions reflect the results of UNHCR verification rather than an actual population decrease.
- In FY 2013, USAID/FFP has provided 9,300 metric tons (MT) of U.S. food commodities—valued at approximately $15 million—to the U.N. World Food Program (WFP) to assist refugees and IDPs affected by the conflict in Mali. The food, including vegetable oil, rice, and yellow split peas, will support WFP's targeted food distributions and supplementary feeding activities.

NIGER

- In late November, FEWS NET reported that food security conditions were improving in Niger following surplus agricultural production in most parts of the country. However, the U.N. expects that approximately 2.5 million Nigeriens will likely face food insecurity during the coming year, as is the norm even during years of adequate harvests.
- Heavy seasonal rainfall in Niger mainly in August and September triggered significant flooding of the Niger River, particularly in the western regions of Dosso and Tillabéri, home to nearly 60 percent of the 527,000 people throughout the country affected by floods. A November/December Government of Niger assessment indicated that flood-related agricultural losses may amount to as much as $20 million.
- In response to the flooding, USAID/OFDA is providing nearly $500,000 to the Agency for Technical Cooperation and Development (ACTED) to address the immediate needs of approximately 2,800 flood-displaced individuals in Tillabéri Region. Through ACTED, USAID/OFDA is providing unconditional cash transfers and temporary employment opportunities to households that have lost economic assets during the floods. USAID/OFDA is also supporting the rehabilitation of boreholes to provide displaced populations with access to safe drinking water, as well as hygiene promotion interventions to increase community sanitation awareness and prevent the spread of waterborne diseases.
- To address humanitarian needs associated with the country's chronic food insecurity, USAID/FFP is providing more than 12,000 MT of pulses, oil, and cereals—valued at approximately $20 million—to WFP in support of targeted food assistance to vulnerable populations, as well as supplementary feeding programs for pregnant and lactating women, in Diffa, Dosso, Maradi, Tillabéri, and Zinder regions.

2012 TOTAL FUNDING FOR THE SAHEL*

PER DONOR



*Funding figures are as of January 3, 2013. All international figures are according to OCHA's Financial Tracking Service and based on the 2012 calendar year, while USG figures are according to the USG and reflect the most recent USG commitments since FY 2012, which began on October 1, 2011.

CONTEXT

- In 2012, an estimated 18.7 million people in the Sahel—comprising areas in Burkina Faso, Cameroon, Chad, The Gambia, Mali, Mauritania, Niger, and Senegal—experienced food insecurity resulting from inadequate 2011 harvests. Beginning in January 2012, conflict in northern Mali complicated the situation by triggering massive displacement throughout the region, including to already food-insecure neighboring countries.
- In FY 2012, the USG responded to disaster declarations in Burkina Faso, Cameroon, Chad, The Gambia, Mali, Mauritania, Niger, and Senegal. To date in FY 2013, the USG has reissued disaster declarations in Burkina Faso, Chad, Mali, Mauritania, and Niger.

USAID AND STATE HUMANITARIAN ASSISTANCE TO THE SAHEL PROVIDED IN FY 2013[1]

IMPLEMENTING PARTNER	ACTIVITY	LOCATION	AMOUNT
	USAID/FFP ASSISTANCE TO BURKINA FASO[2]		
CRS	Emergency Food Security Program	Countrywide	$1,309,420
TOTAL USAID/FFP ASSISTANCE TO BURKINA FASO IN FY 2013			**$1,309,420**
	USAID/OFDA ASSISTANCE TO CHAD[3]		
IMC	Logistics Support and Relief Commodities; WASH	Mayo Kebbi Est	$300,000
Red Cross of Chad	WASH	Mayo Kebbi Est and Tandjilé	$50,000
TOTAL USAID/OFDA ASSISTANCE TO CHAD IN FY 2013			**$350,000**
	USAID/FFP ASSISTANCE TO CHAD		
WFP	Title II Emergency Food Assistance	Countrywide	$30,000,000
TOTAL USAID/FFP ASSISTANCE TO CHAD IN FY 2013			**$30,000,000**
TOTAL USAID HUMANITARIAN ASSISTANCE TO CHAD IN FY 2013			**$30,350,000**
	USAID/OFDA ASSISTANCE TO MALI		
	Program Support Costs	Countrywide	$255,194
TOTAL USAID/OFDA ASSISTANCE TO MALI IN FY 2013			**$255,194**

4

USAID/OFDA ASSISTANCE TO NIGER			
ACTED	Economic Recovery and Market Systems; WASH	Countrywide	$499,960
TOTAL USAID/OFDA ASSISTANCE TO NIGER IN FY 2013			**$499,960**
USAID/FFP ASSISTANCE TO NIGER			
WFP	Title II Emergency Food Assistance	Countrywide	$20,000,000
TOTAL USAID/FFP ASSISTANCE TO NIGER IN FY 2013			**$20,000,000**
TOTAL USAID HUMANITARIAN ASSISTANCE TO NIGER IN FY 2013			**$20,499,960**

WEST AFRICA REGIONAL USAID/FFP ASSISTANCE			
WFP	Title II Emergency Food Assistance for Regional Emergency Operation to Assist Refugees and IDPs Affected by Insecurity in Mali	Regional	$15,000,000
TOTAL WEST AFRICA REGIONAL USAID/FFP ASSISTANCE IN FY 2013			**$15,000,000**

TOTAL USG HUMANITARIAN ASSISTANCE TO THE SAHEL IN FY 2013	
TOTAL USAID/OFDA ASSISTANCE	**$1,105,154**
TOTAL USAID/FFP ASSISTANCE	**$66,309,420**
TOTAL USAID HUMANITARIAN ASSISTANCE IN FY 2013	**$67,414,574**

[1] Year of funding indicates the date of commitment or obligation, not appropriation, of funds.
[2] Estimated value of food assistance.
[3] USAID/OFDA funding represents actual or obligated amounts as of January 3, 2013.

USAID AND STATE HUMANITARIAN ASSISTANCE TO THE SAHEL PROVIDED IN FY 2012[4]

TOTAL USG HUMANITARIAN ASSISTANCE TO THE SAHEL IN FY 2012	
TOTAL USAID/OFDA ASSISTANCE	**$63,716,641**
TOTAL USAID/FFP ASSISTANCE	**$298,323,129**
TOTAL STATE/PRM ASSISTANCE[5]	**$38,529,782**
TOTAL USAID AND STATE HUMANITARIAN ASSISTANCE IN FY 2012	**$400,569,552**

[4] Year of funding indicates the date of commitment or obligation, not appropriation, of funds. Funding figures reflect actual or obligated amounts as of September 30, 2012.
[5] State/PRM funding reflects only protection and humanitarian assistance for individuals in the region affected by the conflict in Mali. It does not include other State/PRM assistance provided to refugees, conflict-affected people, and returning migrants across the rest of West Africa.

PUBLIC DONATION INFORMATION

- The most effective way people can assist relief efforts is by making cash contributions to humanitarian organizations that are conducting relief operations. A list of humanitarian organizations that are accepting cash donations for response efforts in the Sahel can be found at www.interaction.org.
- USAID encourages cash donations because they allow aid professionals to procure the exact items needed (often in the affected region); reduce the burden on scarce resources (such as transportation routes, staff time, and warehouse space); can be transferred very quickly and without transportation costs; support the economy of the disaster-stricken region; and ensure culturally, dietary, and environmentally appropriate assistance.
- More information can be found at:
  - The Center for International Disaster Information: www.cidi.org or +1.202.821.1999.
  - Information on relief activities of the humanitarian community can be found at www.reliefweb.int.

USAID/OFDA bulletins appear on the USAID website at
http://www.usaid.gov/what-we-do/working-crises-and-conflict/responding-times-crisis/where-we-work

ATTACHMENT J.8 – PRO-POOR VALUE CHAIN ANALYSIS

LINK:

Sahel JPC Value Chain Analysis Presentation Final 10-4-12:
http://senegal.usaid.gov/sites/default/files/sahel_jpc_value_chain_analysis_presentation_final_10-4-12.pptx

ATTACHMENT J.9 – SAHEL JPC STRATEGY

LINK:

- Sahel JPC Strategy Presentation Public:
  http://senegal.usaid.gov/sites/default/files/sahel_jpc_strategy_presentation_public_1.pdf

ATTACHMENT J.10 – CONTRACTOR EMPLOYEE BIO-DATA SHEET

OMB Control No. 0412-0520; Expiration Date: 02/28/2014

CONTRACTOR EMPLOYEE BIOGRAPHICAL DATA SHEET

1. Name *(Last, First, Middle)*	2. Contractor's Name	
3. Employee's Address *(include ZIP code)*	4. Contract Number	5. Position Under Contract
	6. Proposed Salary	7. Duration of Assignment
8. Telephone Number *(include area code)*	9. Place of Birth	10. Citizenship (*If non-U.S. citizen, give visa status)*
11. Names, Ages, and Relationship of Dependents to Accompany Individual to Country of Assignment		

12. EDUCATION *(include all college or university degrees)*				**13. LANGUAGE PROFICIENCY** *(see Instruction on Page 2)*		
NAME AND LOCATION OF INSTITUTION	MAJOR	DEGREE	DATE	LANGUAGE	Proficiency Speaking	Proficiency Reading
					2/S	2/R
					2/S	2/R
					2/S	2/R

14. EMPLOYMENT HISTORY

1. Give last three (3) years. List salaries separate for each year. Continue on separate sheet of paper if required to list all employment related to duties of proposed assignment.
2. Salary definition – basic periodic payment for services rendered. Exclude bonuses, profit-sharing arrangements, commissions, consultant fees, extra or overtime work payments, overseas differential or quarters, cost of living or dependent education allowances.

POSITION TITLE	EMPLOYER'S NAME AND ADDRESS POINT OF CONTACT &TELEPHONE #	Dates of Employment *(M/D/Y)*		Annual Salary
		From	To	Dollars

15. SPECIFIC CONSULTANT SERVICES *(give last three (3) years)*

SERVICES PERFORMED	EMPLOYER'S NAME AND ADDRESS POINT OF CONTACT &TELEPHONE #	Dates of Employment *(M/D/Y)*		Days at Rate	Daily Rate In Dollars
		From	To		

16. CERTIFICATION: To the best of my knowledge, the above facts as stated are true and correct.

Signature of Employee	Date

17. CONTRACTOR'S CERTIFICATION *(To be signed by responsible representative of Contractor)*

Contractor certifies in submitting this form that it has taken reasonable steps (in accordance with sound business practices) to verify the information contained in this form. Contractor understands that USAID may rely on the accuracy of such information in negotiating and reimbursing personnel under this contract. The making of certifications that are false, fictitious, or fraudulent, or that are based on inadequately verified information, may result in appropriate remedial action by USAID, taking into consideration all of the pertinent facts and circumstances, ranging from refund claims to criminal prosecution.

Signature of Contractor's Representative	Date

AID 1420-17 (04/2007) Page 1 of 2

INSTRUCTION

Indicate your language proficiency in block 13 using the following numeric Interagency Language Roundtable levels (Foreign Service Institute Levels). Also, the following provides brief descriptions of proficiency levels 2, 3, 4, and 5. "S" indicates speaking ability and "R" indicates reading ability. For more in-depth description of the levels refer to USAID Handbook 28 or superseding policy directive.

Limited working proficiency

S Able to satisfy routine special demands and limited work requirements.

R Sufficient comprehension to read simple, authentic written material in a form equivalent to usual printing or typescript on familiar subjects within familiar contexts.

General professional proficiency

S Able to speak the language with sufficient structural accuracy and vocabulary to participate effectively in most formal and informal conversations on practical, social, and professional topics.

R Able to read within a normal range of speed and with almost complete comprehension of a variety of authentic prose material on unfamiliar subjects.

Advanced professional proficiency

S Able to use the language fluently and accurately on all levels normally pertinent to professional needs.

R Able to read fluently and accurately all styles and forms of the language pertinent to professional needs.

Functional native proficiency

S Speaking proficiency is functionally equivalent to that of a highly articulate well-educated native speaker and reflects the cultural standards of a country where the language is natively spoken.

R Reading proficiency is functionally equivalent to that of the well-educated native reader.

PAPERWORK REDUCTION ACT INFORMATION

The information requested by this form is necessary for prudent management and administration of public funds under USAID contracts. The information helps USAID estimate overseas logistic support and allowances, the educational information provides an indication of qualifications, the salary information is used as a means of cost monitoring and to help determine reasonableness of proposed salary.

PAPERWORK REDUCTION ACT NOTICE

Public reporting burden for this collection of information is estimated to average thirty minutes per response, including the time for reviewing instructions, searching existing data sources, gathering and maintaining the data needed, and completing and reviewing the collection of information. Send comments regarding this burden estimate or any other aspect of this collection of information, including suggestions for reducing this burden, to:

United States Agency for International Development
Office of Acquisition and Assistance
Policy Division (M/OAA/P)
Washington, DC 20523-7100;

and

Office of Management and Budget
Paperwork Reduction Project (0412-0520)
Washington, DC 20503

AID 1420-17 (04/2007) Page 2 of 2

ATTACHMENT J.11 – LLL - DISCLOSURE OF LOBBYING ACTIVITIES

DISCLOSURE OF LOBBYING ACTIVITIES

Complete this form to disclose lobbying activities pursuant to 31 U.S.C. 1352
(See reverse for public burden disclosure.)

Approved by OMB
0348-0046

1. Type of Federal Action: ☐ a. contract b. grant c. cooperative agreement d. loan e. loan guarantee f. loan insurance	**2. Status of Federal Action:** ☐ a. bid/offer/application b. initial award c. post-award	**3. Report Type:** ☐ a. initial filing b. material change **For Material Change Only:** year _________ quarter _________ date of last report ______________

4. Name and Address of Reporting Entity: ☐ **Prime** ☐ **Subawardee** Tier ______, *if known*: **Congressional District**, *if known*: 4c	**5. If Reporting Entity in No. 4 is a Subawardee, Enter Name and Address of Prime:** **Congressional District**, *if known*:
6. Federal Department/Agency:	**7. Federal Program Name/Description:** CFDA Number, *if applicable*: _____________
8. Federal Action Number, *if known*:	**9. Award Amount,** *if known*: $
10. a. Name and Address of Lobbying Registrant (*if individual, last name, first name, MI*):	**b. Individuals Performing Services** (*including address if different from No. 10a*) (*last name, first name, MI*):
11. Information requested through this form is authorized by title 31 U.S.C. section 1352. This disclosure of lobbying activities is a material representation of fact upon which reliance was placed by the tier above when this transaction was made or entered into. This disclosure is required pursuant to 31 U.S.C. 1352. This information will be available for public inspection. Any person who fails to file the required disclosure shall be subject to a civil penalty of not less than $10,000 and not more than $100,000 for each such failure.	Signature: ________________________ Print Name: ________________________ Title: ________________________ Telephone No.: ______________________ Date: __________
Federal Use Only:	Authorized for Local Reproduction Standard Form LLL (Rev. 7-97)

PRINT

INSTRUCTIONS FOR COMPLETION OF SF-LLL, DISCLOSURE OF LOBBYING ACTIVITIES

This disclosure form shall be completed by the reporting entity, whether subawardee or prime Federal recipient, at the initiation or receipt of a covered Federal action, or a material change to a previous filing, pursuant to title 31 U.S.C. section 1352. The filing of a form is required for each payment or agreement to make payment to any lobbying entity for influencing or attempting to influence an officer or employee of any agency, a Member of Congress, an officer or employee of Congress, or an employee of a Member of Congress in connection with a covered Federal action. Complete all items that apply for both the initial filing and material change report. Refer to the implementing guidance published by the Office of Management and Budget for additional information.

