



USAID | SENEGAL

FROM THE AMERICAN PEOPLE

Issuance Date:	May 5, 2010
Deadline for Receipt of Questions:	May 28, 2010 (17:00 Dakar Time)
Closing Date for Submission of Applications:	July 12, 2010* (See Note at bottom of the letter)
Closing Time for Submission of Applications :	5:00 PM (17:00: Dakar Time)

Subject: **USAID/Senegal Request for Applications (RFA) Number 685-10-A-07;
Capacity Building for Agricultural Education and Research Project**

The United States Agency for International Development (hereinafter referred to as “USAID” or the “Government”) is seeking applications for an Assistance Agreement for funding a program for Capacity Building for Agricultural Education and Research Project in Senegal as described in Section C of this RFA. USAID anticipates awarding a five year performance-based Cooperative Agreement (CA), US \$28 million, subject to availability of funds, resulting from this RFA process. USAID reserves the right to fund any or none of the applications submitted.

Note: “Performance-based” is not an award type, but rather it is a focus on sub-results, activities and indicators for each of the three work components that comprise this award. Also, for planning/budgeting and clarification of period of performance, this award is to be based on:

Year 1 – 9/01/2010 (estimated) to 9/30/2011 (13 months)
Year 2 – 10/01/2011 to 9/30/2012 (12 months)
Year 3 – 10/01/2012 to 9/30/2013 (12 months)
Year 4 – 10/01/2013 to 9/30/2014 (12 months)
Year 5 – 10/01/2014 to 9/30/2015 (12 months)

In addition, USAID generally estimates the U.S. Government funds to be allocated between the three components as below (plus or minus 5%). Also, at least 60% of the first two components are for a combination of Grants/Global Development Alliances (GDAs). Infrastructure program (which includes new construction, rehabilitation of standing structures, and equipment) is roughly estimated to take between 25 to 33% of resources (See Section C for details).

50% to Component 1 – Strengthened Agricultural Education and Training
35% to Component 2 - Strengthened Applied Research and Outreach
15% to Component 3 – Project Management and Policy Support

USAID/Senegal is seeking applications from qualified U.S. and Non-U.S. organizations and institutions, in the form of partnerships or teams (primes and subs) that include Senegalese organizations and are interested in providing the services described in this solicitation. This is a full and open competition, under which any type of organization, large or small commercial (for profit) firms, faith-based, and non-profit organizations in partnerships or teams from geographical code 935, are eligible to compete. In accordance with the Federal Grants and Cooperative Agreement Act, USAID encourages competition in order to identify and fund the best possible applications to achieve program objectives.

The authority for the RFA is found in the Foreign Assistance Act of 1961, as amended.

The chosen Recipient will be responsible for ensuring achievement of all program objectives. Please refer to the Program Description for a summary and insight to the goals and expected results.

Pursuant to 22 CFR 226.81, it is USAID policy not to award profit under assistance instruments. However, all reasonable, allocable and allowable expenses, both direct and indirect, which are related to the agreement program and are in accordance with applicable cost standards (22 CFR 226, OMB Circular A-122 for non-profit organization, OMB Circular A-21 for universities, and the Federal Acquisition Regulation (FAR) Part 31 for profit organizations), may be paid under the agreement.

For the purposes of this solicitation, this RFA is being issued and consists of this cover letter and the following:

1. Section A – Application and Submission Instructions;
2. Section B - Selection Criteria;
3. Section C – Program Description;
4. Section D – Certifications, Assurances, and other Statements;
5. Section E – Annexes.

For the purposes of this RFA, the term "Grant" is synonymous with "Cooperative Agreement"; "Grantee" is synonymous with "Recipient"; and "Grant Officer" is synonymous with "Agreement Officer."

If an organization decides to submit an application, it should be received by the closing date and time indicated at the top of this cover letter at the place designated below for receipt of applications.

Applications received after the closing time may not be considered. The text of any application, less any essential annexes, cover pages, dividers, table of contents, executive summary, resumes and CVs, must not exceed 50 pages and the text on its own must be entirely responsive to all aspects of the RFA.

The preferred method of distribution of USAID RFA's is via Grants.gov, which provides a source for Federal government-wide competitive grant opportunities. This RFA and any future amendments can be downloaded from that Web Site. The address is <http://www.grants.gov>. In order to use this method, an applicant must first register on-line with Grants.gov. If you have difficulty registering or accessing the RFA, please contact the Grants.gov Helpdesk at 1-800-518-472 or via email at support@grants.gov for technical assistance.

If you decide to submit an application, it should be received (a) electronically and sent directly to USAID by email, to bdaluz@usaid.gov and ptresch@usaid.gov, and; (b) hard copies delivered to the following address (international courier or by hand):

Bernadette Daluz
Sr. Acquisition & Assistance Specialist
USAID/Senegal/RAAO
Derriere Hotel Ngor Diarama
Petit Ngor, Ngor - Senegal
Telephone reference for courier only is: (221)-33-869-6142.

Applications, both electronic and hard copies should be received by the closing date and time indicated at the top of this cover letter. Applications must remain valid for a minimum of 120 days.

Applicants are requested to submit both technical and cost portions of their applications in separate volumes. Award will be made to the responsible applicant whose application offers the greatest value to the U.S. Government based on this RFA.

Issuance of this RFA does not constitute an award commitment on the part of the Government, nor does it commit the U.S. Government to pay for costs incurred in the preparation and submission of an application. Further, the Government reserves the right to reject any or all applications received. In addition, final award of any resultant cooperative agreement cannot be made until funds have been fully appropriated, allocated, and committed through internal USAID procedures. While it is anticipated that these procedures will be successfully completed, potential applicants are hereby notified of these requirements and conditions for award. The applications are submitted at the risk of the applicant; accordingly, should circumstances prevent an award of a cooperative agreement, all preparation and submission costs are at the applicant's expense.

In the event of an inconsistency between the documents comprising this RFA, it shall be resolved by the following descending order of precedence:

- (a) Selection Criteria (Section B);
- (b) Application and Submission Instructions (Section A);
- (c) Program Description (Section C);
- (d) This Cover Letter.

Any questions concerning this RFA should be submitted in writing to: Bernadette Daluz, via the following email address: bdaluz@usaid.gov with a copy to Phillip S. Tresch at ptresch@usaid.gov. Prospective applicants need to submit their questions or request for clarifications of any part of the RFA not later than the deadline specified on the first page of this letter, in order to be included in a USAID response in the form of an RFA amendment (listing all questions received and USAID answers).

USAID/Senegal will not entertain any request for information by phone or in writing after the date indicated above.

Applicants should retain for their records, one copy of all enclosures which accompany their application.

Sincerely,



Phillip S. Tresch
Regional Agreement Officer
USAID/Senegal/RAAO

***Note:** Due to the size and competitive nature of this procurement, extra time has been provided for preparation of applications and to allow potential applicants to fully develop its proposed sets of activities, implementation approaches, staffing and indicators/end results. For example, applicants may wish to visit Senegal to assist with identifying potential local consultants/staff, firms/NGOs and location/types of proposed work activities. Please note that USAID requests that local firms/NGOs not be “tied up” with exclusive work agreements with individual USA primes, but “TBD” and “plug figures” can be used in specific cases (see Section A.3).

TABLE OF CONTENTS

SECTION A – APPLICATION AND SUBMISSION INSTRUCTIONS	6 - 16
A.1. APPLICATION AND SUBMISSION GUIDELINES	6
A.2. GENERAL TECHNICAL APPLICATION FORMAT	8
A.3. SPECIFIC TECHNICAL APPLICATION GUIDANCE	9
A.4. COST/BUSINESS APPLICATION FORMAT GUIDANCE	11
A.5. COOPERATIVE AGREEMENT AWARD	15
A.6. AUTHORITY TO OBLIGATE THE GOVERNMENT	16
SECTION B - SELECTION CRITERIA.....	17 - 20
SECTION C – PROGRAM DESCRIPTION	21 - 48
C.1. SUMMARY & OVERVIEW	21
C.2. OBJECTIVE	21
C.3. BACKGROUND	22
C.4. DEVELOPMENT HYPOTHESIS	24
C.5. PROGRAM DESCRIPTION	25
C.6. PERFORMANCE MONITORING PLAN	35
C.7. IMPLEMENTATION REQUIREMENTS	37
C.8. AGREEMENT AMENDMENT	43
C.9. STAFFING STRUCTURE AND KEY PERSONNEL	43
C.10. MANAGEMENT	43
C.11. SUBSTANTIAL INVOLVEMENT	45
C.12. REPORTING REQUIREMENTS.....	45
C.13. LOGISTICS	48
C.14. AUTHORIZED GEOGRAPHICAL CODE	48
SECTION D – CERTIFICATIONS/ASSURANCES/OTHER STATEMENTS.....	49 - 59
SECTION E - ANNEXES.....	60 - 93
ANNEX 1 – GUIDING PRINCIPLES & APPROACHES	60
ANNEX 2 – SENEGAL’S AGRICULTURAL SECTOR AND FOOD SECURITY STRATEGY....	70
ANNEX 3 – USAID/SENEGAL FOOD SECURITY AND ECONOMIC GROWTH STRATEGIES AND PAST INVESTMENTS.....	72
ANNEX 4 – AGRICUTLURAL EDUCATION AND TRAINING INSTITUTIONS	77
ANNEX 5 – AGRICULTURAL RESEARCH AND INNOVATION.....	82
ANNEX 6 – GLOBAL DEVELOPMENT ALLIANCE.....	84
ANNEX 7 – OTHER PROVISIONS.....	87
ANNEX 8 – STANDARD PROVISIONS	93

SECTION A – APPLICATION AND SUBMISSION INSTRUCTIONS

A.1 APPLICATION AND SUBMISSION GUIDELINES

All applications received by the deadline specified in the cover letter will be reviewed for responsiveness and programmatic merit in accordance with the specifications outlined in these guidelines and the following. Section B addresses the selection criteria.