1. Identify the type of covered Federal action for which lobbying activity is and/or has been secured to influence the outcome of a covered Federal action.
2. Identify the status of the covered Federal action.
3. Identify the appropriate classification of this report. If this is a followup report caused by a material change to the information previously reported, enter the year and quarter in which the change occurred. Enter the date of the last previously submitted report by this reporting entity for this covered Federal action.
4. Enter the full name, address, city, State and zip code of the reporting entity. Include Congressional District, if known. Check the appropriate classification of the reporting entity that designates if it is, or expects to be, a prime or subaward recipient. Identify the tier of the subawardee, e.g., the first subawardee of the prime is the 1st tier. Subawards include but are not limited to subcontracts, subgrants and contract awards under grants.
5. If the organization filing the report in item 4 checks "Subawardee," then enter the full name, address, city, State and zip code of the prime Federal recipient. Include Congressional District, if known.
6. Enter the name of the Federal agency making the award or loan commitment. Include at least one organizationallevel below agency name, if known. For example, Department of Transportation, United States Coast Guard.
7. Enter the Federal program name or description for the covered Federal action (item 1). If known, enter the full Catalog of Federal Domestic Assistance (CFDA) number for grants, cooperative agreements, loans, and loan commitments.
8. Enter the most appropriate Federal identifying number available for the Federal action identified in item 1 (e.g., Request for Proposal (RFP) number; Invitation for Bid (IFB) number; grant announcement number; the contract, grant, or loan award number; the application/proposal control number assigned by the Federal agency). Include prefixes, e.g., "RFP-DE-90-001."
9. For a covered Federal action where there has been an award or loan commitment by the Federal agency, enter the Federal amount of the award/loan commitment for the prime entity identified in item 4 or 5.
10. (a) Enter the full name, address, city, State and zip code of the lobbying registrant under the Lobbying Disclosure Act of 1995 engaged by the reporting entity identified in item 4 to influence the covered Federal action.

    (b) Enter the full names of the individual(s) performing services, and include full address if different from 10 (a). Enter Last Name, First Name, and Middle Initial (MI).
11. The certifying official shall sign and date the form, print his/her name, title, and telephone number.

According to the Paperwork Reduction Act, as amended, no persons are required to respond to a collection of information unless it displays a valid OMB Control Number. The valid OMB control number for this information collection is OMB No. 0348-0046. Public reporting burden for this collection of information is estimated to average 10 minutes per response, including time for reviewing instructions, searching existing data sources, gathering and maintaining the data needed, and completing and reviewing the collection of information. Send comments regarding the burden estimate or any other aspect of this collection of information, including suggestions for reducing this burden, to the Office of Management and Budget, Paperwork Reduction Project (0348-0046), Washington, DC 20503.

ATTACHMENT J.12 – SUMMARY SUBCONTRACT REPORT (SF 295)

SUMMARY SUBCONTRACT REPORT
(See instructions on reverse)

OMB No.: **9000-0007**
Expires: 09/30/2003

Public reporting burden for this collection of information is estimated to average 15.9 hours per response, including the time for reviewing instructions, searching existing data sources, gathering and maintaining the data needed, and completing and reviewing the collection of information. Send comments regarding this burden estimate or any other aspect of this collection of information, including suggestions for reducing this burden, to the FAR Secretariat (MVR), Federal Acquisition Policy Division, GSA, Washington, DC 20405.

1. CORPORATION, COMPANY OR SUBDIVISION COVERED

a. COMPANY NAME

b. STREET ADDRESS

c. CITY | d. STATE | e. ZIP CODE

2. CONTRACTOR IDENTIFICATION NUMBER

3. DATE SUBMITTED

4. REPORTING PERIOD: ☐ OCT 1 - MAR 31 ☐ APR 1 - SEPT 30 YEAR

5. TYPE OF REPORT: ☐ REGULAR ☐ FINAL ☐ REVISED

6. ADMINISTERING ACTIVITY *(Please check applicable box)*

ARMY	DEFENSE LOGISTICS AGENCY	DOE
NAVY	NASA	OTHER FEDERAL AGENCY *(Specify)*
AIR FORCE	GSA	

7. REPORT SUBMITTED AS *(Check one)*: PRIME CONTRACTOR; SUBCONTRACTOR; BOTH

8. TYPE OF PLAN: INDIVIDUAL; COMMERCIAL PRODUCTS

IF PLAN IS A COMMERCIAL PLAN, SPECIFY THE PERCENTAGE OF THE DOLLARS ON THIS REPORT ATTRIBUTABLE TO THIS AGENCY.

9. CONTRACTOR'S MAJOR PRODUCTS OR SERVICE LINES

a | b

CUMULATIVE FISCAL YEAR SUBCONTRACT AWARDS
(Report cumulative figures for reporting period in Block 4)

	TYPE	WHOLE DOLLARS	PERCENT (To nearest tenth of a %)
10a.	SMALL BUSINESS CONCERNS *(Include SDB, WOSB, HBCU/MI, HUBZone SB, VOSB and Service-Disabled VOSB) (Dollar Amount and Percent of 10c.)*		
10b.	LARGE BUSINESS CONCERNS *(Dollar Amount and Percent of 10c.)*		
10c.	TOTAL *(Sum of 10a and 10b.)*		100.0%
11.	SMALL DISADVANTAGED (SDB) CONCERNS *(Include HBCU/MI) (Dollar Amount and Percent of 10c.)*		
12.	WOMEN-OWNED SMALL BUSINESS (WOSB) CONCERNS *(Dollar Amount and Percent of 10c.)*		
13.	HISTORICALLY BLACK COLLEGES AND UNIVERSITIES (HBCU) AND MINORITY INSTITUTIONS (MI) *(If applicable) (Dollar Amount and Percent of 10c.)*		
14.	HUBZONE SMALL BUSINESS (HUBZone SB) CONCERNS *(Dollar Amount and Percent of10c.)*		
15a.	VETERAN-OWNED SMALL BUSINESS (VOSB) CONCERNS *(Dollar Amount and Percent of10c.)*		
15b.	SERVICE-DISABLED VETERAN-OWNED SMALL BUSINESS CONCERNS *(Dollar Amount and Percent of10c.)*		

16. REMARKS

17. CONTRACTOR'S OFFICIAL WHO ADMINISTERS SUBCONTRACTING PROGRAM

a. NAME | b. TITLE | c. TELEPHONE NUMBER: AREA CODE | NUMBER

18. CHIEF EXECUTIVE OFFICER

a. NAME | c. SIGNATURE

b. TITLE | d. DATE

AUTHORIZED FOR LOCAL REPRODUCTION
Previous edition is not usable

STANDARD FORM 295 (REV. 10-2000)
Prescribed by GSA - FAR (48 CFR) 53.219(b)

GENERAL INSTRUCTIONS

1. This report is not required from small businesses.

2. This form collects subcontract award data from prime contractors/subcontractors that: (a) hold one or more contracts over $500,000 (over $1,000,000 for construction of a public facility); and (b) are required to report subcontracts awarded to Small Business (SB), Small Disadvantaged Business (SDB), Women-Owned Small Business (WOSB), Veteran-Owned Small Business (VOSB), Service-Disabled Veteran-Owned Small Business, and HUBZone Small Business (HUBZone SB) concerns under a subcontracting plan. For the Department of Defense (DOD), the National Aeronautics and Space Administration (NASA), and the Coast Guard, this form also collects subcontract award data for Historically Black Colleges and Universities (HBCUs) and Minority Institutions (MIs).

3. This report must be submitted semi-annually (for the six months ended March 31st and the twelve months ended September 30th) for contracts with the Department of Defense (DOD) and annually (for the twelve months ended September 30th) for contracts with civilian agencies, except for contracts covered by an approved Commercial Plan (see special instructions in right-hand column). Reports are due 30 days after the close of each reporting period.

4. This report may be submitted on a corporate, company, or subdivision (e.g., plant or division operating on a separate profit center) basis, unless otherwise directed by the agency awarding the contract.

5. If a prime contractor/subcontractor is performing work for more than one Federal agency, **a separate report shall be submitted to each agency covering only that agency's contracts**, provided at least one of that agency's contracts is over $500,000 (over $1,000,000 for construction of a public facility) and contains a subcontracting plan. (Note that DOD is considered to be a single agency; see next instruction.)

6. **For DOD, a consolidated report should be submitted for all contracts awarded by military departments/agencies and/or subcontracts awarded by DOD prime contractors.** However, DOD contractors involved in construction and related maintenance and repair must submit a separate report for each DOD component.

7. Only subcontracts involving performance within the U.S., its possessions, Puerto Rico, and the Trust Territory of the Pacific Islands should be included in this report.

8. **Purchases from a corporation, company, or subdivision that is an affiliate of the prime/subcontractor are not included in this report.**

9. Subcontract award data reported on this form by prime contractors/subcontractors shall be limited to awards made to their immediate subcontractors. **Credit cannot be taken for awards made to lower tier subcontractors.**

10. See special instructions in right-hand column for Commercial Plans.

SPECIFIC INSTRUCTIONS

BLOCK 2: For the Contractor Identification Number, enter the nine-digit Data Universal Numbering System (DUNS) number that identifies the specific contractor establishment. If there is no DUNS number available that identifies the exact name and address entered in Block 1, contact Dun and Bradstreet Information Services at 1-800-333-0505 to get one free of charge over the telephone. Be prepared to provide the following information: (1) Company name; (2) Company address; (3) Company telephone number; (4) Line of business; (5) Chief executive officer/key manager; (6) Date the company was started; (7) Number of people employed by the company; and (8) Company affiliation.

BLOCK 4: Check only one. Note that March 31 represents the six months from October 1st and that September 30th represents the twelve months from October 1st. Enter the year of the reporting period.

BLOCK 5: Check whether this report is a "Regular," "Final," and/or "Revised" report. **A "Final" report should be checked only if the contractor has completed all the contracts containing subcontracting plans awarded by the agency to which it is reporting.** A "Revised" report is a change to a report previously submitted for the same period.

BLOCK 6: Identify the department or agency administering the majority of subcontracting plans.

BLOCK 7: This report encompasses all contracts with the Federal Government for the agency to which it is submitted, including subcontracts received from other large businesses that have contracts with the same agency. Indicate in this block whether the contractor is a prime contractor, subcontractor, or both (check only one).

BLOCK 8: Check only one. Check "Commercial Plan" only if this report is under an approved Commercial Plan. For a Commercial Plan, the contractor must specify the percentage of dollars in Blocks 10a through 15b attributable to the agency to which this report is being submitted.

BLOCK 9: Identify the major product or service lines of the reporting organization.

BLOCKS 10a through 15b: These entries should include all subcontract awards resulting from contracts or subcontracts, regardless of dollar amount, received from the agency to which this report is submitted. If reporting as a subcontractor, report all subcontracts awarded under prime contracts. Amounts should iinclude both direct awards and an appropriate prorated portion of indirect awards. (The indirect portion is based on the percentage of work being performed for the organization to which thereport is being submitted in relation to other work being performed by the prime contractor/subcontractor.) Do not include awards made in support of commercial business unless "Commerical" is checked in Block 8 (see Special Instructions for Commercial Plans in right hand column). Report only those dollars subcontracted this fiscal year for the period indicated in Block 4.

BLOCK 10a: Report all subcontracts awarded to SBs including subcontracts to SDBs, WOSBs, VOSBs, and HUBZone SBs. For DOD, NASA, and Coast Guard contracts, include subcontracting awards to HBCUs and MIs.

BLOCK 10b: Report all subcontracts awarded to large businesses (LBs).

BLOCK 10c: Report on this line the grand total of all subcontracts (the sum of lines 10a and 10b).

BLOCKS 11 through 15b: Each of these items is a subcategory of Block 10a. Note that in some cases the same dollars may be reported in more than one block (e.g., SDBs owned by women); likewise subcontracts to HBCUs or MIs should be reported on both Block 11 and 13.

BLOCK 11: Report all subcontracts awarded to SDBs (including women-owned, veteran-owned, and HUBZone SB SDBs). For DOD, NASA, and Coast Guard contracts, include subcontract awards to HBCUs and MIs.

BLOCK 12: Report all subcontracts awarded to WOSB firms (including SDBs, VOSBs, and HUBZone SBs owned by women).

BLOCK 13: (For contracts with DOD, NASA, and Coast Guard): Enter the dollar value of all subcontracts with HBCUs/MIs.

BLOCK 14: Report all subcontracts awarded to HUBZone SBs (including women-owned, veteran-owned, and SDB HUBZone SBs).

BLOCK15a: Report all subcontracts awarded to VOSBs (including women-owned, SDB, and HUBZone SB VOSBs).

BLOCK 15b: Report all subcontracts awarded to service disabled VOSBs (these subcontracts should also be reported in Block 15a).

SPECIAL INSTRUCTIONS FOR COMMERCIAL PLANS

1. This report is due on October 30th each year for the previous fiscal year ended September 30th.

2. The annual report submitted by reporting organizations that have an approved company-wide annual subcontracting plan for commercial items shall include all subcontracting activity under commercial plans in effect during the year **and shall be submitted in addition to the required reports for other-than-commercial items, if any.**

3. Enter in Blocks 10a through 15b the total of all subcontract awards under the contractor's Commercial Plan. **Show in Block 8 the percentage of this total that is attributable to the agency to which this report is being submitted.** This report must be submitted to each agency from which contracts for commercial items covered by an approved Commercial Plan were received.

DEFINITIONS

1. Direct Subcontract Awards are those that are identified with the performance of one or more specific Government contract(s).

2. Indirect Subcontract Awards are those which, because of incurrence for common or joint purposes, are not identified with specific Government contracts; these awards are related to Government contract performance but remain for allocation after direct awards have been determined and identified to specific Government contracts.

SUBMITTAL ADDRESSES FOR ORIGINAL REPORT

For DOD Contractors, send reports to the cognizant contract administration office as stated in the contract.

For Civilian Agency Contractors, send reports to awarding agency:

1. NASA: Forward reports to NASA, Office of Procurement (HS), Washington, DC 20546

2. OTHER FEDERAL DEPARTMENTS OR AGENCIES: Forward report to the OSDBU Director unless otherwise provided for in instructions by the Department or Agency.

FOR ALL CONTRACTORS:

SMALL BUSINESS ADMINISTRATION (SBA): Send "info copy" to the cognizant Commercial Market Representative (CMR) at the address provided by SBA. Call SBA Headquarters in Washington, DC at (202) 205-6475 for correct address if unknown.

STANDARD FORM 295 (REV. 10-2000) **BACK**

ATTACHMENT J.13 – USAID SMALL BUSINESS SUBCONTRACTING PLAN TEMPLATE

(Also see Federal Acquisition Regulation 19.704 and 52.219-9)
http://spsinternal.usaid.gov/OSDBU/Pages/Home.aspx

The U.S. Agency for International Development's Office of Small and Disadvantaged Business Utilization (OSDBU) recommends that offerors use the following format to submit proposed Individual Subcontracting Plans, including modifications. While this template has been designed to be consistent with Federal Acquisition Regulation (FAR) 52.219-9, other formats of a subcontracting plan may be acceptable. However, failure to include the essential information as exemplified in this model may be cause for either a delay in acceptance or the rejection of a bid or offer where the clause is applicable. Further, the use of this template is not intended to waive other requirements that may be applicable under FAR 52.219-9 or that may appear in the Government's solicitation. This template is not intended to replace any existing Corporate/Commercial Plan that is more extensive.