Applications are to be submitted electronically via e-mail attachments formatted in Microsoft Word and/or Excel (version 2003) or PDF format with a 3MB limit per email. Because of USAID's system restrictions (i.e. it routinely deletes and removes zip files), applicants are requested to avoid sending zipped files and to not use a "zip" extension as part of the file name.

Applicants shall be submitted in two separate parts: (a) technical and (b) cost/business application. In addition to the email submission, applicants shall submit an original and two (2) copies of the technical portion of the application and an original and one (1) copy of the cost/business portion of the application to the address specified in the cover letter. Due to phone system limitations, faxed applications will not be considered.

The hard copies of application and modifications thereof shall be submitted in sealed envelopes or packages addressed to the office specified in the cover letter of this RFA, with the RFA number, the name and address of the applicant, and whether the contents contain technical and/or cost applications noted on the outside of the envelopes/packages.

The application should be prepared according to the formats set forth below in "Technical Application Format" and "Cost/Business Application Format". Applications must be submitted no later than the date and time indicated on the cover page of this RFA, to the location indicated in the cover letter accompanying this RFA. Applications which are received late or are incomplete run the risk of not being considered in the review process. Late applications will be considered for award only if the Agreement Officer determines it is in the Government's interest.

Applicants should retain for their records one copy of the application and all enclosures which accompany their application. Erasures or other changes must be initialed by the person signing the application. To facilitate the competitive review of the applications, USAID will consider only applications conforming to the format prescribed below.

Any prospective applicant desiring an explanation or interpretation of the RFA must request it in writing in the form of questions by the due date indicated on the cover page of this RFA (for the receipt of questions), to the email address set forth in the RFA cover letter. Non-written data or instructions given before award of a Cooperative Agreement will not be binding; also, any information (i.e. questions/answers) given to a prospective recipient concerning this RFA will be furnished to all other prospective recipients as a written/published amendment to this RFA.

Following are the procedures for **Submission of Applications, by Email:**

1. Before sending documents to USAID as email attachments, they must be converted into Microsoft Word 2003 (for narrative text), Excel (for tables), or PDF format.
2. If an application is sent by multiple emails, the **subject line of the email** must indicate whether the email relates to the technical or cost proposal and the desired sequence of multiple emails (if more than one is sent) and sequence of attachments (e.g. Organization X, Cost Proposal, Part 1 of 4, etc.). However, applicants are requested to consolidate as much as possible, the various parts of the technical applications into one technical application document and the various parts of the cost application into one cost application document.
3. Questions, applications and modifications thereof shall be submitted with the name and address of the applicant and the RFA number (referenced in the cover letter and above), inscribed thereon, via email, to both bdaluz@usaid.gov and ptresch@usaid.gov. Due to phone system limitations, faxed applications will not be considered.

Applicants are expected to review, understand and comply with all aspects of the RFA. Failure to do so will be at the applicant's risk. Each applicant shall furnish the information required by this RFA. On the hard copies of applications, the applicant shall sign the application and the certifications, and print or type its name on the Cover Page of the technical and cost applications. Erasures or other changes must be initialed by the person signing the application. Applications 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.

Applicants who include data that they do not want disclosed to the public for any purpose or used by the U.S. Government except for evaluation purposes should:

- (a) Mark the title page with the following legend:

"This application 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 application. If, however, a grant is awarded to the applicant 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 grant. This restriction does not limit the U.S. Government's right 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 pages _____."; and

- (b) 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 application."

Unnecessarily elaborate applications that include brochures or other presentations beyond those sufficient to present a complete and effective application in response to this RFA are not desired and may be construed as an indication of the applicant's lack of cost consciousness. Elaborate art work, expensive paper and bindings, and expensive visual and other presentation aids are neither necessary nor wanted.

Applicants shall confirm receipt of the RFA by written email notification to the contact person specific in the RFA cover letter. Applicants shall also acknowledge receipt of any amendment to this RFA by signing and returning the amendment. The Government must receive the acknowledgement by the time specified for receipt of applications.

A.2 GENERAL TECHNICAL APPLICATION FORMAT

The technical application will be the most important item of consideration in selection for award of the proposed activity. It should demonstrate the applicant's capabilities and expertise with respect to achieving the goals of this program. Therefore it should be specific, complete, and presented concisely. It should take into account and be arranged in the order of the technical evaluation criteria in **Section B. Selection Criteria**.

The technical application must be submitted in English, and printed in single-spaced eleven point Times New Roman font on standard 8.5" by 11" paper. Pages must be numbered consecutively. The technical application is limited to 50 pages. OVER 50 PAGES WILL BE NOT EVALUATED. Note that cover pages, dividers, and certain components of the technical application (specifically, the Table of Contents, Executive Summaries, Draft Results Framework, Performance Plan, Sustainability Plan, *Curricula Vitae* (CVs) for key personnel, and Past Performance References) are not included in the 50-page limitation, and may be included as annexes to the technical proposal.

It is the applicant's responsibility to confirm that the USAID/Senegal Mission has received the application – both technical and cost proposal.

A.2.1 Proposal Application

Technical Proposal

- | | |
|---|-----------|
| • Technical Approach | 30 points |
| • Organizational Capability and Management Approach | 20 points |
| • Personnel | 30 points |
| • Past Performance | 10 points |

Cost Proposal

- | | |
|-----------------|------------------|
| • Cost Proposal | <u>10 points</u> |
|-----------------|------------------|

Total Score	100 points
--------------------	------------

The technical application will be the most important item of consideration in selection for award of the proposed activity. It should demonstrate the applicant's capabilities and expertise with respect to achieving the goals of this program. Therefore it should be specific, complete and presented concisely. It should take into account and be arranged in the order of the technical evaluation criteria specified in Section B. Selection Criteria.

Although no specific technical application format is mandated, the technical application should take into account the guidance below:

Technical Approach – must include a clear description of the approach and general strategy (e.g. methodology and techniques) being proposed and explain how the approach is expected to achieve the proposed objectives. Applicants should describe how they plan to approach achieving the selected outcomes, including to what extent they plan to provide technical assistance directly, involve local firms, and/or award sub-grants. Applicants are encouraged to propose innovative programs designed to reach the desired higher level outcomes/results of the program. Applicants are advised not to repeat verbatim

the illustrative activities in the Program Description, but to propose a focused and fine-tuned program which they determine is best suited to meet the overall outcomes and results expected. **Accordingly, applicant should both edit and enhance planned end products/indicators to illustrate the “robust and maximum” results that the applicant plans to achieve for the total funds available.**

The roles and responsibilities of all partner organizations must be clearly identified. Included in the program design should be an aggressive but realistic schedule of steps toward reaching proposed results. The implementation plan should clearly outline linkages between the proposed conceptual approach, activities, performance milestones and outcomes/results to be achieved. Technical applications will be evaluated based upon both the level of achievement proposed and the realism of the plan and timelines for reaching that level of achievement.

For additional guidance to applicants, the following is provided to assist with preparation of the technical application. References below are made to the relevant sections of the Program Description.

A.3 SPECIFIC TECHNICAL APPLICATION GUIDANCE

Section C.1 – Summary and overview: The Capacity Building for Agricultural Education and Research Project (CBAER) is for five years (ending September 2015).

Section C.5. - Program Description: Applicants are expected to refine this USAID Program Description. They should apply their technical expertise, experience and understanding of the requirements to define what set of interventions and activities best responds to the goal and desired outcomes of the program. As part of this process, applicants are requested to use their best professional judgment to determine how to divide up the level of effort and allocation of funds across all of the outcomes to best respond to the requirements of the performance-based program. For planning purposes USAID has allocated as a guideline, illustrative percentages to program and budget allocation as follows:

- 50% to Component 1 – Strengthened Agricultural Education and Training
- 35% to Component 2 - Strengthened Applied Research and Outreach
- 15% to Component 3 – Project Management and Policy Support

Applicants should describe how they plan to approach achieving the selected outcomes including plans for technical assistance, involvement of local partners, and/or award of sub-grants.

Expected Results – Applicants should propose an abbreviated performance plan and results framework which will become a part of the recipient’s agreement. Applicants must review the suggested results and indicators provided under each component and identify and propose “robust”, realistic and specific planned indicators and targets to be achieved at the end of each USG fiscal year over the life of the activity. Applicants should also provide baseline information to the extent this is available. In providing this information, USAID strongly encourages applicants to balance setting aggressive targets with applying best professional judgment to ensure that these targets are realistic and achievable. Any evidence that applicants are able to provide to demonstrate that the targets that they have set are achievable will strengthen the application.

Applicants should propose a reasonable number of indicators where data collection is possible and whose tracking will contribute to measuring performance, success, and impact in implementing the program. They should also include implementation milestones. The proposed indicators in the application should also allow them to demonstrate progress on improving both the overall enabling environment and building institutional capacity to sustain the desired improvements.

Please note that when setting results, applicants should also consider the following: (a) prospects for producing measurable results with clear relationships with the program's overall objectives; (b) prospects for leveraging funds from national governments, other USAID programs, and other donors. Applicants should include in their applications a description of the process that they will use in coordination with USAID to finalize a monitoring and evaluation framework and their performance monitoring plan. The information requested above will become part of the recipient's agreement and later part of the recipient's comprehensive PMP.

Section C.7.1 – Gender: Applicants will propose gender specific indicators, and implementation activities that integrate gender, and encourage equitable participation of women and men in program implementation, with particular attention on how proposed activities will affect women both in terms of positive and negative impacts.

Section C.7.2 – Environmental Compliance: Applicants should include in their applications a description of the process that they will use to review and mitigate any potential negative environmental impact from activities implemented under the program. USAID anticipates that a Categorical Exclusion and negative determination with conditions will apply. However, if applicants determine that there is a negative determination with conditions then they will need to budget funds to some activities and include in their proposal the task of conducting such an assessment (refer to full text in the RFA).