A subcontracting Plan is generally required if the estimated cost of the contract **may exceed $650,000 ($1,500,000 for construction) and the contract has subcontracting possibilities.** See FAR 19.702 for exemptions.

.

SOLICITATION NUMBER: ____

CONTRACT VEHICLE (CHECK ONE):

STAND-ALONE CONTRACT ___ **INDEFINITE QUANTITY CONTRACT (IQC)___**

FEDERAL SUPPLY SCHEDULE ORDER___ **CONTRACT MODIFICATION___**

Note: Federal Acquisition Regulations do not require Subcontracting Plans for Task Orders against IQC contracts. Subcontracting utilization for Task Orders is reported against the base contract for IQC contracts.

DATE OF PLAN SUBMISSION: ____
CONTRACTOR: ____
ADDRESS: ____
STATE/ZIP CODE____

DUNN & BRADSTREET (DUNS) NUMBER: _______________________________

ITEM/SERVICE (Description): ____
____
____
____

<u>NEW/INITIAL CONTRACT</u>

PERIOD OF CONTRACT PERFORMANCE (MM/DD/YYYY – MM/DD/YYYY):______________

Base (if options apply) $____________________ Performance Period/Quantity _____________
Option 1: $____________________ Performance Period/Quantity _____________

Option 2:	$____________________	Performance Period/Quantity _____________
Option 3:	$____________________	Performance Period/Quantity _____________
Option 4:	$____________________	Performance Period/Quantity _____________
	$____________________	**Total Contract Cost**

CONTRACT MODIFICATION (if applicable)

NEW PERIOD OF CONTRACT PERFORMANCE (MM/DD/YYYY – MM/DD/YYYY):__________

Original/Base	$____________________	Performance Period/Quantity _________
Modification	$____________________	Performance Period/Quantity _________
Task Order	$____________________	Performance Period/Quantity _________
	$____________________	**Modified Total Contract Cost**

Failure to include the essential information of FAR Subpart 19.7 may be cause for either a delay in acceptance or the rejection of a bid or offer when a subcontracting plan is required. "SUBCONTRACT," as used in this clause, means any agreement (other than one involving an employer-employee relationship) entered into by a Federal Government prime contractor or subcontractor requesting supplies or services required for performance of the contract or subcontract.

If assistance is needed to help locate small business sources, contact the Small Business Specialist (SBS) in OSDBU that supports the applicable USAID Bureau. The main phone number for OSDBU is (202) 567-4730.

USAID's FY 2012 and FY 2013 Subcontracting Goals are:

Small Business (SB)	**26.50%**
Service Disabled Veteran Owned Small Business (SDVOSB)	**3.00%**
Small Disadvantaged Businesses (SDB, includes Section 8(a) firms)	**5.00%**
Woman-Owned Small Business (WOSB)	**5.00%**
Historically Underutilized Business Zone Small Business (HUBZone)	**3.00%**

Type of Plan (check one)

_____ ***Individual plan*** (all elements developed specifically for this contract and applicable for the full term of this contract).

_____ ***Master plan*** (goals developed for this contract) all other elements standardized and approved by a lead agency Federal Official; must be renewed every three years and contractor must provide copy of lead agency approval.

_____ ***Commercial products/service plan*** (goals are negotiated with the initial agency on a company-wide basis rather than for individual contracts) this plan applies to the entire production of commercial service or items or a portion thereof. The contractor sells commercial products and services customarily used for non-government purposes. The plan is effective during the offeror's fiscal year (attach a copy).

2. Goals

Below indicate the dollar and percentage goals for Small Business (SB), Small Disadvantaged (SDB) including Alaska Native Corporations and Indian Tribes, Women-owned and Economically Disadvantaged Women-Owned (WOSB), Historically Underutilized Business Zone (HUBZone), Veteran Owned Small Business (VOSB), Service-Disabled Veteran-Owned (SDVOSB) Small Businesses and "Other than Small Business" (Other) as subcontractors. Indicate the base year and each option year, as specified in FAR 19.704 or project annual subcontracting base and goals under commercial plans. If any contract has more four options, please attach additional sheets which illustrate dollar amounts and percentages. **PLEASE NOTE: Zero dollars is not an acceptable goal for the SB, SDB, WOSB, HUBZone, VOSB or SDVOSB categories since this does not demonstrate a good faith effort throughout the period of performance of the contract.** Formula for below: 2.b. + 2.h. = 2.a.

a. **Total estimated dollar value of ALL planned subcontracting**, i.e., with ALL types of concerns under this contract is ____________ (Base Period - if options apply).

FY ___1st Option $ ______________ FY ___2nd Option $ ______________ FY ___3rd Option $ ______________ FY ___4th Option $ ______________

b. **Total estimated dollar value and percent of planned subcontracting with SMALL BUSINESSES** (including SDB, WOSB, HUBZone, VOSB and SDVOSB): (% of "a") $ ________________ and ________________% (Base Period - if options apply)

FY ___1st Option $ ______________ FY ___2nd Option $ ______________ FY ___3rd Option $ ______________ FY ___4th Option $ ______________

c. Total estimated dollar value and percent of planned subcontracting with **SMALL DISADVANTAGED BUSINESSES**: (% of "a") $ ________________ and ________________% (Base Period - if options apply)

FY ___1st Option $ ______________ FY ___2nd Option $ ______________ FY ___3rd Option $ ______________ FY ___4th Option $ ______________

d. Total estimated dollar value and percent of planned subcontracting with **WOMEN-OWNED SMALL BUSINESSES**: (% of "a") $ ________________ and ________________% (Base Period - if options apply)

FY ___1st Option $ ______________ FY ___2nd Option $ ______________ FY ___3rd Option $ ______________ FY ___4th Option $ ______________

e. Total estimated dollar and percent of planned subcontracting with **HUBZone SMALL BUSINESSES**:
(% of "a") $ ________________ and _________% (Base Period - if options apply)

FY ___1st Option $ ______________ FY ___2nd Option $ ______________ FY ___3rd Option $ ______________ FY ___4th Option $ ______________

f. Total estimated dollar and percent of planned subcontracting with **VETERAN-OWNED SMALL BUSINESSES**: (% of "a") $ ____________and ________________% (Base Period - if options apply)

FY ___1st Option $ ______________ FY ___2nd Option $ ______________ FY ___3rd Option $ ______________ FY ___4th Option $ ______________

g. Total estimated dollar and percent of planned subcontracting with **SERVICE-DISABLED VETERAN-OWNED SMALL BUSINESSES**: (% of "a") $ ________________ and ________________% (Base Period - if options apply)

FY ___1st Option $ ______________ FY ___2nd Option $ ______________ FY ___3rd Option $ ______________ FY ___4th Option $ ______________

h. Total estimated dollar and percent of planned subcontracting with **"OTHER THAN SMALL BUSINESSES"** *(As defined by the Small Business Administration as "any entity that is not classified as a U.S. small business. This includes large businesses, state and local governments, non-profit organizations, public utilities, educational institutions and foreign-owned firms.)*

i. (% of "a") $ ________________ and ________________% (Base Period - if options apply)

FY ___1st Option $ ______________ FY ___2nd Option $ ______________ FY ___3rd Option $ ______________ FY ___4th Option $ ______________

i. Provide a description of ALL the products and/or services to be subcontracted under this contract, and indicate the size and type of business supplying them (check all that apply):

Products and/or Services	Other	Small Business	SDB	WOSB	Hubz	VOSB	SDVOSB
1							
2							
3							
4							
5							
6							
7							
8							
9							
10							

j. Provide a description of the method used to develop the subcontracting goals for SB, SDB, WOSB, HUBZone and SDVOSB concerns. Address efforts made to ensure that maximum practicable subcontracting opportunities have been made available for those concerns and explain the method used to identify potential sources for solicitation purposes. Explain the method and state the quantitative basis (in dollars) used to establish the percentage goals. Also, explain how the areas to be subcontracted to SB, WOSB, HUBZone, VOSB and SDVOSB concerns were determined, how the capabilities of these concerns were considered contract opportunities and how such data comports with the cost proposal. Identify any source lists or other resources used in the determination process. (Attach additional sheets, if necessary.)

____

____

____

k. Indirect costs have ____ have not ____ been included in the dollar and percentage subcontracting goals above (check one).

l. If indirect costs have been included, explain the method used to determine the proportionate share of such costs to be allocated as subcontracts to SB, SDB, WOSB, HUBZone, VOSB and SDVOSB concerns:

____

____

____

3. Subcontracting Program Administrator:

NAME: ____

TITLE: ____

ADDRESS: ____

____

____

TELEPHONE: ____

E-MAIL: ____

Duties: Does the individual named above have general overall responsibility for the company's subcontracting program, i.e., developing, preparing, and executing subcontracting plans and monitoring performance relative to the requirements of those subcontracting plans and perform the following duties? ___yes ___no (If NO is checked, please identify who in the company performs those duties, or indicate why the duties are not performed in your company on a separate sheet of paper and submit with the proposed subcontracting plan.)

a. Developing and promoting company-wide policy initiatives that demonstrate the company's support for awarding contracts and subcontracts to SB, SDB, WOSB, HUBZone, VOSB and SDVOSB concerns; and for assuring that these concerns are included on the source lists for solicitations for products and services they are capable of providing; __yes __ no

b. Developing and maintaining bidder source lists of SB, SDB, WOSB, HUBZone, VOSB and SDVOSB concerns from all possible sources; __yes __ no

c. Ensuring periodic rotation of potential subcontractors on bidder's lists; __ yes __ no

d. Assuring that SB, SDB, WOSB, HUBZone, VOSB and SDVOSB businesses are included on the bidders' list for every subcontract solicitation for products and services that they are capable of providing. __ yes __ no

e. Ensuring that Requests for Proposals (RFPs) are designed to permit the maximum practicable participation of SB, SDB, WOSB, HUBZone, VOSB and SDVOSB concerns. __ yes __ no

f. Reviewing subcontract solicitations to remove statements, clauses, etc., which might tend to restrict or prohibit small, 8(a), SDB, WOSB, HUBZone, VOSB and SDVOSB small business participation. __ yes __ no

g. Accessing various sources for the identification of SB, SDB, WOSB, HUBZone, VOSB and SDVOSB concerns to include SBA's Dynamic Small Business Search web page (http://dsbs.sba.gov/dsbs/search/dsp_dsbs.cfm) and/or the System for Awards Management (www.sam.gov), local small business and minority associations, local chambers of commerce and Federal agencies' Small Business Offices; ___ yes ___ no

h. Establishing and maintaining contract and subcontract award records; __ yes __ no

i. Participating in Business Opportunity Workshops, Minority Business Enterprise Seminars, Trade Fairs, Procurement Conferences, etc; __ yes __ no

j. Ensuring that SB, SDB, WOSB, HUBZone, VOSB and SDVOSB concerns are made aware of subcontracting opportunities and assisting concerns in preparing responsive bids to the company; __ yes __ no

k. Conducting or arranging for the conduct of training for purchasing personnel regarding the intent and impact of Section 8(d) of the Small Business Act, as amended; __ yes __ no

l. Monitoring the company's subcontracting program performance and making any adjustments necessary to achieve the subcontract plan goals; ___yes ___ no

m. Preparing and submitting timely, required subcontract reports; ___ yes ___ no

n. Conducting or arranging training for purchasing personnel regarding the intent and impact of 8(d) of the Small Business Act on purchasing procedures; __ yes __ no

o. Coordinating the company's activities during the conduct of compliance reviews by Federal agencies; and __ yes __ no

p. Other duties: ____
____
____

4. Equitable Opportunity

Describe efforts the offeror will undertake to ensure that SB, SDB, WOSB, HUBZone, VOSB and SDVOSB concerns will have an equitable opportunity to compete for subcontracts. These efforts include, but are not limited to, the following activities:

a. Outreach efforts to obtain sources:

1. Contact minority and small business trade associations
2. Contact business development organizations and local chambers of commerce
3. Attend SB, SDB, WOSB, HUBZone, VOSB and SDVOSB procurement conferences and trade fairs

4. Review sources from the Dynamic Small Business Search web page (http://dsbs.sba.gov/dsbs/search/dsp_dsbs.cfm)
5. Review sources from the System for Award Management web page (www.sam.gov)

Additional efforts: ____
____

b. Internal efforts to guide and encourage purchasing personnel:

1. Conduct workshops, seminars and training programs;
2. Establish, maintain, and utilize SB, SDB, WOSB, HUBZone, VOSB and SDVOSB source lists, guides, and other data for soliciting subcontractors; and
3. Monitor activities to evaluate compliance with the subcontracting plan.

Additional efforts: ____
____

5. Flow-Down Clause

The contractor agrees to include the provisions under FAR 52.219-8, "Utilization of Small Business Concerns," in all acquisitions exceeding the simplified acquisition threshold that offers further subcontracting opportunities. All subcontractors (except small business concerns) that receive subcontracts in excess of $650,000 ($1,500,000 for construction) must adopt and comply with a plan similar to the plan required by FAR 52.219-9, "Small Business Subcontracting Plan." [Note: In accordance with FAR 52.212-5(e), the contractor is not required to include flow-down the clause if it is subcontracting commercial items.]

6. Reporting and Cooperation

The contractor gives assurance that it will

i. Cooperation in any studies or surveys that may be required;
ii. Submit periodic reports which illustrate compliance with the subcontracting plan
iii. Submit its Individual Subcontracting Report (ISR) and Summary Subcontract Report (SSR); via the **Electronic Subcontracting Reporting System (eSRS) website (www.esrs.gov)**
iv. Ensure that its subcontractors with subcontracting plans agree to submit the ISR and/or the SSR using eSRS

Reporting Period	Report Due	Due Date
Oct 1 - Mar 31	ISR	4/30
Apr 1 - Sept 30	ISR	10/30
Oct 1 - Sept 30	SSR	10/30
Oct 1 – Sep 30	Year End SDB Report	90 days of SSR submission
Contract Completion	Final ISR	30 days after completion

Please refer to FAR Part 19.7 for instruction concerning the submission of a Commercial Plan: SSR is due on 10/30 each year for the previous fiscal year ending 9/30. Reports are required when due, regardless of whether there has been any subcontracting activity since the inception of the contract or the previous reporting period.

The eSRS reporting for USAID IQC contracts must include the applicable information for each task order issued under the IQC contract. Contractors should include a statement in the remarks section of eSRS to indicate the task order number and dollars awarded via the task order.

7. Description of Record Types (Ref: FAR 52.219-9(d)(11))
In order to demonstrate your firm's adherence to the requirement to maintain records that reflect your compliance with requirements and goals in the plan, describe your firm's records maintenance procedures for locating each category of small business for use as a subcontractor:

____
____
____

8. Description of Good Faith Effort

Maximum practicable utilization of SB, SDB, WOSB, HUBZone, VOSB and SDVOSB concerns as subcontractors in Government contracts is a matter of national interest with both social and economic benefits**.** When a contractor fails to make a good faith effort to comply with a subcontracting plan, these objectives are not achieved and 15 U.S.C. 637(d) (4) (F) directs that liquidated damages shall be paid by the contractor. Describe your firm's commitment to making a good faith effort towards the subcontracting goals.
____
____
____

Required Signatures:

This subcontracting plan was submitted by:

Signature: ____
Typed/Print Name: ____
Title: ____
Date: ____

This plan was reviewed and approved by:

Signature: ____
Typed/Print Name: ____
Title: Contracting Officer
Date: ____

[END OF SECTION J]

PART IV - REPRESENTATIONS AND INSTRUCTIONS

SECTION K - REPRESENTATIONS, CERTIFICATIONS AND OTHER STATEMENTS OF OFFERORS

K.1. 52.204-3 TAXPAYER IDENTIFICATION (OCT 1998)

(a) Definitions.