If a provision for sub-grants is included under this award, applicants should consider including in their applications the requirement to include an Environmental Review Form (ERF), or Environmental Review (ER) checklist using impact assessment tools to screen grant proposals to ensure the funded proposals will result in no adverse environmental impact. Use of the ERF or ER checklist is called for when the nature of the grant proposals to be funded is not known well enough to make an informed decision about their potential environmental impacts, yet due to the type and extent of activities to be funded any adverse impacts are expected to be easily mitigated.

Section C.7.5 - AET Capacity Building Memoranda of Understanding: Applicants should propose appropriate organizational arrangements and describe how they will monitor, report, and track results.

Section C.7.8 - Branding and Marking Strategy: The Apparent winning firm (not all applicants) must develop a Branding Implementation Plan (BIP) to describe how the program will be promoted to beneficiaries and host-country citizens. BIP should specifically address the issue of how the applicant will incorporate the message, *"This assistance is from the American people,"* in communications and materials directed to beneficiaries or provide an explanation if this message is not appropriate or possible. Applicants should develop a marking plan to enumerate the public communications, commodities, and program materials and other items that visibly bear or will be marked with the USAID identity.

Section C.7.9. Sustainability: Applicants should propose an illustrative summary sustainability plan for the program. A full sustainability plan will be required in by the recipient after the agreement is signed. It is expected to build upon and strengthen local capacity for sustainable program management and implementation. Applicants are required to develop partnerships with organizations that employ local personnel and facilities to the maximum extent possible to improve the likelihood of attaining quality results, achieve program sustainability and minimize recurrent costs. USAID/Senegal strongly encourages applicants to fully integrate the skills, capabilities and expertise of local organizations in a substantive way.

Section C.8 – Agreement Amendments: Applicants do not need to prepare any information at this time related to the Agreement Amendments described in the RFA.

Section C.9 - Staffing Structure and Key Personnel: Applicants should consider the most time and cost-effective staffing structure to respond to start-up and implementation of the program. Applicants should provide a complete staffing chart that identified the position titles and position grades on the Foreign Service or Foreign Service National scales of all proposed long term staff. The staffing plan and structure of the recipient will become part of the agreement. Applicants may propose up to five key personnel positions to manage the program.

Organizational Capacity and Management Approach – Applicants must include a description of their organizational strength and experience in planning and implementing programs of a similar nature, including examples of similar programs that their organization has implemented which demonstrates that background experience. The management plan should provide evidence of the extent to which the proposed management structure and approach will ensure program effectiveness and efficiency will achieve maximum benefits and results. The application must specify the organizational structure (an organigram should be included) and composition of the program team (including home office support) and describe the role of the Chief of Party, the Deputy Chief of party and key personnel. A brief scope of work for each is desirable.

Personnel - Applicants must include CVs and/or resumés of proposed Key Personnel and other important managerial and technical personnel to be assigned to this program activity, including a minimum of three (3) references for each key staff with email addresses.

Past Performance - Applications should include up to 10 U.S. donor funded contracts, grants, cooperative agreements, etc. received by the applicant's organization involving programs similar to the program proposed in this application. Each award listed must include:

- Name of awarding organization or agency;
- Address of awarding organization or agency;
- Place of performance of services or program;
- Award number;
- Amount of award;
- Terms of award (start and end dates of services/programs);
- Name, current telephone number, current fax number and e-mail address (if one is available) of a responsible technical representative of that organization or agency;
- Brief description of the program; and
- Performance evaluation, if any, from the awarding organization or agency.
- **Note:** It is optional, but it may be desirable to add a sentence/phrase for each mentioned award which emphasizes the particular/special factor how the subject action relates to this RFA.

A.4 COST/BUSINESS APPLICATION FORMAT AND GUIDANCE

- (a) The cost application must be completely separate from the applicant's technical application and submitted by using SF-424 and SF-424A "Application for Federal Assistance". These forms can be found under Section D and are downloadable online at:
http://www.grants.gov/agencies/aapproved_standard_forms.jsp
- (b) Applicants must provide an electronic copy of a budget (in Microsoft Excel), with calculations shown in the spreadsheet, and an electronic version of the narrative that discusses the costs for each budget line item (preferably in Microsoft Word).

- (c) The cost/business application must be for the period of the proposed program (up to 5 years) and use the budget format shown in the SF-424A. If the applicant proposes to charge any training costs to the USG as part of any proposed cooperative agreement, it must clearly identify them.
- (d) If the applicant is a consortium, the cost/business application must include documents that reflect the legal relationship among the parties. The document/s should include a full discussion of the relationship among the applicants, including the identity of the applicant that the USG will treat for purposes of administration of any cooperative agreement, identity of the applicant that will have accounting responsibility, how the applicant proposed to allocate effort under any cooperative agreement, and the express agreement of the principals of the applicant organization to be held jointly and severally liable for the acts or omissions of the other.
- (e) Applicants must complete the required Representations and Certifications under Section D with the cost/business application.
- (f) The applicant's proposed budget should provide estimates of the program based upon the total estimated costs for the agreement. Applicants should minimize their administrative and support costs for managing the project to maximize the funds available for project activities.
- (g) The cost/business application should describe headquarters and field procedures for financial reporting and the management information procedure(s) to ensure accountability for the use of U.S. Government funds. Applicants must describe fully program budgeting, financial and related program reporting procedures.
- (h) Applicants must provide detailed budget notes or narrative for all costs, and explain how they derived costs, consistent with the following guidance on required information:
 - 1. The breakdown of all costs associated with the program according to costs of, if applicable, headquarters, regional and/or country offices;
 - 2. The breakdown of all costs according to each partner organization involved in the program;
 - 3. The costs, if any, associated with external, expatriate technical assistance and those associated with local in-country technical assistance;
 - 4. The breakdown of any financial and in-kind contributions of all organizations involved in implementing the cooperative agreement;
 - 5. Potential contributions of non-USG or private commercial donors to the cooperative agreement;
 - 6. Procurement plan for commodities if needed (although not encouraged); and
 - 7. Close-out costs: applicants must include in the required projected organizational budget any costs associated with terminating programmatic activities at the conclusion of the cooperative agreement.

- (i) Applicants must provide a budget summary table with the following cost element details and a detailed budget by components:

	Yr 1	Yr 2	Yr3	Yr 4	Yr 5	USAID TOTAL	COST SHARE
Salary and Wages	\$ _____	\$ _____	\$ _____	\$ _____	\$ _____	\$ _____	\$ _____
Fringe Benefits	\$ _____	\$ _____	\$ _____	\$ _____	\$ _____	\$ _____	\$ _____
Consultants	\$ _____	\$ _____	\$ _____	\$ _____	\$ _____	\$ _____	\$ _____
Travel, Transportation, and Per Diem	\$ _____	\$ _____	\$ _____	\$ _____	\$ _____	\$ _____	\$ _____
Equipment and Supplies	\$ _____	\$ _____	\$ _____	\$ _____	\$ _____	\$ _____	\$ _____
Subcontracts	\$ _____	\$ _____	\$ _____	\$ _____	\$ _____	\$ _____	\$ _____
Allowances	\$ _____	\$ _____	\$ _____	\$ _____	\$ _____	\$ _____	\$ _____
Training	\$ _____	\$ _____	\$ _____	\$ _____	\$ _____	\$ _____	\$ _____
Other Direct Cost	\$ _____	\$ _____	\$ _____	\$ _____	\$ _____	\$ _____	\$ _____
Construction	\$ _____	\$ _____	\$ _____	\$ _____	\$ _____	\$ _____	\$ _____
Overhead	\$ _____	\$ _____	\$ _____	\$ _____	\$ _____	\$ _____	\$ _____
G&A	\$ _____	\$ _____	\$ _____	\$ _____	\$ _____	\$ _____	\$ _____
Total Estimated Cost	\$ _____	\$ _____	\$ _____	\$ _____	\$ _____	\$ _____	\$ _____

1. Salary and wages – applicants must proposed direct salaries and wages in accordance with their personnel policies;
2. Fringe benefits – these benefits are non-wage compensation that an organization can provide to its employees in addition to their salaries. If the applicant has a fringe benefit rate approved by an agency of the U.S. Government, the applicant should use such rate and provide evidence of its approval. If an applicant does not have a fringe benefit rate approved, the application should propose a rate and explain how the applicant determined the rate; in this case, the narrative should include a detailed breakdown comprised of all items of fringe benefits (e.g. unemployment insurance, workers compensation, health and life insurance, retirement, FICA, etc.) and the costs of each, expressed in U.S. dollars and as a percentage of salaries;
3. Travel and transportation – the applicant should indicate the number of trips, domestic and international, estimated as to carry out the proposed program description, and their estimated costs. Applicants must specify the origin and destination for each proposed trip, the duration of travel, and number of individuals who would be traveling. If applicable, applicants should base per diem calculations on current, published U.S. government per diem rates for localities concerned. Applicants may not use “Capacity Building for Agricultural Education and Research” program funding to travel to conferences and international meetings unless expressly approved by the USAID AOTR.
4. Other direct costs – applicants should detail any other direct costs, including the costs of communications, report preparation, passport insurance, visas, medical exams and inoculations, insurance (other than insurance included in the applicant’s fringe benefits), equipment office rent, etc.;
5. Indirect costs – applicants should support the proposed indirect cost rate with a letter from a cognizant, U.S. Government audit agency, a Negotiated Indirect Cost Agreement (NICRA), or with sufficient information to determine the reasonableness of the rates. (For example, a breakdown of labor bases and overhead pools, the method of determining the rate, etc.)