Common parent, as used in this provision, means that corporate entity that owns or controls an affiliated group of corporations that files its Federal income tax returns on a consolidated basis, and of which the Offeror is a member.

Taxpayer Identification Number (TIN), as used in this provision, means the number required by the Internal Revenue Service (IRS) to be used by the Offeror in reporting income tax and other returns. The TIN may be either a Social Security Number or an Employer Identification Number.

(b) All Offerors must submit the information required in paragraphs (d) through (f) of this provision to comply with debt collection requirements of 31 U.S.C. 7701(c) and 3325(d), reporting requirements of 26 U.S.C. 6041, 6041A, and 6050M, and implementing regulations issued by the IRS. If the resulting contract is subject to the payment reporting requirements described in Federal Acquisition Regulation (FAR) 4.904, the failure or refusal by the Offeror to furnish the information may result in a 31 percent reduction of payments otherwise due under the contract.

(c) The TIN may be used by the Government to collect and report on any delinquent amounts arising out of the Offeror's relationship with the Government (31 U.S.C. 7701(c)(3)). If the resulting contract is subject to the payment reporting requirements described in FAR 4.904, the TIN provided hereunder may be matched with IRS records to verify the accuracy of the Offeror's TIN.

(d) Taxpayer Identification Number (TIN).

[ ] TIN: ___________________

[ ] TIN has been applied for.

[ ] TIN is not required because:

[ ] Offeror is a nonresident alien, foreign corporation, or foreign partnership that does not have income effectively connected with the conduct of a trade or business in the United States and does not have an office or place of business or a fiscal paying agent in the United States;

[ ] Offeror is an agency or instrumentality of a foreign government;

[ ] Offeror is an agency or instrumentality of the Federal Government.

(e) Type of organization.

[ ] Sole proprietorship;

[ ] Partnership;

[ ] Corporate entity (not tax-exempt);

[ ] Corporate entity (tax-exempt);

[ ] Government entity (Federal, State, or local);

[ ] Foreign government;

[ ] International organization per 26 CFR 1.6049-4;

[ ] Other

(f) Common parent.

[ ] Offeror is not owned or controlled by a common parent as defined in paragraph (a) of this provision.

[ ] Name and TIN of common parent:

Name ____

TIN ____

K.2. 52.204-6 DATA UNIVERSAL NUMBERING SYSTEM (DUNS) NUMBER (DEC 2012)

(a) *Definition.* "Data Universal Numbering System (DUNS) number", as used in this provision, means the 9-digit number assigned by Dun and Bradstreet, Inc. (D&B) to identify unique business entities, which is used as the identification number for Federal Contractors.

(b) The offeror shall enter, in the block with its name and address on the cover page of its offer, the annotation "DUNS" or "DUNS+4" followed by the DUNS number or "DUNS+4" that identifies the offeror's name and address exactly as stated in the offer. The DUNS number is a nine-digit number assigned by Dun and Bradstreet, Inc. The DUNS+4 is the DUNS number plus a 4-character suffix that may be assigned at the discretion of the offeror to establish additional CCR records for identifying alternative Electronic Funds Transfer (EFT) accounts (see Subpart 32.11) for the same concern.

(c) If the offeror does not have a DUNS number, it should contact Dun and Bradstreet directly to obtain one.

(1) An offeror may obtain a DUNS number—

(i) Via the Internet at *http://fedgov.dnb.com/webform* or if the offeror does not have internet access, it may call Dun and Bradstreet at 1-866-705-5711 if located within the United States; or

(ii) If located outside the United States, by contacting the local Dun and Bradstreet office. The offeror should indicate that it is an offeror for a U.S. Government contract when contacting the local Dun and Bradstreet office.

(2) The offeror should be prepared to provide the following information:

(i) Company legal business name.
(ii) Tradestyle, doing business, or other name by which your entity is commonly recognized.
(iii) Company physical street address, city, state and ZIP Code.
(iv) Company mailing address, city, state and ZIP Code (if separate from physical)
(v) Company telephone number.
(vi) Date the company was started.
(vii) Number of employees at your location.
(viii) Chief executive officer/key manager.
(ix) Line of business (industry).
(x) Company Headquarters name and address (reporting relationship within your entity).

K.3. 52.204-8 ANNUAL REPRESENTATIONS AND CERTIFICATIONS (DEC 2012)

(a)(1) The North American Industry Classification System (NAICS) code for this acquisition is ___________________ [*insert NAICS code*].

(2) The small business size standard is _____________ [*insert size standard*].
(3) The small business size standard for a concern which submits an offer in its own name, other than on a construction or service contract, but which proposes to furnish a product which it did not itself manufacture, is 500 employees.

(b)(1) If the clause at 52.204-7, Central Contractor Registration, is included in this solicitation, paragraph (d) of this provision applies.
(2) If the clause at 52.204-7 is not included in this solicitation, and the offeror is currently registered in CCR, and has completed the ORCA electronically, the offeror may choose to use paragraph (d) of this provision instead of completing the corresponding individual representations and certifications in the solicitation. The offeror shall indicate which option applies by checking one of the following boxes:

[ ] (i) Paragraph (d) applies.
[ ] (ii) Paragraph (d) does not apply and the offeror has completed the individual representations and certifications in the solicitation.

(c)(1) The following representations or certifications in ORCA are applicable to this solicitation as indicated:

(i) 52.203-2, Certificate of Independent Price Determination. This provision applies to solicitations when a firmfixed-price contract or fixed-price contract with economic price adjustment is contemplated, unless—

(A) The acquisition is to be made under the simplified acquisition procedures in Part 13;
(B) The solicitation is a request for technical proposals under two-step sealed bidding procedures; or
(C) The solicitation is for utility services for which rates are set by law or regulation.

(ii) 52.203-11, Certification and Disclosure Regarding Payments to Influence Certain Federal Transactions. This provision applies to solicitations expected to exceed $150,000.

(iii) 52.204-3, Taxpayer Identification. This provision applies to solicitations that do not include the clause at 52.204-7, Central Contractor Registration.

(iv) 52.204-5, Women-Owned Business (Other Than Small Business). This provision applies to solicitations that—
(A) Are not set aside for small business concerns;
(B) Exceed the simplified acquisition threshold; and
(C) Are for contracts that will be performed in the United States or its outlying areas.

(v) 52.209-2, Prohibition on Contracting with Inverted Domestic Corporations—Representation. This provision applies to solicitations using funds appropriated in fiscal years 2008, 2009, 2010, or 2012.

(vi) 52.209-5, Certification Regarding Responsibility Matters. This provision applies to solicitations where the contract value is expected to exceed the simplified acquisition threshold.

(vii) 52.214-14, Place of Performance—Sealed Bidding. This provision applies to invitations for bids except those in which the place of performance is specified by the Government.

(viii) 52.215-6, Place of Performance. This provision applies to solicitations unless the place of performance is specified by the Government.

(ix) 52.219-1, Small Business Program Representations (Basic & Alternate I). This provision applies to solicitations when the contract will be performed in the United States or its outlying areas.

(A) The basic provision applies when the solicitations are issued by other than DoD, NASA, and the Coast Guard.

(B) The provision with its Alternate I applies to solicitations issued by DoD, NASA, or the Coast Guard.

(x) 52.219-2, Equal Low Bids. This provision applies to solicitations when contracting by sealed bidding and the contract will be performed in the United States or its outlying areas.

(xi) 52.222-22, Previous Contracts and Compliance Reports. This provision applies to solicitations that include the clause at 52.222-26, Equal Opportunity.

(xii) 52.222-25, Affirmative Action Compliance. This provision applies to solicitations, other than those for construction, when the solicitation includes the clause at 52.222-26, Equal Opportunity.

(xiii) 52.222-38, Compliance with Veterans' Employment Reporting Requirements. This provision applies to solicitations when it is anticipated the contract award will exceed the simplified acquisition threshold and the contract is not for acquisition of commercial items.

(xiv) 52.223-1, Biobased Product Certification. This provision applies to solicitations that require the delivery or specify the use of USDA–designated items; or include the clause at 52.223-2, Affirmative Procurement of Biobased Products under Service and Construction Contracts.

(xv) 52.223-4, Recovered Material Certification. This provision applies to solicitations that are for, or specify the use of, EPA–designated items.

(xvi) 52.225-2, Buy American Act Certificate. This provision applies to solicitations containing the clause at 52.225-1.

(xvii) 52.225-4, Buy American Act—Free Trade Agreements—Israeli Trade Act Certificate. (Basic, Alternates I, II, and III.) This provision applies to solicitations containing the clause at 52.225-3.

(A) If the acquisition value is less than $25,000, the basic provision applies.

(B) If the acquisition value is $25,000 or more but is less than $50,000, the provision with its Alternate I applies.

(C) If the acquisition value is $50,000 or more but is less than $77,494, the provision with its Alternate II applies.

(D) If the acquisition value is $77,494 or more but is less than $100,000, the provision with its Alternate III applies

(xviii) 52.225-6, Trade Agreements Certificate. This provision applies to solicitations containing the clause at 52.225-5.

(xix) 52.225-20, Prohibition on Conducting Restricted Business Operations in Sudan—Certification. This provision applies to all solicitations.

(xx) 52.225-25, Prohibition on Contracting with Entities Engaging in Certain Activities or Transactions Relating to Iran-Representation and Certifications. This provision applies to all solicitations.

(xxi) 52.226-2, Historically Black College or University and Minority Institution Representation. This provision applies to—

(A) Solicitations for research, studies, supplies, or services of the type normally acquired from higher educational institutions; and

(B) For DoD, NASA, and Coast Guard acquisitions, solicitations that contain the clause at 52.219-23, Notice of Price Evaluation Adjustment for Small Disadvantaged Business Concerns.

(c)(2) The following certifications are applicable as indicated by the Contracting Officer: [*Contracting Officer check as appropriate.*]

__ (i) 52.219-22, Small Disadvantaged Business Status.
__ (A) Basic.
__ (B) Alternate I.
__ (ii) 52.222-18, Certification Regarding Knowledge of Child Labor for Listed End Products.
__ (iii) 52.222-48, Exemption from Application of the Service Contract Act to Contracts for Maintenance, Calibration, or Repair of Certain Equipment Certification.
__ (iv) 52.222-52, Exemption from Application of the Service Contract Act to Contracts for Certain Services–
Certification.
__ (v) 52.223-9, with its Alternate I, Estimate of Percentage of Recovered Material Content for EPA–Designated Products (Alternate I only).
__ (vi) 52.227-6, Royalty Information.
__ (A) Basic.
__(B) Alternate I.
__ (vii) 52.227-15, Representation of Limited Rights Data and Restricted Computer Software.

(d) The offeror has completed the annual representations and certifications electronically via the Online Representations and Certifications Application (ORCA) website accessed through *https://www.acquisition.gov*. After reviewing the ORCA database information, the offeror verifies by submission of the offer that the representations and certifications currently posted electronically that apply to this solicitation as indicated in paragraph (c) of this provision have been entered or updated within the last 12 months, are current, accurate, complete, and applicable to this solicitation (including the business size standard applicable to the NAICS code referenced for this solicitation), as of the date of this offer and are incorporated in this offer by reference (see FAR 4.1201); except for the changes identified below [*offeror to insert changes, identifying change by clause number, title, date*]. These amended representation(s) and/or certification(s) are also incorporated in this offer and are current, accurate, and complete as of the date of this offer.

FAR CLAUSE #	TITLE	DATE	CHANGE
____________	_________	_____	_______

Any changes provided by the offeror are applicable to this solicitation only, and do not result in an update to the representations and certifications posted on ORCA.

K.4. 52.225-25 PROHIBITION ON CONTRACTING WITH ENTITIES ENGAGING IN CERTAIN ACTIVITIES OR TRANSACTIONS RELATING TO IRAN—REPRESENTATION AND CERTIFICATIONS (DEC 2012)

(a) *Definitions*. As used in this provision—
"Person"—
(1) Means—
(i) A natural person;

(ii) A corporation, business association, partnership, society, trust, financial institution, insurer, underwriter, guarantor, and any other business organization, any other nongovernmental entity, organization, or group, and any governmental entity operating as a business enterprise; and
(iii) Any successor to any entity described in paragraph (1)(ii) of this definition; and

(2) Does not include a government or governmental entity that is not operating as a business enterprise.
"Sensitive technology"—

(1) Means hardware, software, telecommunications equipment, or any other technology that is to be used specifically—
(i) To restrict the free flow of unbiased information in Iran; or
(ii) To disrupt, monitor, or otherwise restrict speech of the people of Iran; and

(2) Does not include information or informational materials the export of which the President does not have the authority to regulate or prohibit pursuant to section 203(b)(3) of the International Emergency Economic Powers Act (50 U.S.C. 1702(b)(3)).

(b) The offeror shall e-mail questions concerning sensitive technology to the Department of State at *CISADA106@state.gov*.

(c) Except as provided in paragraph (d) of this provision or if a waiver has been granted in accordance with 25.703-4, by submission of its offer, the offeror—

(1) Represents, to the best of its knowledge and belief, that the offeror does not export any sensitive technology to the government of Iran or any entities or individuals owned or controlled by, or acting on behalf or at the direction of, the government of Iran;

(2) Certifies that the offeror, or any person owned or controlled by the offeror, does not engage in any activities for which sanctions may be imposed under section 5 of the Iran Sanctions Act. These sanctioned activities are in the areas of development of the petroleum resources of Iran, production of refined petroleum products in Iran, sale and provision of refined petroleum products to Iran, and contributing to Iran's ability to acquire or develop certain weapons or technologies; and (3) Certifies that the offeror, and any person owned or controlled by the offeror, does not knowingly engage in any transaction that exceeds $3,000 with Iran's Revolutionary Guard Corps or any of its officials, agents, or affiliates, the property and interests in property of which are blocked pursuant to the International Emergency Economic Powers Act (50 U.S.C. 1701 *et seq*.) (see OFAC's Specially Designated Nationals and Blocked Persons List at http://www.treasury.gov/ofac/downloads/t11sdn.pdf

(d) *Exception for trade agreements*. The representation requirement of paragraph (c)(1) and the certification requirements of paragraphs (c)(2) and (c)(3) of this provision do not apply if—

(1) This solicitation includes a trade agreements notice or certification (*e.g.*, 52.225-4, 52.225-6, 52.225-12, 52.225-24, or comparable agency provision); and

(2) The offeror has certified that all the offered products to be supplied are designated country end products or designated country construction material.

K.5. INSURANCE - IMMUNITY FROM TORT LIABILITY

The Offeror represents that it [ ] is, [ ] is not a State agency or charitable institution, and that it [ ] is not immune, [ ] is partially immune, [ ] is totally immune from tort liability to third persons.

K.6. AGREEMENT ON, OR EXCEPTIONS TO, TERMS AND CONDITIONS

The Offeror has reviewed the solicitation (Sections B through J of which will become the contract) and [ ] agrees to the terms and conditions set forth therein; or [ ] has the following exceptions (continue on a separate
attachment page, if necessary):
____
____

K.7. AUTHORIZED NEGOTIATORS

The offeror represents that the following persons are authorized to negotiate on its behalf with the Government in connection with this request for proposals:

[List names, titles, telephone numbers, and email addresses of the authorized negotiators]
____
____

K.8. SIGNATURE

By signature hereon, or on an offer incorporating these Representations, Certifications, and Other Statements of Offerors, the Offeror certifies that they are accurate, current, and complete, and that the Offeror is aware of the penalty prescribed in 18 U.S.C. 1001 for making false statements in offers.