6. Cost sharing – details concerning the level of cost share the applicant's organizations is proposing for this activity. USAID encourages applicants to contribute cost sharing. Cost sharing may be proposed from any available and interested local and international funding sources, including but not limited to, government and public institutions, individuals, corporations, NGOs and foundations. While there is not stated minimum required cost share amount, applicants are encouraged to give serious consideration to the amount they propose as a signal for the applicant's commitment to the activity.
- (j) Applicants that have never received a grant, cooperative agreement or contract from the U.S. Government are required to submit a copy of their accounting and personnel policy manuals. Applicants must submit evidence of responsibility in order for the Agreement Officer to make a determination of responsibility. The information submitted must be provided in the third person and substantiate that the applicant:
1. Has adequate financial resources or the ability to obtain such resources as required during the performance of the award;
 2. Has the ability to comply with the award conditions, taking into account all existing and currently prospective commitments of the applicant – nongovernmental and governmental;
 3. Has a satisfactory record of performance. Past relevant unsatisfactory performance is ordinarily sufficient to justify a finding of non-responsibility, unless there is clear evidence of subsequent satisfactory performance;
 4. Has a satisfactory record of integrity and business ethics; and
 5. Is otherwise qualified and eligible to receive a grant under applicable laws and regulations
- (k) Cost Control Plan: Especially since the total estimated cost (TEC) of the proposed 5 year cooperative agreement has been established in advance (up to \$28,000,000), the evaluation of the technical and cost applications is generally going to be based on “what is an offeror going to give/offer the USG/USAID for the TEC”. As Program Description targets and results, staffing skills and patterns and past performance give detailed insight to what is offered via the technical proposal, a cost control plan can guide/illustrate how financial management and control can significantly contribute to work/cost efficiency and enhancement of both award end results and overall sustainability. Following are examples of what USAID feels might possibly be included in such a plan.
- First of all, some people might feel that this could be just a computerized software package to help manage the accounting, financial, personnel, etc aspects of a large project; however, although this is an essential element, this is more of a “good practice system” than an individual element of a cost control plan.
 - Since a large percentage of the cost of a USAID award is typically related to personnel costs, an extremely important element is the cost differences between expat personnel and local/regional consultants/staff. For example, with full-time expat key personnel (salary, allowances, shipping, overhead, etc, etc) the cost per year is typically about \$250,000 (for 260 work days per year); whereas, local consultants who average \$250 a day will provide a total of roughly 1,000 work days per year of technical assistance). Accordingly, through the use of charts, tables, etc the offeror should discuss the use and cost of junior/middle/senior level expat staff versus local/regional staff. Note: USAID fully appreciates that some tasks need highly paid experts, but decisions about work tasks and skills needed should also seriously consider costs as part of the resource allocation and implementation process.

- If a number of regional work offices are needed, one option that sometimes is beneficial is that instead of large numbers of hotels being used frequently, that a “guest house” arrangement might be used (i.e. rent a house in the desired area and while the living room and dining room can become a field office, the 38 bedrooms can be used for TDYers (consultants or local staff). Accordingly, M&IE might be paid but no costs incurred for lodging; therefore, a cost/benefit study might show that the above scenario could result in a significant cost savings.
- If TDYs from the USA are needed, then to reduce the number of airline tickets, the TDYs could be of longer duration and work 6-days/week. Also, full-fare economy tickets are more expensive than economy tickets with a penalty for travel changes (i.e. even with paying the occasional penalty, this can still result in a significant cost savings

A.5 COOPERATIVE AGREEMENT AWARDS

The Government may award one (1) Cooperative Agreement resulting from this RFA to the responsible applicant whose application conforming to this RFA offers the best value (see Section B of this RFA). The Government may (a) reject any or all applications, (b) accept other than the lowest cost application, (c) accept alternate applications, and (d) waive informalities and minor irregularities in applications received.

The Government intends to award the cooperative agreement on the basis of initial applications received, and may not conduct discussions or negotiations. Therefore, each initial application should contain the applicant's best terms from a cost and technical standpoint. As part of its evaluation process, however, USAID may elect to discuss technical, cost or other pre-award issues with one or more applicants. Alternatively, USAID may proceed with award selection based on its evaluation of initial applications received and/or commence negotiations solely with one applicant.

A written award mailed or otherwise furnished to the successful applicant within the time for acceptance specified either in the application or in this RFA (whichever is later) shall result in a binding cooperative agreement without further action by either party. Before the application's specified expiration time, if any, the Government may accept an application, whether or not there are negotiations after its receipt, unless a written notice of withdrawal is received before award. Negotiations or discussions conducted after receipt of an application do not constitute a rejection or counteroffer by the Government.

Neither financial data submitted with an application nor representations concerning facilities or financing, will form a part of the resulting cooperative agreement unless explicitly stated otherwise in the agreement.

To be eligible for award of a cooperative agreement, in addition to other conditions of this RFA, organizations must have a politically neutral humanitarian mandate, a commitment to non-discrimination with respect to beneficiaries and adherence to equal opportunity employment practices. Non-discrimination includes equal treatment without regard to race, religion, ethnicity, gender, and political affiliation.

A.6 AUTHORITY TO OBLIGATE THE GOVERNMENT

The USAID Agreement Officer is the only individual who may legally commit the Government to the expenditure of public funds. No costs chargeable to the proposed agreement may be incurred before receipt of either a fully executed Agreement or a specific written authorization from the Agreement Officer.

END OF SECTION A

SECTION B – SELECTION CRITERIA

The criteria presented below have been tailored to the requirements of this particular RFA and Program Description. Applicants should note that these criteria serve to:

1. Identify the significant matters which applicants should address in their applications; and
2. Set the standard against which all applications shall be evaluated.

To facilitate the review of applications, applicants are requested to organize the narrative sections of technical applications according to the evaluation criteria set forth below. Cost Applications will be evaluated for general reasonableness, allowability and allocability. The Award will be made to the responsible applicant(s) whose application best meets the requirements of the RFA.

The submitted technical information will be scored by a technical evaluation committee using the technical criteria shown below. When evaluating the various applications, the Government will consider the written qualifications and capability information provided by the applicants, and any other information obtained by the Government through its own research.

The evaluation of both the technical and cost proposal is worth **100 points**, and is computed by adding the scores for the subcategories listed below. The technical applications will be evaluated in accordance with the Technical Evaluation Criteria set forth below. The points below for sub-criteria represent how the committee will initially evaluate the applications during the first round. In the event of a second round of proposals, if there are new or revised allocations of sub-criteria it will be presented with the clarifications and questions to all applicants included in the second round.

The specific evaluation criteria are as follows:

B.1 Evaluation:

Technical Proposal

Technical Approach	30
Organizational Capability and Management Approach	20
Personnel	30
Past Performance	10

Cost Proposal

Cost	<u>10</u>
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Total Score	100
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Technical Approach – 30 points Sub-Total

15 Points

Responsiveness to the Program Description – The likelihood that the activities for which funding is sought will make a significant contribution towards achieving the overall goal and expected outcomes/results in this Program Description; also, the quality, clarity, thoroughness, and reasonableness of the proposed approach. For example, demonstrated understanding of key issues, challenges and opportunities to develop the human and institutional capacity for continuous innovation in the Senegalese public and private sectors leading to farming system and value chain productivity improvements and production system sustainability. The Program will be implemented in conjunction with and in support of the Government of Senegal (GOS) and relevant Senegalese public and private sector institutions. The CBAER Project will strengthen AET institutions and programs, building capacity for these institutions to contribute effectively to Senegal's agricultural development and food security.

15 Points

Applicants should have fine tuned and focused their proposed activities/results/indicators (at the end of each component) so that the proposed work and end products can be achieved with the level of funding and time period proposed (i.e. very “robust” and demanding targets and indicators, but also realistic). Also, the performance plan and results framework is well-articulated, with ambitious but realistic targets and results identifying what they plan to accomplish by the end of the cooperative agreement. **Note:** As an additional insight/reference to the above, in the Instruction to Applicants, the following statement was mentioned: Applicant should both edit and enhance planned end products/indicators to illustrate the “robust and maximum” results that the applicant plans to achieve for the total funds available. In continuation of the above, work activities should include a program of Grants and/or Global Development Alliances (GDAs) in all components. For example all applicants are invited to explore opportunities for GDAs with foreign and local investors and institutions working in Senegal. Also, the proposed work/activities in the application are technically sound, reflects the best principles and practices consistent with target country priorities and policies, includes programming that will significantly benefit men, women, and youth and is designed for sustainability. Note: This includes alleviating existing gender imbalances and promoting the participation of girls and women in the overall work program.

Organizational Capability and Management Approach - 20 points Sub-Total

The demonstrated ability of the organization to carry out the implementation of program activities such as:

20 points

Applicant demonstrates depth, breadth and organizational experience in technical areas identified in the Program Description, and proposed headquarters and sub-grantee programmatic backstopping is appropriate. Also, the proposed approach to management, organizational structure and implementation is efficient and realistic in terms of meeting program objectives within the life of the activity. Also, having the plans and means for obtaining the GOS' active participation and buy-in is seen as important to the award's overall success and sustainability.

Personnel - 30 points Sub-Total

The technical/managerial quality and experience of the Chief of Party and other personnel.

15 Points

The Chief of Party demonstrates the following technical qualifications:

At least 15 years managing complex and complicated programs technical leadership and intellectual leadership and operational experience in programmatic areas discussed in the Program Description; with specific technical expertise in at least one of the work components in the Program Description; experience managing the administrative, contracting, hiring, recruitment, financial and logistical aspects of the proposed contract, including general grants and sub-contracts management and qualities “desirable for all key personnel staff” (i.e. track record building collaborative relationships in complex development environments, excellent interpersonal and communication skills, and excellent French/English language capability). **Note:** Special instructions for COP position; a minimum of 5 references should be provided, and USAID may request to interview the COP in both languages.

Key Personnel long term and short term Consultants. For key staff, relevance of professional qualifications and experience in implementing programs. Personnel with a good knowledge of French are required, and local languages are encouraged. Candidates with direct, practical, and managerial experience related to at least one of the work components are preferred. The inclusions of Senegalese candidates in the key personnel and/or Senior Management team are preferred. Other factors that are important with respect to Key Personnel are as follows: ability to operate in a cooperative, diplomatic manner while working with multiple institutions and organizations; sensitivity to cultural factors that affect implementation; experience in managing complex programs, particularly in West Africa, and an ability to manage a diverse team; experience and ability to understand and implement donor programs; and maximizing the use of Senegalese experts and advisors in order to build Senegalese capacity. **Note:** Key personnel reference checks may include verifying technical qualifications, interpersonal and team-building skills, and ability to organize work to meet deadlines.

15 points

A reasonable sub-grantee and consultants (including NGOs) staffing pattern that enables successful management of all aspects of the program with an effective mix of staff that draws upon highly competent Senegalese and West Africa Region professionals. The staffing pattern should demonstrate a relationship to the program description and management/cost efficiency, such as showing the total number of expatriates versus locals and the basic positions, (i.e. identify the total long-term and short-term technical assistance (LTTA/STTA) days and the general positions/skills, but cost details to be examined in the cost proposal). **Note:** It may be useful to use a staffing organizational chart per component to help illustrate staff teaming, skills, local/expat, LTTA/STTA and relationship to program description. The mix of local/expat and LTTA/STTA staff has a significant cost impact as well as program end products and sustainability.

Past Performance – 10 points (not limited to 2 points for each sub-topic)

The quality of past performance based on assessment of 5-8 team/firm references submitted by the applicant for relevant past performance during the last three years (as well as other information available to the Technical Evaluation Committee).

The assessment provided by the TEC will focus on following typical five sub-topics:

- quality of product or service, including how cooperative and effective the Prime was in fixing problems;
- timeliness of performance, including adherence to contract schedules, time delivery of short-term technical advisors, and effectiveness of home and field office management to make prompt decisions and ensure efficient operation of tasks;
- cost control;
- customer satisfaction, including satisfactory business relationship to clients, prompt and satisfactory correction of problems, and cooperative attitude in fixing problems;
- effectiveness of key personnel, including effectiveness and appropriateness of personnel for the job, and prompt and satisfactory changes in personnel or deliverables when problems were identified either by the recipient or by the client.

Cost proposal – 10 points

A demonstrated ability to budget and manage cash flow while maintaining strict cost control measures, such as demonstrated use of local expertise where available instead of more costly expatriate labor. The cost proposal (including a cost control plan) will be evaluated for cost realism, reasonableness, allowability, allocability, and cost effectiveness. Applications that have more efficient operational systems that reduce operation costs will be more favorably considered. Sub-agreements should be cost-effective. For reference, see discussion of cost control plan at Section A.4.(k).

Note: Non-Federal cost sharing/leveraging will be considered generally in relation to the added value it represents to the overall program and sustainability, but no points are assigned to this specific issue. Please note that cost sharing can be monetary or in-kind, and leveraging is calculated differently (for reference, please see ADS 303.3.10 Cost Share).

END OF SECTION B

SECTION C – PROGRAM DESCRIPTION

C.1. SUMMARY AND OVERVIEW

The United States Agency for International Development (USAID) is seeking applications for a \$28 million base program plus amending the program: (a) up to \$10 million additional funding; and (b) up to a \$18 million three year extension of the base period. The period of performance is for 5 years ending in 2015. The award will be a performance-based Cooperative Agreement to implement activities in Senegal Capacity Building for Agricultural Education and Research Project (CBAER). The CBAER program is to develop the human and institutional capacity for continuous innovation in the Senegalese public and private sectors leading to farming system and value chain productivity improvements and production system sustainability. The CBAER Project strategy and approach focus on development of productive agricultural education and training institutions that support the broader range of institutions fostering innovation needed for increased agricultural productivity, sustainable management of natural resources, rural income increases and enhanced food security.

The CBAER Project will fall under the U.S. Foreign Assistance Framework Functional Objective 4: “Economic Growth” and will be programmed under Program Area 4.5 “Agriculture”. The Program will be implemented in conjunction with and in support of the Government of Senegal (GOS) and relevant Senegalese public and private sector institutions. Applicants are invited to explore opportunities for Global Development Alliances with foreign and local investors and institutions working in Senegal.

The objectives of the program are:

- **Component 1:** Strengthened Agricultural Education and Training
- **Component 2:** Strengthened Applied Research and Outreach
- **Component 3:** Project Management and Policy Support

In addition, the program aims to foster and enhance collaboration among Senegalese higher education institutions, national and international agricultural research organizations, and entities providing outreach assistance to small farmers.

C.2. OBJECTIVE

The objective of the Capacity Building for Agricultural Education and Research (CBAER) Project is to develop the human and institutional capacity for continuous innovation in the Senegalese public and private sectors leading to farming system and value chain productivity improvements and production system sustainability.

The CBAER Project strategy and approach focus on development of productive agricultural education and training institutions that support the broader range of institutions fostering innovation needed for increased agricultural productivity, sustainable management of natural resources, rural income increases and enhanced food security. Principles underlying this approach are detailed in Annex 1.

This project will contribute to the long-term objectives of the Global Hunger and Food Security Initiative (GHFSI) to double food production, reduce the vulnerability to food shocks, and double intra-regional trade thereby increasing Africa’s food security and reducing poverty by connecting the vulnerable to development and sustaining agricultural growth.

C.3. BACKGROUND

Senegal is particularly vulnerable to the rise in global food prices given that the larger part of food staples consumed in the country is imported. The country relies on imports for about 70% of its food supply – a rate higher than any other country in Sub-Saharan Africa. For the season 2006-2007, only 38% of national cereal consumption was produced locally, having decreased from 54% in 2005-2006. Recent figures for 2007-2008 show another 25% decrease in local cereal production. Likewise, access to protein nutrients evidences a growing dependence on imports, practically doubling for meats, for example, between 2002 and 2004 (from 9,960 tons imported in 2002, to almost 18,000 tons imported in 2004). Fish accounts for 70 percent of the total animal protein consumption by the Senegalese population making it an important element of food security.

Despite these increasing rates of imported food stuffs, 2.5 million Senegalese were counted as under-nourished by the Food and Agriculture Organization (FAO), 24% of an estimated national population of just fewer than 12 million. In 2007, 52% of the Senegalese population was living below the poverty line, defined as earning a yearly income of less than \$829. Nationwide, 20.2% of the rural population is classified as extremely poor and the rate approaches 30% in the regions of Tambacounda and Kaolack. In 2005, 16.4% of children under five were classified as chronically malnourished; 17.4% of children were underweight and 7.7% of children were wasted. Chronic malnutrition and underweight rates were twice as high in rural areas as in urban areas. A Standardized Monitoring and Assessment of Relief and Transitions (SMART) survey conducted in 2008 covering seven departments found Global Acute Malnutrition (GAM) rates above the 15% emergency level in Matam (17.3%) and at levels above 12% in Bakel, Kebemer, and Louga.

Between March 2007 and March 2008, global food prices increased an average of 43 percent, according to the International Monetary Fund. During that time period, wheat, soybean, corn, and rice prices increased by 146 percent, 71 percent, 41 percent, and 29 percent, respectively, according to the U.S. Department of Agriculture. Rising food prices contributed to a significant increase in food insecurity worldwide, particularly among poorer populations. Approximately 1 billion people—or one sixth of the world's population—subsist on less than \$1 per day. Of this population, 162 million survive on less than \$0.50 per day. At the household level, increasing food prices have the greatest effect on the very poor and food-insecure populations, who spend 50 to 60 percent or more of their income on food, according to the International Food Policy Research Institute (IFPRI). Overall, increased food prices particularly affect developing countries, and the poorest people within those countries, where populations spend a larger proportional share of income on basic food commodities.

Increased food prices have had devastating and far-reaching effects, including chronic hunger resulting from poverty – people who are poor often simply cannot afford to buy food. Under-nutrition leads to more child deaths – 3.5 million – than any other disease. Good nutrition practices in pregnancy and early childhood are essential to capitalize full physical and intellectual potential. Pregnancy and the first two years of life are the critical windows of opportunity for improving nutrition. Improving nutrition during this timeframe, known as the “Minus 9 – 24 Month Continuum,” has the maximum benefit to health, education, productivity and poverty outcomes. For example, a study in Guatemala found that children who received nutritional supplements from zero to two years of age earned on average 46% higher wages as adults.

USAID, as part of a larger US Government effort, is pursuing a comprehensive approach to global food security based on country and community-led planning and collaboration with partners. More than one billion people—nearly a sixth of the world's population—suffer from chronic hunger. It is a crisis with devastating and far-reaching effects. The term “food security” refers not only to the availability of food,

but also to the ability to purchase food and the nutritional adequacy of food. Food security means having a reliable source of nutritious and safe food and sufficient resources to purchase it.

The 2008 food price crisis illustrates the kinds of disruptions possible in the future. The steep rise in prices and was particularly devastating for the poor in developing countries. Without significant improvements in agriculture productivity, market access, post-harvest infrastructure, and rural incomes, the imbalances between food supply and demand will increase food scarcity, food price volatility, and food insecurity.

Advancing agriculture-led growth helps rural farmers—who are the majority of the world’s food insecure population—to grow more food to feed their families and sell more of their products in commercial markets. Increased revenue generates greater income to buy more to meet their needs, allowing the poor to pull themselves out of poverty. Agriculture—including crops, livestock and aquaculture—is a powerful poverty reduction tool. Unleashing the potential of small-scale farmers and agribusinesses to produce and sell food will substantially reduce hunger and create a more resilient global food supply for everyone.

In 2003, African leaders made a historic pledge to increase their own investments in food security and agriculture-led growth through the Comprehensive Africa Agriculture Development Program (CAADP). In 2009, at the L’Aquila G8 Summit, donors committed more than \$20 billion to support a renewed global effort. The summit not only catalyzed new financial commitments; it also brought a commitment for a new approach. USAID expects to significantly increase funding for food security as part of the global initiative. Principles that guide this initiative are:

1. Adopt a comprehensive approach to food security that focuses on advancing agriculture-led growth, reducing under-nutrition, and increasing the impact of humanitarian food assistance;
2. Invest in country-led plans;
3. Strengthen strategic coordination—globally, regionally, and locally;
4. Leverage the benefits of multilateral institutions; and
5. Deliver on a sustained and accountable commitment.