Solicitation No. ____

Offer/Proposal No. _______________________

DUNS No. ________________

Date of Offer ____

Name of Offeror____

Typed Name and Title____

Signature______________________________ Date________________________

[END OF SECTION K]

SECTION L - INSTRUCTIONS, CONDITIONS, AND NOTICES TO OFFERORS

L.1. NOTICE LISTING SOLICITATION PROVISIONS INCORPORATED BY REFERENCE

This solicitation incorporates one or more solicitation provisions by reference, with the same force and effect as if they were given in full text. Upon request, the Contracting Officer will make their full text available. Also, the full text of a solicitation provision may be accessed electronically at this/these address(es):

https://www.acquisition.gov/far/ (FAR)
http://www.usaid.gov/pubs/ads/300/aidar.pdf (AIDAR)

FEDERAL ACQUISITION REGULATION (48 CFR Chapter 1)

NUMBER	TITLE	DATE
52.214-34	SUBMISSION OF OFFERS IN THE ENGLISH LANGUAGE	APR 1991
52.215-1	INSTRUCTIONS TO OFFERORS – COMPETITIVE	JAN 2004
52.222-24	PREAWARD ON-SITE EQUAL OPPORTUNITY COMPLIANCE EVALUATION	FEB 1999
52.222-46	EVALUATION OF COMPENSATION FOR PROFESSIONAL EMPLOYEES	FEB 1993

L.2. FAR 52.233-2 SERVICE OF PROTEST (SEP 2006)

(a) *Protests*, as defined in Section 33.101 of the Federal Acquisition Regulation, that are filed directly with an agency, and copies of any protests that are filed with the Government Accountability Office (GAO), shall be served on the Contracting Officer (addressed as follows) by obtaining written and dated acknowledgment of receipt from the Contracting Officer at:

Hand-carried Mailing Address:
American Embassy
Route des Almadies
c/o USAID/Senegal
Regional Acquisition and Assistance Office
Attention: Beatrice M. Conde

(b) The copy of any protest shall be received in the office designated above within one day of filing a protest with the GAO.

(c) A copy of any protest shall be faxed simultaneously to the attention of William Buckhold at GC/LE at 1-202-216-3058, or hard copies can be sent to Mr. Buckhold's attention at:

USAID
Office of General Counsel (06-06)
1300 Pennsylvania Ave, N.W. Washington, D.C. 20523-6601

L.3. GENERAL INSTRUCTIONS TO OFFERORS

(a) The Government anticipates awarding one (1) contract as a result of this RFP; however, it reserves the right not to make an award.

(b) RFP Instructions: If an Offeror does not follow the instructions set forth herein, the Offeror's proposal may be eliminated from further consideration or the proposal may be down-graded and not receive full or partial credit under the applicable evaluation criteria.

(c) Accurate and Complete Information: Offerors must set forth full, accurate and complete information as required by this RFP. The penalty for making false statements to the Government is prescribed in 18 U.S.C. 1001.

(d) Offer Acceptability: The Government may determine an offer to be unacceptable if the offer does not comply with all of the terms and conditions of the RFP.

(e) Proposal Preparation Costs: The U.S. Government will not pay for any proposal preparation costs.

Length and format

Technical proposals must be strictly limited to no more than **65 pages** in length, (Times New Roman point 12 font size, single-sided pages, with one inch margins), excluding annexes which are limited to the following:

Annex:

A. Resumes of Key Personnel with three references (full contact information to be provided: name, position, relationship, e-mail address, telephone number)
B. Resumes of proposed long and short-term personnel
C. Signed letters of commitment from key personnel
D. Branding and Marking Plan (not to exceed 2 pages)

Technical proposals must not make reference to cost data in order that the technical evaluation may be made strictly on the basis of technical merit.

All pages of the technical and cost proposals shall be sequentially numbered. Failure to include all information, or to organize the proposal in the manner prescribed, may result in rejection of the proposal as being unacceptable.

These same requirements exist for the submission of subsequent revised technical and/or cost proposals, and technical/financial clarifications.

PROPOSAL must be submitted as follows:

- **Electronically -** internet email with up to 10 attachments (5MB limit) per email compatible with Microsoft Office 2010 (MS WORD or Excel) or in a MS Windows environment. Multiple emails may be sent to accommodate the proposal size and content, but each must contain very clear identification of the attachment and instructions for assembling the proposal. Offerors may also send an Adobe Acrobat portable document format (.pdf) for electronic submission; however, zipped files attachments are not allowed.

Offerors are instructed to submit technical and cost proposals in response to the RFP as separate emails following the guidance provided herein.

Email address: jpcregisag@usaid.gov.

The subject line for every email must be formatted as follows:

Resilience and Economic Growth in the Sahel (REGIS-AG) Activity RFP SOL- 685-13-000005 ***Offeror's name*** **TECHNICAL proposal** EMAIL: **1 of XX**

Resilience and Economic Growth in the Sahel (REGIS-AG) Activity RFP SOL- 685-13-000005 ***Offeror's name*** **COST proposal** EMAIL: **1 of XX**

Only electronic submissions of Proposals will be accepted for receipt under this solicitation. They must be received by the closing date and time indicated in the cover letter. **Proposals must remain valid for a minimum of 180 days**.

Late proposals will not be accepted.

Questions and Clarifications

Any questions and/or requests for clarifications regarding this RFP should be received no later than the date and time indicated on the cover letter of this RFP, in writing only via email to jpcregisag@usaid.gov. No questions will be accepted after this date. If substantive questions are received which affect the response to the solicitation, or if changes are made to the closing date and time, as well as other aspects of the RFP, this solicitation will be amended.

Closing Date and Time

All proposals in response to this RFP shall be due at the above email address, not later than the date and time, as indicated on the cover page of this RFP.

L.4. RESPONSIVENESS TO RFP

Proposals must respond directly to the terms, conditions, specifications and provisions of this RFP. Proposals not conforming to this RFP may be determined as non-responsive, thereby eliminating them from further consideration.

L.5. OFFEROR'S RESPONSIBILITIES

Offerors are expected to review, understand, and comply with all aspects of the RFP. Failure to do so will be at the offeror's risk. Any prospective offeror desiring an explanation or interpretation of this RFP must request it in writing soon enough to allow a reply to reach all prospective offerors before submission of their proposal. For this purpose, written inquiries may be submitted via email, identifying RFP number SOL-685-13-000005 to jpcregisag@usaid.gov. Any inquiries, however, must be submitted no later than the designated date and time as specified in the cover letter of this RFP.

Offerors shall include on the cover page of both the technical and the cost proposals (1) the printed or typed name and title of the authorized representative; (2) information regarding the person to be contacted both during the period of evaluation of proposals and for negotiations leading to award. This information is to include name, title, address, phone number, internet e-mail and facsimile number.

Offerors are to ensure that the authorized representative signs the proposal and to print or type his/her name and title on the cover page of the technical and cost proposal. Erasures or other changes must also be initialed by the person signing the proposal. Proposals signed by an agent shall be accompanied by evidence of that agent's authority, unless that evidence has been previously furnished to the issuing office. Similarly, the cost volume of the offeror's proposal must identify the individual(s) having authority to bind the offeror.

Offerors who include data that they do not want to be disclosed to the public for any purpose or used by the U.S. Government except for evaluation purposes, shall:

Mark the title page with the following legend: "*This proposal includes data that shall not be disclosed outside the U.S. Government and shall not be duplicated, used, or disclosed, in whole or in part, for any purpose other than to evaluate this proposal. If, however, a contract is awarded to this offeror as a result of, or in connection with, the submission of this data, the U.S. Government shall have the right to duplicate, use, or disclose the data to the extent provided in the resulting contract. This restriction does not limit the U.S. Government's rights to use information contained in this data if it is obtained from another source without restriction. The data subject to this restriction are contained in sheets* [insert numbers or other identification of sheets]"; and

Mark each sheet of data it wishes to restrict with the following legend: "*Use or disclosure of data contained on this sheet is subject to the restriction on the title page of this proposal*."

Offerors shall retain for their records one copy of their proposal and all enclosures that accompany it.

L.6. INSTRUCTIONS FOR PREPARATION OF TECHNICAL PROPOSAL

The Technical Proposal in response to this solicitation shall address how the Offeror intends to carry out the Statement of Objectives contained in Section C. The technical proposal shall be specific, complete, presented concisely, and responsive to the instructions contained herein. It should clearly demonstrate how the Proposed Statement of Work will meet the goals and objectives of the program, and fulfill the Contractor's program implementation responsibilities. The technical proposal shall be organized by the technical evaluation criteria listed in Section M as clarified further below. Technical implementation strategy is limited to **55 pages** and shall be written in English and typed on standard 8 1/2" x 11" paper, single spaced, one-sided, Times New Roman point 12 font size with each page numbered consecutively. This includes up to 10 pages for the Offeror's Monitoring and Evaluation Plan. An additional 10 pages is allowed for the proposed Management and Staffing Plan. **Any technical proposals over 65 pages will not be evaluated**. Required Annexes in section L.3 (i.e. Branding and Marking Plan, resumes of Key Personnel with three references), must be included but, will not count towards the page limit.

Within the outline suggested below, proposals should address the issues in Section C above. In addition to the narrative section of the proposal, the annexes will be used to judge the Offeror's past experience and management capability. The annexes may also include relevant information about partners, where applicable.

USAID expects Offerors to utilize their expertise and experience in designing a technical approach which will best achieve the expected results described in Section C. To be considered competitive, Offerors must submit a proposal that reflects a clear approach to achieve USAID's results as outlined in Section C and outline how they would approach the Components and results described therein. A clear connection between the Offeror's proposed technical approach and proposed level of effort and staffing plan must be demonstrated.

The outline for the technical proposal is specified below.

Table of Contents

a) Cover Page (not included in page limit)
b) Executive Summary (2 pages, not included in page limit)
c) Technical Implementation (limited to 5**5** pages includes items (c) and (f) below)
   1. Statement of Work and Overall Technical Approach
   2. Causal Model and Logical Framework
   3. Collaboration and Coordination Plan for Integrating Resilience (REGIS-RG) and Economic Growth (REGIS-AG) activities
   4. Strategy for Developing an Inclusive and Competitive Target Value Chains
   5. Plan for Local Capacity Building
   6. Gantt Chart of proposed activities
   7. Gender Strategy
   8. Monitoring and Evaluation Plan (limited to10 pages)
d) Management and Staffing Plan (limited to 10 pages)
   1. Management Plan
   2. Division of work among parties
   3. Staffing Plan
e) Key Personnel
f) Past Performance -relevant to this Contract (Prime Contractor and partner organizations)
g) Annexes

These sections, including the annex where relevant, should include all information required to fairly evaluate the Offeror under the applicable evaluation factor. Specific guidance on the content of each of these sections is set forth below in Sections L.6(a) through L.6(f).

L.6(a) TECHNICAL IMPLEMENTATION

The purpose of the Technical Implementation section of the technical proposal is to provide enough information to permit a thorough evaluation of the proposal pursuant to the criteria described in Section M.2. This section should include the following subsections: (1) Statement of Work and Overall Technical Approach; (2) Causal Model/Logic Framework; (3) Collaboration and Coordination Plan; (4) Strategy for Developing an Inclusive and Competitive Target Value Chains; (5) Plan for local capacity building; (6) Gantt Chart; (7) Gender Strategy; (8) Monitoring and Evaluation Plan. Specific guidance on each sub-section is provided below.

(1) Statement of Work and Overall Technical Approach

In this sub-section, the Offeror must provide the Statement of Work and information sufficient to address the evaluation criteria set forth in Section M.2. and in accordance with the Statement of Objectives (SOO) in Section C. The Offeror shall describe its overall technical approach, including providing any context or background that is useful in justifying the approach chosen.

The Technical Approach shall be presented as methodologically sound and based on clear analysis of the challenges to be tackled. Offerors are encouraged to present creative and innovative approaches for achieving the vision articulated it their statement of work using facilitation, a systems approach, and addressing commodity production in the context of the farming systems in which they are produced.

- Taking into consideration the evaluation criteria, the Offeror's proposal must describe the proposed approach and strategy for how the project will achieve the project goal and objectives and the expected results and "technical directions" by component. In other words, it must demonstrate how to achieve the REGIS-AG goal of increasing the incomes of vulnerable households, including men and women through the transformation of selected, high potential value chains. This must be done in a manner that REGIS-AG contributes to USAID's REGIS-ER goal: to increase the resilience of chronically vulnerable people, households, communities and systems in targeted agro-pastoral and marginal agriculture livelihood zones in Niger and Burkina Faso. The latter will be achieved by; (a) identifying opportunities through value chain and end-market analysis; (b) strengthening vertical and horizontal value chain linkages and relationships in selected value chains; (c) strengthening input supply and other supporting services and improving smallholder and agro-pastoralist access to these interconnected markets; (d) increasing innovation and private-sector investment; and (e) improving the enabling environment for local and regional private sector investment.

The proposal must incorporate the ***Cross-cutting issues*** and ***Guiding principles*** as mentioned in Section C.5.1 to develop a collaboration and coordination plan to ensure synergies with REGIS-ER and other activities under the REGIS program.

Offerors shall provide a technical approach that demonstrates a clear understanding of:

- the Sahelian arid lands context, development challenges and the past achievements/successes of the investments of the host governments, the USG and other development partners that will serve as the foundation for the new project
- the agricultural/livestock and market systems expertise that will be needed to be successful
- the institutional framework under which the activity will be implemented
- the overall REGIS program that includes REGIS-AG, REGIS-ER, and the learning/adaptive management activity and the collaboration and coordination that will be required to be successful
- cooperation vis-à-vis the required impact evaluation to be carried out by another activity
- participation in learning that will be required and the need for the project to adapt in response to learning
- the strategy(ies) that will be employed to achieve the vision articulated in Section C results and carry out the technical directions[16] for each component – this approach should be clear, creative and technically sound and include a strategy for scaling up current/previous activities proven to be successful
- the approach required to achieve the results and carry out the technical directions for each component – this approach should be clear, creative and technically sound and include a strategy for scaling up current/previous activities proven to be successful. It should include innovative approaches that further learning and push the frontier on "best practices" in advancing inclusive and competitive agricultural and livestock value chains in the target areas;
- how to address cross-cutting issues and integrate the Guiding principles and how to apply them in field implementation;
- organizational capacity-building at the local level;

Given the innovative nature of REGIS-AG in seeking an integrated program approach that takes full advantage of potential linkages between REGIS-AG and REGIS-ER, the Technical Proposal should clearly articulate the Offeror's approach to integration, collaboration and coordination.

[16] The technical directions are not meant to limit intervention identification.

(2) Causal Model and Logical Framework

The Offeror's proposal must include a **causal model** that articulates the development hypothesis underlying the Offeror's Technical Approach and how the activities, outputs and outcomes will lead to expected results. Underlying the design of REGIS-AG is the hypothesis that improving the competitiveness and inclusiveness of the agricultural and livestock value chains in which large numbers of poor farmers and agro-pastoralists participate can be an effective approach for increasing social stability and economic growth in the arid lands. However, special and innovative approaches are needed to allow the poor to take advantage of and benefit from market- and value chain-related opportunities. The Offeror's causal model needs to clarify the links between improved social stability and economic growth and the improved competitiveness and inclusiveness of the target value chains (REGIS-AG) as well as the improved resilience, governance and resource management activities of REGIS-ER. Key assumptions and risks to achievement of project outcomes and intermediate results, and mitigating factors / strategies, should be explicitly stated.