The U.S. strategy for reducing hunger and ensuring food security is being developed through a consultative process within the U.S. government and with the global community and other stakeholders, including foundations, universities, non-governmental organizations, and the private sector. It will support and advance joint action to reduce hunger and under-nutrition throughout the developing world. Success in this initiative will require significant investments from other donors, the private sector, partner countries, and citizens themselves. USAID projects must play a key role in strengthening public institutions that catalyze private investment and must enable small-scale farmers, agribusinesses, and national and local governments to invest in sustainable and productive programs and enterprises.

The most effective food security strategies come from those closest to the problems—not governments or institutions thousands of miles away. Past efforts have been undermined by a lack of coordination, limited transparency, uneven monitoring and evaluation, and relationships with recipient countries based more on patronage than partnership. Going forward, consultation and careful analysis of impacts will allow for needed program corrections. Success will ultimately rest on the shoulders of the farmers and entrepreneurs who wake up each day committed to grow their future. It also will rest on the national and local leaders in their countries who must foster environments where investments in agricultural development can thrive, with zero tolerance for the petty corruption and policies that restrict agriculture-led growth.

The US food security initiative is still under design and development, but the goals of this initiative are clear—to sustainably reduce chronic hunger, raise the incomes of the rural poor, and reduce the number

of children suffering from under-nutrition. USAID will work with the global community on comprehensive strategies to enable developing countries to ensure their citizens—now and in the future—will have access to the nutritious food they need for healthy and productive lives. The CBAER Project will contribute directly to this initiative. Building human and institutional capacity will enable Senegalese to implement the investments required to improve food security. It will also establish a self-sustaining capacity for continued analysis, design, and implementation of effective programs to address constraints to national food security.

Other Donor Investments. In addition to USAID funded programs, many other donors are active in the agriculture, natural resources and food security program areas in Senegal. Applicants should tailor applications in response to this RFA to complement and coordinate with other donors to the extent possible. While, there is limited information on other donor programs that is available to Applicants, Applications should indicate commitment to such coordination and propose mechanisms to ensure that this does occur and is effective.

One major donor active with projects relevant to the CBAER is the World Bank. Two of the World Bank projects are summarized below.

The World Bank Agricultural Services and Producer Organization Project 2 is the second of a planned three phase program to improve small farmer access to services. The first phase of the program: helped disengage government ministries from direct involvement in production and marketing activities; decentralized agricultural service delivery under a National Agency for Agriculture and Rural Advisory Services (ANCAR) co-managed by government, the private sector and producer organizations; strengthened ISRA and ITA and established a National Fund for Agricultural Research (FNRAA) for competitive funding to bring additional institutions (including universities) into the agricultural research system; and strengthened producer organization capabilities and inputs into the policy making process. The current phase of the Program seeks to further strengthen ISRA and ITA scientific and management capacity, including: continued support for the FNRAA, as the major mechanism for funding agricultural research; strengthening the capabilities of agricultural advisory service providers; continuing support to producer organizations; and strengthening organization and management of the Ministries of Agriculture and Livestock.

The World Bank Agricultural Marketing and Agribusiness Development Project is the first phase of a planned two phase program to increase horticultural and other non-traditional agricultural exports and increase farmer incomes. Its aim is to: improve domestic market value chains and infrastructure; promote non-traditional agricultural exports; and develop private irrigation systems.

Success of these World Bank projects will depend heavily on the improvements and expansion of human and institutional capacity for the agricultural sector. These programs and the institutions they support are prime clients for graduates and adaptive research results that are expected from the CBAER Project. For further information on the agriculture sector in Senegal please see Annex 2.

C.4. DEVELOPMENT HYPOTHESIS

Numerous studies indicate that the agriculture sector will make the largest and fastest contribution towards reducing poverty and achieving the first Millennium Development goal. USAID is integrating and aligning its investments across sectors to achieve sustainable reductions in hunger and poverty. It is hoped that this strategy will break the cycle of hunger and poverty by addressing the inter-related challenges. Therefore, **the main development hypothesis of this activity is that by focusing on improving efficiencies and linkages between educational institutions and the private sector, the rate of agriculture productivity can double than by what would normally be expected by focusing**

on economic growth alone, accelerating the pace to achieving MDG 1. It is also expected that a private sector market focus will enable rural poor to move away from subsistence farming and participate more fully in economic growth. Addressing Senegal's food security challenges will require innovation in agricultural production systems, markets and value chains, natural resource management systems, institutional arrangements, policies and regulatory systems, rural development programs, nutritional programs, and other areas. For the purposes of this activity **agriculture is defined in a broad sense incorporating crops, post-harvest activities, marketing, livestock and dairy, fisheries and aquaculture, natural resource management and forestry.** The Applicant is expected to develop a comprehensive strategy that addresses agriculture in this largest sense.

C.5. PROGRAM DESCRIPTION

This section describes the components, activities and anticipated outputs expected from the CBAER Project. Applicants are encouraged to propose alternative sets of activities or implementation approaches that may accomplish the desired objectives and produce desired results more efficiently, effectively and sustainably.

Interventions under this project are expected to improve the efficiencies of leading agriculture universities and training centers to provide support to Senegalese farmers and the private sector; and to ensure that new technologies are available to advance the agriculture sector in Senegal.

The program has three components:

- **Component 1:** Strengthened Agricultural Education and Training (Capacity Building)
- **Component 2:** Strengthened Applied Research and Outreach
- **Component 3:** Project Management and Policy Support

As one of many projects in a comprehensive USAID/ Senegal approach to address food security, this project is expected to build on and create linkages between both the previous and on-going USAID projects— **see information on other programs in Annex 3.** The USAID/Economic Growth Project serves as the “main integrator” of all USAID Senegal's food security activities. Hence, the CBAER project will carefully liaise with the Economic Growth Project, which may request information from the Recipient to be used in communication campaigns or analyses related to the GFSR.

COMPONENT 1 – STRENGTHENED AGRICULTURAL EDUCATION AND TRAINING (CAPACITY BUILDING)

This Component will strengthen institutions and programs of selected agricultural education and training (AET) institutions, including: the University of Thies National College of Higher Agricultural Education (ENSA); the University Gaston Berger in saint-Louis: B.S. in Agricultural Sciences, Aquaculture and Food Technology; the University Cheikh Anta Diop (UCAD); and other agricultural training centers including the Technical school for “Elevage” of Saint-Louis, the Centre National d'horticulture de Camberene in Dakar, the agricultural and forestry schools in Ziguinchor. The latter, while involving a number of different institutions with differing specialties and objectives and generally less than BSc/BAS level, will be considered as priorities for the first year AET institution for purposes of the CBAER Project. The focus in these latter institutions will be almost exclusively on training and on meeting specific needs of the sector (e.g., for nutrition, forestry, fisheries etc.). Applicants should propose a plan for which institutions to include as other AET training centers ¹ with a rationale for their inclusion. The

¹ Visit: <http://bfpa.sn/>

question of which institutions to include will be revisited during the approval process for the Project Work Plan. For a full discussion on AETs in Senegal please refer to Annex 4.

The CBAER will strengthen institutional capacity to deliver on the four outcomes expected from quality higher education institutions—well-qualified, high performing graduates, solutions to national and local problems, and services to the profession and broader society. Primary focus will be on strengthening curricula to produce well-qualified graduates with the required skills, knowledge, problem-solving abilities, experience, and attitudes to make them highly sought after by potential employers and highly productive in their jobs. As part of this effort, the Project will also strengthen the AET institutions' capacity to: a) bid for competitive research grants, carry out high quality research, and disseminate results to potential users, and b) engage in partnerships with communities, private sector firms, NGOs, government agencies, and others to provide services to enhance food security and rural productivity and involve students and staff in “real world” development activities.

Applicants should propose preliminary plans for support to each of the AET institutions including the four universities and at least five training centers. These should describe the major needs of the institution, the objectives of the assistance, the framework for working together and the proposed inputs (technical assistance, training, equipment, construction, exchange faculty, etc.) to be provided. These plans will serve as the starting point for more detailed planning of activities to be carried out with each participating AET institution. Following award of the Cooperative Agreement, the Recipient should commit to carrying out a detailed diagnostic of the needs of each targeted AET. This diagnostic will serve as the basis for a Life-of-Project Work Plan to strengthen the institution and its ability to deliver required results. The AET institutions including the four universities and at least five training centers Work Plans will constitute the Work Plan for the Component. For planning purposes, the total funding for institutional support to the targeted AET institutions is \$28.0 million over five years. Applicants may allocate this to the four institutions, as appropriate to their needs (i.e., this need not be divided equally). The Work Plan proposed activities and budgets for the targeted AET institution programs will be reviewed and refined as part of the Life-of-Project Work Plan and will be reviewed and revised, as necessary, with subsequent Annual Project Work Plans.

Applicants should propose implementation arrangements for providing support to the individual targeted AET institutions. Applicants should consider using separate sub-awards (sub-contracts or sub-grants) to provide support to the separate vocational center institutions. This might allow for greater ownership and focus of work with the individual institutions and would allow for linking institutions with similar technical specialization, program mandates, and activities (e.g., linking ENEA with a university with a strong rural social science program; UCAD with an university with a strong livestock program; the network of training centers with an institution with a strong agricultural education and vocational education program; etc.). The sub-awards could provide all inputs (training, technical assistance, visiting professors, exchanges, etc.) required by the targeted AET institution, except for those that may be more efficiently provided centrally by the Recipient (probably including construction and procurement, general training needs such as pedagogical training, and possibly long-term training). Applicants should propose the most appropriate, efficient and effective arrangement for providing support to targeted AET institutions.

The AET Capacity Development MOUs should consider requirements for support to the four elements essential to strong programs of higher education—curricula, faculty, infrastructure and student services,. Each institutional AET Capacity Development MOU need not include each of these program support elements, but should be tailored to the needs and opportunities available to the specific institution.

Curricula Development

The primary focus of the CBAER Project will be on curricula development. At each target AET institution, during the first six months of the Project, the Recipient should carry out a review of current curricula in conjunction with (or led by) staff of the institution and ideally with participation of Senegalese stakeholders. Results of this review will drive work on curricula reform and strengthening over the life-of-the-project.