(3) Collaboration and Coordination Plan

The Offeror must propose a collaboration and coordination plan that identifies its approach to ensuring integration with REGIS-ER's learning activity. The plan should also speak to broad buy-in from key stakeholders, including relevant levels of the host country governments, communities, other donors and implementing partners.

A key objective is to integrate programming that has previously been stove-piped in investments managed by different bureaus and offices of USG. Thus Offerors must demonstrate a strategy for how to integrate the resilience work of REGIS-AG, REGIS-ER, FFP development programs and the learning projects/activities. This integration is a new programmatic approach for USAID, and thus Offerors are meant to provide evidence of a logical and creative plan that can create synergies and improved results. Given the innovativeness of such integration, the Offeror will need to ensure that monitoring and other learning activities track the effectiveness of this integration on a continuous basis.

The contractor must keep in mind and explain how they will: (a) coordinate and integrate their program with the accompanying REGIS-ER program, (b) build on existing FFP development programs in common programmatic and geographic focus areas and (c) build out from FFP development programs to expand the geographic reach of USAID's core partnership for resilience in targeted zones. In regard to the latter, contractors shall specify the analyses (conducted or to be conducted) that will inform REGIS-ER and REGIS-AG's integration and the strategy to build on and out from exiting FFP development programs.

Contractors shall outline in broad terms how they propose to layer sequence and coordinate with humanitarian assistance programs funded by FFP and the Office of U.S. Foreign Disaster Assistance (OFDA), as well as development programs funded by USAID and the USG (See Section J -Attachment 7 – Sahel Food Insecurity and Complex Emergency).

(4) Strategy for Increasing the Competitiveness and Inclusiveness of the Selected Value Chain in the Target Area

Analytics regarding the cowpea, small ruminant, poultry and agricultural and livestock input value chains in the target area will inform the strategy. The strategy should be based on the current situation (culled from the analytics) and a vision for what REGIS-AG aims to achieve over the life-of-the-activity (LOA). The strategy will articulate a realistic and strategic set of activities the project will implement, detailing the sequencing of interventions envisioned to achieve the vision. It will incorporate plans for collaboration, learning and knowledge management to guide project management and ensure results.

(5) Plan for local capacity building

Another important objective of REGIS-AG is to assist local organizations to develop the capacity to assume the tasks of REGIS-AG over time, with direct funding from USAID. This plan should include an assessment of local organizations, identification of strengths and most appropriate roles, and timetable for improved capacity culminating in an award from USAID.

(6) Gantt Chart

Based on the causal model that explains why certain activities will be undertaken (i.e. to what end), the Offeror must provide a Gantt chart specifying activities to be undertaken, timetable and methodology for carrying out the proposed interventions.

(7) Gender Strategy

To the extent possible, the Offeror should provide a thorough analysis of gender issues. The Offeror shall integrate a gender perspective into their technical approach, and specifically consider gender when analyzing value chains and under-nutrition, identifying interventions and implementing project activities. Specifically, the Offeror should (i) pay attention to gender-based roles and responsibilities in addressing change in the selected value chains, as well as analyzing value chain and nutritional opportunities and constraints; and (ii) analyze any specific gender issues to consider and outline appropriate gender focused actions that will be undertaken during implementation that are important to improved competitiveness, food security and nutrition for assistance dependent populations.

(8) Monitoring and Evaluation Plan (M&E)

The causal model should be the basis for the Monitoring and Evaluation plan offering creative approaches to measuring outputs and outcomes and reporting efficiently on the required indicators. The M&E must address how the Offeror will monitor project activities and progress and how the plan will integrate the requirements for a tracking database of the five Components in Section C.4.

Offerors shall include in their proposals a draft M&E plan describing the process that they will follow in coordination with USAID during the first six months of the award period in developing and finalizing a monitoring and evaluation framework and performance monitoring plan. The monitoring and evaluation framework shall include a plan for obtaining baseline data and finalizing all targets, along with a description of a proposed methodology for performing data quality assessments that ensure that data collected and reported pass the test of validity, reliability, timeliness, and integrity.

The Offeror shall provide information sufficient to address the evaluation criteria set forth in Section M and proposed indicators in Attachment J-5 of this RFP. The Offeror should present a Monitoring and Evaluation Plan that clearly incorporates an appropriate set of and/or benchmarks that will allow USAID and the Offeror to measure performance (indicators should link clearly to the causal model/logic framework described above). The Monitoring and Evaluation Plan will specify the systems that will be established and collect data regarding performance targets as well as verify and substantiate data gathered. This Plan shall include a discussion on how to monitor and evaluate skills transfer and capacity building. It shall include milestones for each year and expected accomplishments, with measurable outcomes and performance indicators. The Plan shall address how:

→ Outcomes will be measured over the timeframe;

→ Outcomes will contribute to results;

The offeror shall also describe how they will integrate the IEE into their technical approach and activities, as well as how environmental compliance will be tracked, measured and reported.

The offeror shall describe their learning and adapting approach based on the Collaborate, Learn, and Adapt (CLA) approach developed by USAID's Bureau for Program Planning and Learning (USAID/PPL). This continuous learning approach generates and captures learning, facilitates the exchange of knowledge, and promotes a learning culture.

As a component of the M&E Plan, the offeror must submit a draft, simplified PMP in their proposal. The draft PMP shall clearly and explicitly align with a proposed causal model and Sahel JPC Strategy Results Framework (see Sahel JPC Strategy Results Framework in Section J - Attachment 1). The PMP will specify indicators, targets, and the methodologies that will allow the successful contractor and USAID to monitor the progress of contract activities towards achieving expected results and targets related to contract objectives and accountability. Measuring specific outputs, outcomes and impacts will facilitate better understanding of which approaches are working under which conditions, and which activities need to be refined or strengthened within each of the respective components of the contract. The PMP, as an effort toward quality assurance, will also allow USAID to gage the contractor's performance and understand any unforeseen changes in strategy to achieve intended results.

In developing the PMP, the contractor will draw from, but will not be limited to, USAID's list of indicators. For each indicator proposed in the PMP, a brief narrative will include the following:

- Data collection methodology
- Data reliability and timeliness (i.e., intrinsic data quality)
- Indicator validity (i.e., the relationship between the indicator and the desired output or result)

Wherever possible and appropriate, the PMP will be presented in tabular and/or graphical forms that portray progress over time, affording an executive audience an immediate sense of progress or the lack thereof.

L.6(b) MANAGEMENT AND STAFFING PLAN

(1) Management Plan

In this sub-section, the Offeror must provide information sufficient to address the evaluation criteria set forth in Section M. The Offeror must clearly present the management and administration structures and functions for managing the REGIS-AG activity contract. This includes the use and management of sub-offerors, its approach to coordinating diverse activities that produce documented, quantifiable effective results, and the general strategy to manage the contract in the most efficient and cost effective manner possible. Specifically, the Offeror shall include a specific discussion of prior work in the Sahel and target area and with international development including, but not limited to, its experience in providing logistical support in the Sahel, technical assistance in institutional strengthening and sustainability in the Sahel and experience in working collaboratively with diverse stakeholders in the Sahel.

The Offeror must include an organogram that clearly shows a streamlined and effective management structure of the project. The Offeror shall propose a management structure to address the breadth, depth, and technical areas required to successfully undertake their proposed SOW. The management plan shall describe how the tasks will be organized and managed to minimize non-productive costs to the government and how the Offeror will utilize the complementary capabilities of any proposed sub-offerors most effectively and efficiently. The estimated level of effort that will be provided by the prime Offeror and the proposed sub-offerors/and or partners must be provided. The plan shall describe how lines of authority will be structured and managed within the Offeror's own organization and between the prime Offeror and any sub-offerors and/or partners. This plan shall describe lines of communication and reporting, and how the COP will liaise with the USAID Contracting Officer, COR, and staff or consultants.

In addition, there shall be a plan for ensuring efficient management practices, including at a minimum approaches to cost containment, avoidance of duplication of effort, and use of technology. The plan shall also demonstrate how the Offeror will use existing local resources and describe opportunities for leveraging other resources of local and international partners. An organizational chart shall be provided in an annex to the Technical Proposal.

The Management Plan will be evaluated based on its apparent effectiveness for achieving project results; and the creativity that the Offeror has used to design a cost effective plan ensuring quick start-up and provide a team with relevant experience, technical strength and ability to effectively manage a complex set of activities, while aiming to draw on capable host country nationals to advance USAID's local capacity development objectives.

If the Offeror intends to develop institutional partnerships, alliances or sub-contracts for implementation and performance under the contract, the proposal shall identify and describe the roles and responsibilities of each entity. The proposal must include Letters of Commitment (in the annex) from all such proposed partners/sub-Offerors. The Offeror must discuss the nature of organizational linkages between the prime Offeror and sub-Offeror, partner, joint venture entities. This includes relationships between each other, lines of authority and accountability, and mechanisms for utilizing and sharing resources, and the role of each in achieving project results.

While USAID encourages strategic partnerships, it discourages overly burdensome and complicated sub-contractual relationships. It is anticipated that a number of strategic partnerships and alliances will be accessed under the Innovation and Investment Fund.

The Offeror will describe the roles of field office and headquarters office, and discuss Home Office support capabilities including experience in timely project start up (systems, procurement, post-award administration, etc.).

(2) *Division of work among parties*

The Offeror shall describe its relationship/division of work among all parties (employees and sub-Offeror, if any). If the Offeror is a joint venture/partnership, provide a copy of the agreement between the parties. The agreement will need to fully discuss the relationship between the parties including identification of the party which will have responsibility, how work will be allocated, overhead calculated and profit shared. Also, it needs to include an expressed agreement of the principals thereto to be held jointly and severally liable for the acts or omissions of the other.

(3) *Staffing Plan*

The Offeror shall provide information sufficient to address the evaluation criteria set forth in Section M. The Offeror shall describe the proposed staffing plan for implementing their proposed SOW. The Offeror shall demonstrate the commitment of key personnel positions described below through signed and dated "Letters of Intent" indicating his/her: (a) availability to serve in the stated position, in terms of the number of days after award; and (b) intention to serve for a specified duration; and (c) agreement to the compensation levels that corresponds to the levels set forth in the cost proposal. Three references (including the name, telephone number, and email address) shall be provided for each proposed key personnel and shall be included in the annex, following the resume and the letter of intention for that person. At USAID discretion, telephone, video conference, or face-to-face discussions may be conducted with any of the four or more designated key personnel, for each firm that is ranked within the competitive range and may propose additional key personnel if desired. The quality of personnel will be evaluated based on their sector-specific qualifications, professional competence, relevant academic background, demonstrated success in carrying out proposed activities as well as their knowledge in implementing relevant technical areas.

USAID directs Offerors to implement the Agency's priority to build sustained indigenous technical and management capacity for social and economic development in the target area. Offerors shall therefore strive to hire local staff, excluding active service employees of the host-countries, in key and non-key positions who demonstrate familiarity with the target area's private sector development and agricultural sector as well as language and cultural expertise. In the event that the Offeror proposes Third Country Nationals in long term positions, there shall be strong justification that includes a clear strategy for building host country capacity to take over the TCN position before the end of the project, and a schedule for replacing the TCN with a local citizen.

The staffing plan for a locally-based team must be provided, including adequate support throughout the life of the activity. The team should be recruited locally to the extent possible to optimize use of host country resources. A proposed staffing plan must take into consideration the purpose and scope of the project, the roles and skills of named key staff. The Offeror shall take appropriate measures to ensure that project staff turnover is limited. The team must have the necessary managerial, logistical and technical skills required in-country. Other illustrative key skillsets beyond those detailed above may include:

- A facilitation approach
- A systems perspective
- A market-led/market driven approach
- Behavior change communications
- Local organizational capacity development
- Financial services
- Market development

The draft staffing plan must include a description of the key roles and responsibilities, the minimum qualifications and experience required for each proposed position and as well as the proposed compensation of the different positions. The proposal shall also distinguish between staff that will be employed "in-house" (as part of the core project team) versus expertise available through partners and consultants.

USAID recognizes the need for short-term technical assistance to complement the skills and enhance the work of local staff. It is the preference of USAID that, to the extent possible, the Offeror engages short-term technical assistance resources available locally (in the West Africa Region) and actively promotes South-South technical assistance to foster South-South exchange and minimize travel costs.

L.6(c) KEY PERSONNEL

Five components are considered critical to achieving project objectives. The Offeror shall propose no less than the following four key personnel (Chief of Party, Deputy Chief of Party, Finance and Operations

Manager and Value Chain Advisor) to lead the successful execution and integration of these components. Offerors shall propose qualified individuals as key personnel and their respective qualifications and responsibilities. Of critical importance is that key staff members are complementary in skills and roles and work together effectively as a complete team, under the Chief of Party, who will guide the entire project effort forward with a clear, consistent, and committed vision. Key Personnel are expected to have the ability to manage teams of professionals to produce key results and train staff in facilitation and systems approaches. After award, only the Contracting Officer can approve the replacement of any key personnel.

For each key personnel proposed, the position description must not exceed one page. Each position description shall include, at a minimum, the proposed position title, relationship to other key personnel, education and years of experience required and their relationship with the Offeror’s headquarters. The Offeror’s proposed position descriptions shall reflect a clear understanding of technical and management skills necessary to achieve the results.

The quality of personnel will be evaluated based on their sector-specific qualifications, professional competence, relevant academic background, demonstrated success in carrying out proposed activities as well as their knowledge in implementing relevant technical areas.

USAID directs Offerors to implement its priority to build sustained indigenous technical and management capacity for the social and economic development. Offerors shall therefore strive to hire host country nationals in key and non-key positions who demonstrate familiarity with the country’s private sector development and agricultural sector as well as language and cultural expertise. In the event that the contractor proposes Third Country Nationals (TCNs) in long-term positions, there shall be strong justification that includes a clear strategy for building host country capacity to take over the TCN position before the end of the project, and a schedule for replacing the TCN with a host country citizen.
Offerors should propose qualified individuals as key personnel to lead the successful execution and integration of the proposed Components. Of critical importance is that proposed staff is complementary in skill and role, and work together effectively as a complete team, under the Chief of Party, who will guide the entire project effort forward with a clear, consistent, and committed vision. Key Personnel are expected to have the ability to manage teams of professionals to produce key results.

1) *Chief of Party:*

The Chief of Party shall be an employee of the prime Contractor rather than the subcontractor. S/he will be located in Niger and must have significant broad and proven expertise in agriculture and/or livestock sectors in Africa; preferably in West Africa. Experience in: facilitation and systems approaches, value chain program and activity management, competitiveness and agribusiness policy enabling environment, and able to bring lessons learned from success and failed interventions in the diverse environments. Key responsibilities include 1) overall project responsibility, and manage toward maximum effectiveness, efficiency and output, apply of a facilitation approach to implementation, represent the project to donors, key stakeholders and host country government counterparts, assume primary responsibility in negotiating terms and conditions of the project with donors and host country government counterparts.

2) *Deputy Chief of Party:*

In keeping with USAID Forward agenda, consideration to hire a local or Sahelian Deputy Chief of Party is encouraged. S/he will be located in Burkina Faso and must have significant broad and proven expertise in agriculture and/or livestock sectors in Africa; preferably in West Africa. S/he will have the capacity to represent the Chief of Party and will have a profile similar to that of the Chief of Party. Experience in: facilitation and systems approaches, value chain program and activity management, competitiveness and agribusiness policy enabling environment, and able to bring lessons learned from success and failed interventions in the diverse environments. Key responsibilities include 1) overall project responsibility in Burkina Faso, and manage toward maximum effectiveness, efficiency and output, apply of a facilitation approach to implementation, represent the project to donors, key stakeholders and host country government counterparts, assume primary responsibility in negotiating terms and conditions of the project with donors and host country government counterparts.

3) *Finance and Operations Manager*

S/he will be located in Niger and must have significant experience in project management, particularly managing the financial and operations aspects of agriculture and/or value chain programs. S/he should have sufficient grants/finance experience to be able to oversee what are expected to be substantial grant and loan guarantee programs. The Finance and Operations Manager would ideally possess skills that complement, not duplicate the COP. Key responsibilities are to support the COP, assume direct involvement in financial oversight, personnel management, and responsibilities in project operations.

4) Value Chain Advisor

S/he will be located in Niger and must have significant experience in private sector-market led approaches within the agricultural and livestock sectors, especially in areas of agribusiness, marketing and financial services. The key responsibilities of the Value Chain Advisor are to support and strengthen value chain analysis and strategy development, facilitation of vertical linkages along the value chain; capacity building of the target agricultural and livestock value chains as well as project staffs.

L.6(d) PAST PERFORMANCE

The Offeror shall provide information sufficient to address the evaluation criteria set forth in Section M. The Offeror shall provide an information sheet for all contracts, orders or other programs that are similar in scope, magnitude and complexity to the requirements of Section C. The Offeror’s three (03) most relevant contracts, orders and programs shall be summarized.

(a) For each contract, order or program listed, please provide the following information:

- Contract, Order or other identifying number,
- Agency or entity providing the contract or funding
- Description of the scope of work, including, but not limited to a brief discussion of the complexity/diversity of tasks,
- Primary location(s) of work,
- Term of performance,
- Skills/expertise required,
- Dollar value,
- Resources leveraged, if any; and
- Contract type, (i.e., fixed price, cost reimbursement)

(USAID recommends that Offerors alert the contacts that their names have been submitted and that they are authorized to provide performance information concerning the listed contracts if and when USAID requests it.)

(b) If extraordinary problems impacted any of the referenced contracts, provide a short explanation and the corrective action taken. (Required by FAR 15.305(a)(2))

(c) Describe any quality awards or certifications that indicate exceptional capacity to provide the service or product described in the statement of work. This information is not included in the page limitation.

(d) Performance in Using Small Business (SB) Concerns (as defined in FAR 19.001).

(1) This section (d) is not applicable to offers from small business concerns.

(2) As part of the evaluation of performance in Section M.2 of this solicitation, USAID will evaluate the extent you used and promoted the use of small business concerns under current and prior contracts. The evaluation will assess the extent small business concerns participated in these contracts relative to the size/value of the contracts, the complexity and variety of the work small business concerns performed, and compliance with your SB subcontracting plan or other similar small business incentive programs set out in your contract(s).

(3) In order for USAID to fully and fairly evaluate performance in this area, all Offerors who are not small business concerns must do the following:

(A) Provide a narrative summary of your organization's use of small business concerns over the past three years. Describe how you actually use small businesses--as subcontractors, as joint venture partners, through other teaming arrangements, etc. Explain the nature of the work small businesses performed--substantive technical professional services, administrative support, logistics support, etc. Describe the extent of your compliance with your SB subcontracting plan(s) or other similar SB incentive programs set out in your contract(s) and explain any mitigating circumstances if goals were not achieved.

(B) To supplement the narrative summary in (A), provide with your summary a copy of the most recent SF 294 ―Subcontracting Report for Individual Contracts" for each contract against which you were required to report for the past 5 years.

(C) Provide the names and addresses of three SB concerns for us to contact for their assessment of your performance in using SB concerns. Provide a brief summary of the type of work each SB concern provided to your organization, and the name of a contact person, his/her title, phone number, and e-mail address for each.

(4) The Government reserves the right to use past performance information obtained from sources other than those identified by the offeror. This past performance information will be used for the evaluation of past performance.

L.6(e) ANNEXES

Maps of the project sites, relevant proposed key personnel letters of intent, relevant assessments, resumes, and biographical data sheets must be included and will not count towards the page limit.

L.7. INSTRUCTIONS FOR THE PREPARATION OF THE COST PROPOSAL

Offerors shall submit a separate Cost Proposal and include the following information. All pages must be sequentially numbered, and each part must be separated by a tab or colored divider page. Failure to include all information, or to organize the proposal in the manner prescribed, may result in rejection of the proposal as being unacceptable. The following guidance is provided with respect to the organization of the cost proposal.

NOTE: USAID expects that approximately two thirds of the budget will be allocated to Niger and one third will be allocated to Burkina Faso. All cost proposals must clearly include a funding allocation (as a percentage) as part of their cost application.

(a) *Part 1 - Standard Form (SF) 33*
The Offeror shall submit the Standard Form (SF) 33, entitled "Solicitation, Offer, and Award with blocks 12 through 18 completed, with an original signature of a person authorized on behalf of the Offeror to sign the offer.

(b) Part 2 - Proposed Costs/Prices

This part of the Cost Proposal should include the following information: Detailed budgets in MS Excel spreadsheet format with all formulas showing and no hidden cells; and supporting documents (*e.g.* documents that support the calculation of costs included in the spreadsheets such as Negotiated Indirect Cost Rate Agreements, Bio Data Sheets, and Cost Agreements with sub-offerors, *etc*.).

1. Budget Preparation Guidance

The offerors must submit a summary budget for the five (5) years of performance. The summary budget must reflect summary cost information for each of the major budget item (CLIN) as set forth in Section B.4 for each of the contract years separately and then offer the program total for the entire contract in the last column of the table. The Offerors shall also provide a separate summary budget as indicated above for each geographic country (Niger and Burkina Faso).

Budget details and supporting information must be provided in sufficient detail to allow a complete and thorough analysis of cost. An overall detailed budget must be submitted for each CLIN for the total (5) five years of performance. In addition to the overall detailed budget, breakdown of costs must be provided for each year of performance by country, and for each CLIN including individual Cost Elements.

The detailed budget should be organized based on types of costs as set forth in the section immediately below.

2. Budget Line Item Headings
In order to undertake a meaningful comparison of cost, Offerors shall use the following standard cost elements organized generally as presented below.

Direct Costs

Labor Costs
- Salary and Wages
- Consultants
- Fringe Benefits

Travel & Allowances
- Travel, Transportation, Per Diem and Miscellaneous (Visas, Inoculations, *etc.*),
- Allowances

Other Direct Costs
- Equipment and Supplies

Subcontract Costs (for major subcontracts, ancillary budgets should be provided that include the same cost element, line item and annual breakdowns as required for the prime's budget, as applicable)
Training (includes all types of training costs)
Any Other Direct Costs

Indirect Costs
Overhead
G&A
Total Estimated Cost
Fixed Fee
Total Est. Cost Plus Fixed Fee

3. Budget Line Item Definitions

Salary and Wages: FAR 31.205-6, AIDAR 732.205-46 and AIDAR 752.7007 provides for compensation for personal services. Direct salary and wages should be proposed in accordance with the Offeror's personnel policies and meet the regulatory requirements. For example, costs of long-term and short-term personnel should be broken down by person years, months, days or hours.

Consultants: FAR 31.205-33 provides for services rendered by persons who are members of a particular profession or possess a special skill and who are not officers or employees of the Offeror. For example, costs of consultants should be broken down by person years, months, days or hours.

Fringe Benefits: FAR 31.205-6 provides for allowances and services provided by the Offeror to its employees as compensation in addition to regular wages and salaries. If fringe benefits are provided for as part of a firm's indirect cost rate structure, see FAR 42.700. If not part of an indirect cost rate, a detailed cost breakdown by benefits types should be provided for both international and CCN staff.

Travel, Transportation, and Per Diem: FAR 31.205-46, AIDAR 731.205-46 and AIDAR 752-7032 provide for costs for transportation, lodging, meals and incidental expenses. Costs should be broken down by the number of trips, domestic and international, cost per trip, per diem and other related travel costs. Specify the origin and destination, purpose for each proposed trip, duration of travel, and number of individuals traveling. In addition, Offeror shall provide a consolidated travel chart (including subawardee travel). Per diem should be based on the Offeror's normal travel policies (Offerors may choose to refer to the Federal Standardized Travel Regulations for cost estimates).

Allowances: AIDAR 752.7028 provides for differentials and allowances with further references to Standardized Regulations. For example, allowances should be broken down by specific type and by person, and should be in accordance with Offeror's policies and these regulations.

Equipment and Supplies: FAR 2.101 provides for supplies as all property except land or interest in land, FAR 31.205-26 provides for material costs, and FAR 45 prescribes policies and procedures for providing Government property to Offerors, Offerors' use and management of Government property, and reporting, redistributing, and disposing of Offeror inventory. For example, costs should be broken down by types and units, and include an analysis that it is more advantageous to purchase than lease.

Subcontracts: FAR 44.101 provides for any contract entered into by a sub-Offeror to furnish supplies or services for performance of a prime contract or a subcontract. Cost element breakdowns should include the same budget items as the prime as applicable.

Other Direct Costs: FAR 31.202 and FAR 31.205 provides for the allowability of direct costs and many cost elements. For example, costs should be broken down by types and units.

Other Training and Conferences. For other than participant training – provide number of training sessions, length and number of participants. Include training cost per participant and provide a name for each training.

Indirect Costs (Overhead, G&A). FAR 31.203 and FAR 42.700 provides for those remaining costs (indirect) that are to be allocated to intermediate or two or more final cost objectives. Indirect costs and bases as provided for in an Offeror's indirect cost rate agreement with the Government, or if approved rates have not been previously established with the Government, a breakdown of bases, pools, method of determining the rates and description of costs. Please provide a copy of latest NICRA for prime and proposed subawardees.

Fixed Fee: FAR 15.404-4 provides for establishing the profit or fee portion of the Government pre-negotiation objective, and provides profit-analysis factors for analyzing profit or fee. For example, proposed fee with rationale supported by application of the profit-analysis factors.

4. Budget Narratives

Budget narratives are required and must state the basis of cost estimation not solely citing to, "prior experience", and must justify the estimated costs for funding. The Offeror must be in alignment with the CLIN and Cost Elements in the detailed budget. Between the detailed budgets and the budget narratives, sufficient information must be provided to allow a thorough, complete and fair analysis of the costs proposed. For example, for salaries, the Offeror must demonstrate the calculations and the rationale for the rates for the base daily labor rate utilized in calculating labor cost. No unburdened base daily rate may exceed the current maximum daily rate for Agencies without a Certified SES Performance Appraisal System (AWCPAS) as described in ADS 302.3.6.10 –USAID Contractor Salary Threshold (USAID CST). The total number in a year, which should be no more than 2080 hours, may not exceed the annual salary of the AWCPAS of $165,300.

Narratives for the individual cost items must provide a discussion of any estimated escalation rates where applicable. Estimated costs proposed to exceed ceilings imposed by USAID or Federal procurement policy must be fully explained and justified.

5. Supporting Documents

The Offeror shall provide additional supporting budget documentation to substantiate all proposed costs. Negotiated Indirect Cost Rate Agreements should be included in the Cost Proposal. In addition, AID Form 1420-17 - Offeror Employee Biographical Data Sheets, should be submitted for each position with identified personnel. The form must be signed and dated by the individual and the Offeror (or sub-Offeror) in the appropriate spaces with all blocks completed. Use of Biographical Data Sheets, which are more than three months old is not acceptable. If the individual is on an appointment of less than 12 months (e.g., an academic year appointment for a university faculty member), the form must indicate the number of months in the appointment period. If the form reflects only the highest salary of the most recent employer, the date when such salary went into effect must be indicated. Consulting fees must clearly specify the number of days for each consultancy. If continuation sheets are used, each must contain the individual's name, signature, and date.

Other supporting documentation should be submitted if the Offeror believes that it is necessary to substantiate or support costs proposed by the Offeror.

(c) Part 3 - Representations, Certifications, and Other Statements of Offerors

The Offeror shall complete the online Representation & Certifications Application (ORCA) at http://orca.bpn.gov and as addressed in Section K. The Offeror shall ensure that their Central Contractor Registration (CCR) is up to date and current; CCR can be accessed at https://www.sam.gov/portal/public/SAM/

(d) Part 4 - Policies and Procedures

If the Offeror does not have prior Federal contracting experience submit a copy of its personnel policies, especially regarding salary and wage scales, fringe benefits, merit increases, promotions, leave, differentials, travel and per diem regulations, etc. The Contracting Officer may determine that a Pre-Award Survey is necessary. (See FAR 9.106).

(e) Part 5 – Joint Venture Information

If two or more parties have formed a partnership or joint venture (see FAR Subpart 9.6), for the purposes of submitting a proposal under this Solicitation and, if selected, would perform the contract as a single entity, they must submit, as an attachment to the Cost/Business Proposal, the Corporate Charter, By-Laws, or Joint Venture or Partnership Agreement. In addition, the teaming arrangements must be identified, company relationships must be fully disclosed and respective responsibilities and method of work must be expressly stipulated. The joint venture or partnership agreement must include a full discussion of the relationship between the organizations, including identification of the organization, which will have responsibility for negotiation, which organization will have accounting responsibility, how work will be allocated, and profit or fee, if any, shared. In addition, the principles to the joint venture or partnership agreement must agree to be jointly and severally liable for the acts or omissions of the other.

(f) Part 6 – Evidence of Responsibility

The Contracting Officer is required to make an affirmative determination of responsibility pursuant to the requirements of FAR Subsection 9.104-1 with respect to the winning Offeror. As a result, the Offeror <u>may</u> be requested prior to award to submit additional specific information relating to the following criteria:

(i) Have adequate financial resources to perform the contract, or the ability to obtain them (see FAR 9.104-3(a);

(ii) Be able to comply with the required or proposed delivery or performance schedule, taking into consideration all existing commercial and governmental commitments;

(iii) Have a satisfactory performance record (See FAR 9.104-3(b) and Subpart 42.15). A prospective Offeror shall not be determined responsible or non-responsible solely on the basis of a lack of relevant performance history, except as provided in FAR 9.104-2;

(iv) Have a satisfactory record of integrity and business ethics;

(v) Have the necessary organization, experience, accounting and operational controls, and technical skills, or the ability to obtain them (including, as appropriate, such elements as production control procedures, property control systems, quality assurance measures, and safety programs applicable to materials to be produced or services to be performed by the prospective Offeror and sub-offerors). (See FAR 9.104-3(a);

(vi) Have the necessary production, construction, and technical equipment and facilities, or the ability to obtain them (See FAR 9.104-3(a); and

(vii) Be otherwise qualified and eligible to receive an award under applicable laws and regulations (e.g., Equal Opportunity, Clean Air and Water, etc.).

The responsibility information that may be requested includes, but is not limited to, audited or certified financial statements, tax returns and other financial records necessary to establish responsibility. **Please note that this information is only required upon a specific request from the Contracting Officer or his/her representative.**

(g) Part 7 – Information to Support Consent to Major Sub-offerors

The Offeror must address each of the elements in FAR 44.202-2 in order for proposed sub-offerors to be considered by the Contracting Officer for consent of sub-offerors to be granted with the initial award.

(h) Part 8 – Information Concerning Work-Day, Work-Week, and Paid Absences

(i) The Offeror and each proposed major sub-offeror shall indicate the number of hours and days in its normal workday and its normal workweek, both domestically and overseas, for employees and consultants. In addition, the Offeror and each proposed major sub-Offeror shall indicate how paid absences (US holidays, local holidays, vacation and sick) shall be covered.