Technical course curricula will depend on the AET institution's mandate. All curricula reviews should emphasize agribusiness, private sector development and market-led approaches. At least one of the AET Capacity Development MOUs should involve work with a curriculum for nutrition education. Others should involve forestry, fisheries, extension and advisory services, and natural resource management. Curricula should all integrate gender issues into the course work. The curricula should all emphasize practical learning and skill and problem-solving development. Courses should give students experience laboratories and on farms and should include production, marketing, and field work experience relating to the discipline of study.

The Recipient will assist the AET institution faculty with development of revised and enhanced curricula for the various AET programs. This should include detailed course outlines, lesson plans, and practical assignments for individual courses. Assistance may include visiting professors, short term consultants and volunteers, and others. This would be provided through the AET Capacity Building MOU, which presumably will match institutions with similar disciplinary mandates.

The curricula development should be coordinated with other support provided for institutional capacity building—tailoring outreach and research activities to support the curricula being taught, providing equipment and infrastructure for laboratory and farm work relevant to the curricula, and training staff to be prepared to teach the courses offered. Stakeholder consultations may be essential to curricula and course development.

Faculty and Staff Development

Faculty and staff development is critical to supporting teaching and other activities carried out by the AET institutions. The CBAER Project should facilitate placement of visiting professors on AET faculty to introduce new ideas, temporarily replace faculty members absent for training, and help development new courses and programs. This should emphasize low-cost options, drawing on visiting professors on sabbatical leave, volunteers, Fulbright and other scholars, and post-doctoral internships. Assignments should ideally be for a year, but at least for a full semester.

Training will be the main tool for faculty strengthening. The training will likely be provided under the AED Capacity Development MOU, though if more efficient the Recipient may administer the long term training separately. The training plans will vary by AET institution depending on their needs. Applicants are to proposed preliminary training plans for each AET institution. These will be reviewed and revised as part of the Project work Plan process. Training may include:

- In-country and in-institution seminars, workshops, and short course on specific topics
- In-country workshops and short course on pedagogical methods (probably arranged by the Recipient to be available to staff of all participating AET institutions.
- Study tours or overseas short courses to fill gaps in faculty skills and knowledge of specific subjects. There is also need for staff at the universities to periodically visit other campuses to

update their teaching programs and to explore alternative avenues of applied research. These may be mini-sabbaticals of 3-4 months to allow for design of new courses, preparation of course or laboratory manuals, research work, or some other meaningful deliverable requiring collaboration with staff of the host institution. Some such training or study visits should be to regional or other third country institutions. Two university programs for possible visits that may provide especially good models for development of practical, commercial agriculture-oriented programs are Zamorano University in Honduras (See: <http://www.zamorano.edu/>) and EARTH University in Costa Rica (See: <http://www.earth.ac.cr/ing/index.php>).

- Long-term Training – With many agricultural scientists in Senegal approaching retirement and with increasing enrolments in universities, there is critical need to increase the number of qualified faculty. Most of the training, especially to the MSc/MA level should be done in country or in the region, but for programs that are not available in country (e.g., agribusiness management, biotechnologies, etc.) international degree training may be needed. Overseas Ph.D. degree training is also needed for institutions doing research and planning Masters level programs. Some such programs may be in the region (especially in South Africa) and some may be appropriate in third countries (e.g., plant breeding in India or Brazil), but others will provide excellent linkages with US institutions. Degree program should emphasize “sandwich degree” programs that involve Senegalese institutions in the degree training as well as those in the U.S.

Short courses and study tour program plans will be included in Annual Work Plans to be approved by the USAID AOTR.

Infrastructure

The CBAER Project may provide a limited amount of equipment and infrastructure for the targeted AET institutions. The initial diagnostic for each targeted AET institution should identify any such critical infrastructure and equipment needs for the institution to carry out quality instruction for students and be able to compete for research funds and engage in outreach activities. Project funded infrastructure and equipment should be kept to the minimum and consideration should be given to how these investments will be maintained – who pays for maintenance costs and monthly user fees.

Examples of possible infrastructure needs are: UThies, where research infrastructure is in such bad condition that it negatively impacts crop breeding research and research on control of white flies. Lack of reliable power affects laboratory climate control, accurate measurement of research parameters, and student access to computers and information technology. Any investment in energy infrastructure at the universities must be conditional on inputs from Senegalese Government ministries and other agencies.

Applicants should also consider investing in portable equipment to support delivery of farmer field training and small tools, laptop computers, printers and other tools that can be used in the analysis of farmer behavior and crop performance over time. Specialized vehicles for outreach programs can be used to transport demonstration equipment to the field.

For planning purposes, Applicants should budget a plug figure of \$500,000 per AET Capacity Development MOU for critical equipment and infrastructure. Procurement and construction plans will be included in Annual Work Plans to be approved by the USAID AOTR.

Student Services

CBAER Project funding for student services is expected to be limited, but initial diagnostic reviews of the targeted AET institutions should identify any priority needs. Consideration should include needs for:

library facilities and materials, computer and internet access, housing and dining facilities, health care facilities, scholarships or other support necessary to facilitate enrolment of women and disadvantaged students.

It is generally expected that this component will take up about 50% of the project resources of which about 30% will be for infrastructure development. In addition, it is also expected that at least 60% of the activities will be conducted through grants and through alliances with other actors.

The following are some illustrative activities for this component. This list is provided to the Applicant as some guidance on the types of activities that the GOS and USAID would generally expect could be conducted under this project but they are not meant to be all-inclusive. Applicants are encouraged to develop their own activities in support of their approach to implement the project.

Illustrative activities

- Development/revision of curriculum for Universities and agricultural training centers.
- In-country or virtual courses for Professional Development for staff and faculty.
- Training of Trainers programs between universities and outreach centers.
- Study tours or academic exchanges for development of faculty professional staff.
- Construction/rehabilitation of university and training centers buildings and structures.
- Provision of materials to improve continued access to electricity.
- Ensuring access to web-based training materials and courses.
- Upgrading targeted research equipment in laboratories and clinics.
- Provision of education and social services to students (scholarships, counseling,).
- Organization of exchange and visitors programs.
- Long-term participant training of Senegalese students in US universities.
- Establishment of “sandwich degrees” between Senegalese and US universities.
- Conduct a review of secondary and post-secondary education to identify curriculum gaps for the study of agribusiness management, food agro-industry, and agricultural science and production.
- Compile a list of public and private sources of funding for potential support to current university structure with key focus on agribusiness management, food agro-industry, and agricultural science and production.

Expected results:

By the end of the project and while demonstrating that results are achieved via a sustainable approach of management and technical capacity, the targeted AET institutions will be able to train sufficient skilled labor force necessary to improve food security as per the following high-level results.

High-Level Result	Measure of verification
Four targeted AET institutions are producing high performing graduates who are highly sought by prospective employers	At least 80% of graduates obtain employment in their field within 3 months of graduation
Four targeted AET institutions are providing innovative solutions to national and local problems, such as low agriculture yields, poor policy environment, low rural incomes, poor nutrition, etc.	Faculty are actively engaged in developing solutions to national and local problems, as demonstrated by university publications and reports

Below are expected results of this component. The Applicant is expected to choose their own indicators or choose from the list provided. Those marked by an asterisk are standard USAID indicators. The Applicant is expected to establish robust and maximum targets for each proposed indicator which will become part of the cooperative agreement. It is generally expected that this component will take up about 50% of the project resources of which about 30% will be for infrastructure development. It is also expected that achievement of these results will be achieved through a grant mechanism comprising at least 60% of funds expended under this component.

Projects Results	Indicators
AET institutions producing high performing graduates	* Number of textbooks and other teaching and learning materials provided with USG assistance * Number of host country individuals receiving USG-funded scholarships to attend higher education institutions * Number of learners enrolled in USG-supported schools or equivalent non school-based settings - Number of curricula revisions completed with detailed courses outlines - Number of laboratories adequately equipped - Number of farms and practical demonstration sites developed for agricultural courses - Numbers of graduates (men and women) : BS, MS and PhD in the Universities - Numbers of graduates: Diploma and technical certificate in the Agricultural training centers - Higher education institutions' graduation rates % of graduates from agricultural training centers obtaining employment in their field - Numbers of AET institutions provided with improved infrastructure and equipment - Number of training centers provided with improved infrastructure and equipment provided
AET institutions capable to meet various agricultural training needs	* Number of administrators and officials trained * Number of teachers/educators (men and women) trained with USG support * Number of host country individuals trained as a result of USG investments involving higher education institutions and training centers - Number of AETs with rehabilitated or new infrastructure. % of assistance requests addressed by the institutions
AET institutions managed as centers of excellence with a clear vision and strategy for their program development ad contribution to national food security	* Number of host country individuals completing USG-funded exchange programs conducted through higher education programs * Number of higher education partnerships between US and host country higher education institutions that address regional, national, and local development needs * Number of USG-funded scholarship and exchange programs conducted through higher education institutions * Number of USG-assisted higher education institutions activities that address regional, national, and local development needs % of assistance requests addressed by the institutions - Existence of a vision statement by the institutions

COMPONENT 2 – STRENGTHENED APPLIED RESEARCH AND OUTREACH

This Component will facilitate university involvement in adaptive and applied research relevant to the needs of Senegalese food security, rural development, and agricultural productivity. Funding for research will not be managed by the universities directly, but will be made available through a competitive research grants program that will expand effective demand for problem-solving research studies to which universities can respond. Complementing the competitive research fund will be technical assistance to help the universities establish research plans, policies and publication/dissemination procedures. USAID/Senegal supports government research institutes through other programs for seed production and laboratories and research farm rehabilitation. The CBAER Project should promote mutually beneficial synergies between the AET institutions and research institutions. For instance, ISRA has land and capable personnel, equipment and research sites, but no money, while universities have funds but little research infrastructure. For more information on ISRA and other research institutions please refer to Annex 5.