(ii) A normal work-year, including paid absences (holidays, vacations, and sick leave) is 2,080 hours (260 days x 8 hours per day). However, some organizations do not have an 8-hour workday, and some accounting systems normally provide for direct recovery of paid absences by using a work-year of less than 2,080 hours to compute individuals' unburdened daily rates. The Offeror and major sub-offerors shall describe their workday and workweek policies.

The work-day and work-week policies and the method of accounting for paid absences for the Offeror and major sub-offerors in affect at time of award shall remain enforce throughout the period of the award.

(i) Part 9 –Listing of all subcontracts, subawards, and resource partners

The Offeror must submit a list of all known sub-offerors, sub-awardees, as well as resource partners. This listing should be simple and contain the organization's name, address and contact information.

(j) Part 10 - Consolidated Budget

The offeror must provide a separate budget for each sub-offeror, which details all proposed costs by summary cost categories using the budget line item headings in L.7(b)2. This consolidation should detail all sub-offeror costs in the appropriate cost line item. This budget should not have the sub-offeror line item. The budget should still indicate who the service provider will be – Prime, Sub-offeror A or Sub-offeror B.

L.8. INSTRUCTIONS FOR PREPARATION OF THE BRANDING IMPLEMENTATION AND MARKING PLANS

In accordance with Section D of this solicitation, Offerors shall submit a Branding and Marking plan as part of the Annex documents. The apparent successful Offeror will be required to negotiate and submit a Branding Implementation Plan (BIP) which will be included in and made a part of the resultant contract. The BIP will be negotiated within the time that the Contracting Officer specifies. Failure to submit and negotiate a BIP will make the offeror ineligible for award of a contract. Offeror(s) should submit a preliminary BIP and MP (not to exceed two pages) as a separate annex to the technical proposal using the USAID Branding Plan Guidelines provided at http://www.usaid.gov/branding. The BIP and MP will not be a part of the technical evaluation**.**

As part of USAID's branding initiative and to insure that our implementing partners communicate that the assistance is from the American People, the New Marking and Branding Policy Requirements for USAID direct acquisitions were issued on January 08, 2007 per the revised ADS 320–Branding and Marking that can be found at: http://www.usaid.gov/branding/ADS 320.pdf. The Branding Strategy (BS) concepts will support USAID's and State's strategic goals appropriate for this activity and are found at: http://www.state.gov/s/d/rm/rls/dosstrat/2004. Costs of Branding and Marking (ADS 320.3.6.3) should be included in the total estimated cost of the Offer; these costs are eligible for financing if reasonable, allocable, and allowable in accordance with the applicable cost principles.

a) Branding Implementation Plan (BIP):

The BIP, developed by the Offeror(s), describes how the program will be communicated to the beneficiaries and promoted to host-country citizens. It outlines the events (press conferences, site visits, etc.) and materials (success stores, Public Service Announcements [PSAs] etc.) the Offeror will organize and produce to assist USAID deliver the message that the assistance is from the American people. More specifically, Branding Implementation Plan (see ADS 320.3.2.2) must address the following:

1. How to incorporate the message, "This assistance is made possible by the generous support of the American people through the United States Agency for International Development (USAID) in collaboration with the Government of ____" in communications and materials directed to beneficiaries, or provide an explanation if his message is not appropriate or possible.

2. How to publicize the program, project, or activity in the host country and a description of the communications tools to be used. Such tools may include the following: press releases, press conferences, media interviews, site visits, success stories, beneficiary testimonials, professional photography, videos, web casts, e-invitations, or other e-mails sent to group lists, such as participants for a training session blast e-mails or other Internet activities, etc.

3. The key milestones or opportunities anticipated to generate awareness that the program, project, or activity is from the generous support of the American people through the United States Agency for International Development (USAID), or an explanation if this is not appropriate or possible. Such milestones may be linked to specific points in time, such as the beginning or end of a program, or to an opportunity to showcase publications or other materials, research findings, or program success. These include, but are not limited to, the following: launching the program, announcing research findings, publishing reports or studies, spotlighting trends, highlighting success stories, featuring beneficiaries as spokespeople, securing endorsements from partner municipalities, ministry or local organizations, promoting final or interim reports, and communicating program impact/overall results.

b) **<u>Marking Plan (MP)</u>:**

USAID's policy is that programs, projects, activities, public communications, or commodities implemented or delivered under contracts and subcontracts exclusively funded by USAID are marked exclusively with the USAID Identity. Marking Plan shall be developed to enumerate the public communications, commodities, and program materials and other items that visibly bear or will be marked with the USAID Standard Graphic identity. Where applicable, a host-country government or ministry symbol may be added.

Except for the manufacturer's trademark on a commercial item, the corporate identities or logos of Offerors or sub-offerors are not permitted on USAID-funded program materials and communications. Please refer to ADS section 320.3.2.4 that describes what the Marking Plan must address. Note that marking is not required for Offerors' offices, vehicles, and other non-deliverable items.

L.9. GOVERNMENT OBLIGATION

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

[END OF SECTION L]

SECTION M – EVALUATON FACTORS FOR AWARD

M.1. GENERAL INFORMATION

(a) The Government may award a contract without discussions with Offerors, in accordance with FAR 52.215-1.

(b) The Government intends to evaluate Offerors' proposals in accordance with Section M of this RFP and make an award to the responsible Offeror whose proposal represents the best value to the U.S. Government.

(c) Technical proposal will be evaluated on the basis of the technical criteria shown below.

(d) The technical proposal will be evaluated by a technical evaluation committee which may include industry experts who are not employees of the Government. When evaluating the competing Offerors, the Government will consider the written qualifications/capability information provided by the Offerors and any other information obtained by the government through its own research.

(e) The points shown after each evaluation criterion in Section M.2 below indicate the relative importance of each criterion.

(f) Cost has not been assigned a numerical weight. Offerors are reminded that the Government is not obligated to award a negotiated contract on the basis of lowest proposed cost, or to the Offeror with the highest technical evaluation score. Although for this procurement, technical proposal merits are considered substantially more important than cost relative to deciding which Offeror might best perform the work, cost factors and USAID's budget will also be considered. As technical scores converge, cost may become a deciding factor in award. The Contracting Officer will make the award to the Offeror whose proposal offers the best value to the Government considering both technical and cost factors.

(g) To be eligible for consideration of an award under this RFP, the Offeror must be any legal entity accredited or able to obtain accreditation to operate in Niger and Burkina Faso. Offerors must submit with their proposal the status of their application for registration with the host governments of Niger and Burkina Faso. Upon notification from the Contracting Officer, the apparent winner shall provide written proof of full registration within 30 calendar days. Prior to contract award, proof of registration or completed accreditation is required and must be submitted in writing to the Contracting Officer. Failure to meet the accreditation requirement within the 30 calendar days <u>will disqualify</u> the offeror and the source selection official may opt to begin negotiations with the second highly rated offeror.

M.2. TECHNICAL EVALUATION CRITERIA

The Technical Evaluation Criteria are tailored to the requirements of this particular RFP and are set forth below based on a 100 points scale. Offerors should note that these criteria serve to: (a) identify significant matters which offerors should address in their proposals and (b) set the standard against which all proposals will be evaluated. To facilitate the review of proposals, offerors must organize the narrative sections of their technical proposals with the same headings and in the same order as the selection criteria. There are four criteria against which technical proposals will be evaluated*: Technical Implementation, Management and Staffing Plan, Key Personnel, and Past Performance.* The maximum possible points for each of these criteria are outlined in the table below.

It is anticipated that the proposed approach will: (a) consist of an experienced offeror with in-depth knowledge of the Niger and Burkina Faso development milieus;(b) consist of an offeror with experience in both humanitarian and longer-term development programming; (c) be cost effective; (d) clearly show how it is using and strengthening local partners, and (e) ensure a quick start-up to activities.

Summary of Evaluation Points

Criterion	Points
Technical Implementation	55
Management and Staffing Plan	20
Qualifications of Key Personnel	15
Past Performance	10
Total	100

The evaluation criteria listed below are presented by major category, so that Offerors will know which areas require emphasis in the preparation of proposals. The criteria below reflect the requirements of this particular Statement of Objective. These criteria serve as the standard against which all proposals will be evaluated.

I. Technical Implementation (55 points).
(See Section L.6)

- Proposals will be evaluated on the offeror's Statement of Work, and its ability to accomplish the expected results articulated in the Statement of Objectives.
- Proposals will be evaluated on its feasibility and technical appropriateness and likelihood of achieving the proposed interventions in each of the five components.
- Proposals will be evaluated on the approach of methodology for collaboration and coordination among REGIS-AG, REGIS-ER and FFP development programs.
- Proposals will be evaluated on the M&E plan's ability to demonstrate accurate monitoring, achievement of established targets and the methodology described to incorporate learning into subsequent workplans throughout the project life cycle.
- Proposals will be evaluated on how well gender opportunities are integrated to improve competitiveness, food security, and nutrition as well as how cross-cutting themes and guiding principles are articulated.

II. Management and Staffing Plan (20 points)

- Proposals will be evaluated on the soundness and completeness of the management plan and how well the plan describes the processes and approaches necessary to address all the components in REGIS-AG, including the clarity and appropriateness of staffing, and the Offeror's capabilities.

III. Qualification of Key Personnel (15 points)

- Quality and appropriateness of the Offeror's proposed Key Personnel. The quality of personnel will be evaluated based on their specific qualifications, professional competence, relevant academic background, demonstrated success in carrying out proposed activities as well as their knowledge in implementing relevant technical areas.

IV. Past Performance (10 points)

(a) Performance information will be used for both the responsibility determination and best value decision. USAID may use performance information obtained from other than the sources identified by the Offeror/subcontractor. USAID will utilize existing databases of Contractor performance information and solicit additional information from the references provided in Section L.6(d) of this RFP and from other sources if and when the Contracting Officer finds the existing databases to be insufficient for evaluating an Offeror's performance.

(b) If the performance information contains negative information on which the Offerors has not previously been given an opportunity to comment, USAID will provide the Offerors an opportunity to comment on it prior to its consideration in the evaluation, and any Offerors comment will be considered with the negative performance information.

(c)USAID will initially determine the relevance of similar performance information as a predictor of probable performance under the subject requirement. USAID may give more weight to performance information that is considered more relevant and/or more current.

(d) The Contractor performance information determined to be relevant will be evaluated in accordance with the elements below:

1. Quality of product or service, including consistency in meeting goals and targets;
2. Cost control, including forecasting costs as well as accuracy in financial reporting;
3. Timeliness of performance, including adherence to Contract schedules and other time-sensitive project conditions, and effectiveness of home and field office management to make prompt decisions and ensure efficient completion of tasks.
4. Business relations, addressing the history of professional behavior and overall business-like concern for the interests of the customer, including the contractor's coordination among subcontractors and developing country partners, cooperative attitude in remedying problems, and timely completion of all administrative requirements.
5. Customer satisfaction with performance, including end user or beneficiary wherever possible:
6. Effectiveness key personnel, including appropriateness of personnel for the job and prompt and satisfactory changes in personnel when problems with clients where identified.
7. Prime Offerors who are not small business concerns will be evaluated on their performance in using small business concerns as subcontractors, joint venturers, and in other teaming arrangements.

(e) An offeror's performance will not be evaluated favorably or unfavorably when:

1. The offeror lacks relevant performance history.
2. Information on performance is not available, or
3. The offeror is a member of a class of offerors where there is provision not to rate the class against a sub factor.

When this occurs, an offeror lacking relevant performance history is assigned a "neutral" rating. For example, a small business prime offeror will not be evaluated on its performance in using small business concerns. If this sub factor is worth a possible 10 points out of a total possible point value of 100 for the technical proposal, then the small business prime offeror's technical proposal will have a maximum of 90 possible points. If it was assigned a total score of 80 points out of the 90 maximum possible points, its total technical score for evaluation against the other offerors would be 88.89 (i.e., 80/90). USAID understands that there may be minor arithmetic differences in percentage terms as a result; however, it considers these differences to be minor and that they will not impact any best-value decision made under this solicitation.

An exception to this “neutral” rating provision is when a non-small businesses prime has no history of subcontracting with small business concerns.

Prior to assigning a "neutral" past performance rating, the contracting officer may take into account a broad range of information related to an offeror's performance.

M.3. COST/BUSINESS EVALUATION

No points are assigned to the cost proposals evaluation. While the technical evaluation criteria are significantly more important than cost, cost remains important.

Cost will primarily be evaluated for realism, allowability, and reasonableness in accordance with FAR 15.404-1. This evaluation will consist of a review of the cost portion of an Offeror’s proposal to determine if the overall costs proposed are realistic for the work to be performed, if the costs reflect the Offeror’s understanding of the requirements, and if the costs are consistent with the Technical Proposal.

Evaluation of the cost proposal will consider but not be limited to the following:

- cost reasonableness, cost realism and completeness of the cost proposal and supporting documentation;
- overall cost control/cost savings evidenced in the proposal (avoidance of excessive salaries, excessive home office visits, and other costs in excess of reasonable requirements);
- and amount of the proposed fee.

Cost realism is an assessment of accuracy with which proposed costs represent the most probable cost of performance, within each Offeror’s technical and management approach. A cost realism evaluation shall be performed as part of the evaluation process as follows:

- Verify the Offeror’s understanding of the requirements;
- Assess the degree to which the cost proposal accurately reflects the technical approach;
- Assess the degree to which the costs included in the Cost Proposals accurately represent the work effort included in the respective Technical Proposals.

The results of the cost realism analysis will be used as part of the Agency’s best value/tradeoff analysis. Although technical evaluation criteria are significantly more important than cost, the closer the technical evaluation scores of the various proposals are to one another, the more important cost considerations will become. Therefore, the evaluation of costs proposed may become a determining factor in making the award as technical scores converge.

M.4. CONTRACTING WITH SMALL BUSINESS CONCERNS AND DISADVANTAGED ENTERPRISES

USAID encourages the participation of small businesses, veteran-owned small businesses, women-owned small businesses, small disadvantaged business, and HUBZone small businesses. Accordingly, every reasonable effort will be made to identify and make use of such organizations. After evaluating all offers, if USAID concludes that certain offers are effectively equally eligible for contract award, then the offer that includes the most realistic and effective use of small business concerns may become a determining factor for selection.

M.5. DETERMINATION OF THE COMPETITIVE RANGE

If the Contracting Officer determines that discussions are necessary, he/she will establish a competitive range composed of the most highly rated proposals. In certain circumstances the Contracting Officer may determine that the number of most highly rated proposals that might otherwise be included in the competitive range exceeds the number at which an efficient competition can be conducted; should that be the case, the Contracting Officer may then limit offers in the competitive range to the greatest number that will permit an efficient competition among the most highly rated offers.

The government may exclude an offer if it is so deficient as to essentially require a new technical proposal. The government may exclude an offer so unreasonably priced, in relation to more competitive offers, as to appear that there will be little or no chance of becoming competitive. The government may exclude an offer requiring extensive discussions, a complete rewrite, or major revisions such as to allow an offeror unfair advantage over those more competitive offers.

M.6. SOURCE SELECTION

In accordance with FAR 52.215-1(f), the government intends to award a contract resulting from this solicitation to the responsible offeror whose proposal represents the best value after evaluation in accordance with the factors and sub-factors as set forth in this solicitation.

This procurement utilizes the tradeoff process set forth in FAR 15.101-1. The Contracting Officer shall award the contract to the offeror whose proposal represents the best value to the U.S. Government. The Contracting Officer 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.

[END OF SECTION M]