Applicants should propose a process for managing the competitive fund and criteria for awarding research grants. The research grant program would be oriented to addressing issues related to food security, and potentially, to priority USAID Mission topics. The Recipient should explore options for coordinating the competitive research fund with, or implementing it through, the National Fund for Agriculture and Agro-nutrition Research (FNRAA or *Fonds National de Recherches Agricoles et Agro-Alimentaires*²) NFRAA—the national competitive research fund. Such an arrangement would potentially achieve economies by using existing and tested processes for fund management and would incorporate it into a single system. This would simplify the process of accessing the fund by presenting researchers with a single system for competing for funds.

The Recipient should provide technical assistance to strengthen research management at universities. University applied research can be enhanced by linkages with global research networks. Partnerships with universities in other nations may facilitate exchange of ideas on research, research infrastructure and funding, and access to scientists with which to collaborate on joint research programs. Opportunities for linkages may exist through international agricultural research centers (See: <http://www.cgiar.org/>) or USAID Collaborative Research Support Programs (See: <http://crsps.org/index.html>).

Enhanced collaboration in Senegal between universities and research institutes, it is important for (a) collaboratively developing and/or updating a system wide five year APPLIED research planning and execution process; and (b) creating and using multiple stakeholder advisory committees. A forum may be created in which the universities, the research institute and other stakeholders such as farmer associations, NGOs, and private sector firms can gather to (a) jointly identify priority applied research areas and topics, (b) design the research projects, (c) prepare budget and assign tasks to each institution, and (d) implement a participatory monitoring and evaluation system.

Note: Although not a necessary pre-cursor, the chances of successfully implementing joint planning and implementation activities would be significantly enhanced by ameliorating the remuneration of ISRA scientists by resolving the structural issue mentioned above.

The Component will have to contend with systemic barriers that dissemination activities across Senegal. Such systemic barriers include, but are not limited to, a system that separates the outreach function from the teaching and research functions. Universities are aligned with the Ministry of Education and extension is aligned with the Ministry of Agriculture. Research institutions are aligned with others

² See website : <http://www.fnraa.sn>

technical ministries such as the ministry of industry for example the Food technology Institute (ITA). This arrangement limits the resources disposable to universities and institutions to conduct outreach.

The primary focus will be on the universities because the research institutions have already some capacity to conduct outreach activity. AET Capacity Development MOUs should include activities that enable AET institutions to connect learning to practice by bringing the student into contact with commercial agriculture, support services, and agribusinesses in addition to the information provided in textbooks, lectures and laboratories. Such programs also allow the student and school to demonstrate a commitment to serving the community and add to the schools' reputation and support base. This has been a chronic weakness in AET programs worldwide. The CBAER Project Outreach and Sector Support Component will facilitate such activities, but will require institutions to develop capacity and strategies for incorporating such activities into their programs.

Senegalese universities are trying, on their own, to become more relevant to the private sector and farmers. UGB has a farmer training school and trains students in courses below BSc/BA level to become extension agents. UThies is very involved at the field research level and has links directly with farmers. UCAD is also trying to start "UCAD rurale" to get students closer to the farmers. If past political will to engage with clients and reach out from the "ivory tower" was missing, that appears now to be in place.

Outreach programs can take a variety of forms, with different programs that enable AET staff, students and faculty to gain experience from work providing services to sector programs and institutions. These should – to the extent possible – be demand-driven, responding to request from clients and generally involving client funding or co-funding of the activities. The types of outreach activities are limited only by the creativity, initiative, and inventiveness of AET faculty and staff. Some of the likely options are:

As a result of these systemic barriers, the universities have historically had limited or no interaction with small farmers. Faculty at the University of Thies indicated that they do some work with local farmers, but only when farmers approach them with a request for assistance. They also reported working through brokers who represent farmer associations. The trend, however, is for universities to become more engaged with farmers and the agricultural sector. UCAD has committed itself to extend its influence to rural areas through development of an *UCAD Rurale Center*. It is collaborating with Michigan State University in this effort. The University of Gaston Berger has made a strong commitment to work in applied agriculture and rural development and has initiated some activities which reflect direct contact with farmers and rural communities.

The following are some illustrative activities for this component. This list is provided to the Applicant as some guidance on the types of activities that the GOS and USAID would generally expect could be conducted under this project but they are not meant to be all-inclusive. Applicants are encouraged to develop their own activities in support of their approach to implement the project.

Illustrative activities:

- Short courses and workshop on specific topics.
- Rehabilitation of technical training centers and other outreach facilities.
- Extension and advisory services and farm field demonstrations can transfer new agricultural technology to rural communities, promote rural human and institutional capacity development, or address specific production and marketing problems.

- Technical support and training for Volunteer Organizations and NGOs can support intermediaries working at the field level. AET institutional participation can be on a volunteer basis or as paid consultants. Opportunities may exist for student internships.
- Seed, planting material, and breeding stock production can promote increased productivity and earn income for the AET institution. This requires close attention to varietal selection and seed multiplication. ISRA has traditionally been responsible for these activities, but there may be room for the university programs in agricultural sciences to increase varietal adaptation activities. Given the strengths in applied agricultural sciences found at UThies, this would be a likely location to undertake further capacity building.
- Food safety and quality control are the purview of the Food Technology Institute (ITA), but responsibility for maintenance of standards and regulation of food production and processing activities is a domain of the Senegalese government. ITA is frequently contracted by food industries as well as the government to undertake analyses and provide related recommendations. As food processing industries grow in numbers, university capacity to provide such analyses and training on quality standards related to farm production, storage and eventual processing of agricultural products may be a mechanism for service to the industry and a source of income to the universities.
- Assessment, analyses, and prioritization of research needs.
- Development of competitive fund thru the FNRAA.
- Development of policies and procedures that facilitates AET service delivery to various clients

Expected results

By the end of the project and while demonstrating that results are achieved via a sustainable approach of management and technical capacity, the targeted AET institutions will be able to train sufficient skilled labor force necessary to improve food security as per the following high-level results.

High Level Result	Measure of verification
Four targeted AET institutions are providing services in response to demands from client groups and are involving students and faculty in public and private sector development activities.	Outreach programs that provide services to agribusinesses, rural communities, agricultural sector organizations, and other national institutions and stakeholders
Four targeted AET institutions are managed as centers of excellence with a clear vision and strategy for their program development and contribution to national food security	Faculty and students of the institutions articulate a common vision and strategy for the institution and are recognized by national leaders for their contribution to agricultural sector development and food security

Below are expected results of this component. The Applicant is expected to choose their own indicators or choose from the list provided. Those marked by an asterisk are standard USAID indicators. The Applicant is expected to establish robust and maximum targets for each proposed indicator which will become part of the cooperative agreement. It is generally expected that this component will take up about 35% of the project resources of which about 30% will be for infrastructure development. It is also expected that achievement of these results will be achieved through a grant mechanism comprising at least 60% of funds expended under this component.

Project Results	Indicators
AET institutions promoting innovative research solutions to public and private clients	* Number of new technologies or management practices under research * Number of new technologies or management under field testing * Number of new technologies made available for transfer to local farmers and the private sector
AET institutions providing outreach services and technical support to clients in farming communities and the private sector.	* Male and Female attendance at short-term and long-term agricultural sector productivity training * Male and Female attendance at short and long-term agricultural sector enabling environment training. * Number of USG-supported organizational improvements that support institutional capacity of host-country institutions Number of partnerships developed to deliver training services to local farmers and the private sector. Number of short courses delivered in response to stakeholder demand

COMPONENT 3 – PROJECT MANAGEMENT AND POLICY SUPPORT

This Component will support overall CBAER Project management and administration and national and institutional policy and planning as relate to agricultural education and training system support to agricultural productivity, rural development and food security. CBAER Project management will involve administration of individual AET Capacity Development MOUs, a competitive research fund, AET institutional outreach program support, and delivery of other inputs that can best be provided centrally by the Recipient (such as, procurement, construction, training relevant to multiple institutions (e.g., pedagogical methods training), possibly long-term training, etc.).

Policy coordination will support analytical work relating to agricultural education and training support to the Senegalese agricultural innovation system. This may involve studies for manpower planning, university funding and cost structures, policy constraints to AET institution involvement in research and outreach programs, and other studies as may be identified. At the institutional level, this Component may provide technical assistance relating to university program and policy reform, management systems, or academic policies, especially when such studies involve sensitive policy issues that are better addressed by a “neutral party” rather than through the AET Capacity Development MOU. The thrust of the policy coordination activities will be to promote AET institutional linkages in a coherent overall system to meet needs in agricultural sector value chains, rural development, and food security. This will involve activities to link AET institutions with broader public and private sector institutions, private firms, farmers, civil society and rural communities.

Enhanced collaboration will focus on the creation of:

- A policy task force involving representatives of different Ministries to harmonize and align interventions
- Institutional framework and linkages
- Sustainability and GOS ownership
- Twinning (partnership) with US universities and training and Research centers

The following are some illustrative activities for the policy portion of this component. This list is provided to the Applicant as some guidance on the types of activities that the GOS and USAID would generally expect could be conducted under this project but they are not meant to be all-inclusive.

Applicants are encouraged to develop their own activities in support of their approach to implement the project.

Illustrative activities

- Identification of performance gaps and performance standards
- Assessment of Agricultural sector human resources including work force development plans for ministries responsible for agriculture, livestock, forestry and fisheries.
- Develop long-term forecasting of human resource needs in the public and private sectors,
- Development of new policy and procedures that support adaptive research and outreach
- Develop formal partnerships between Universities and training centers
- Management of grants and GDA's for AET development

Expected results

Below are expected results of this component. The Applicant is expected to choose their own indicators or choose from the list provided. Not all indicators provided need to be used except those marked by an asterisk which are standard indicators. The Applicant is expected to establish robust and maximum targets for each proposed indicator which will become part of the cooperative agreement. It is generally expected that achievement of these results will be achieved through a grant mechanism comprising at least 60% of funds expended under this component.

Projects Results	Indicators
Database on agricultural sector human resource put in place	Number of agricultural sector human resource analytical studies completed
Management and administration systems of targeted AET and training center reformed	* Number of institutions with improved management information systems as a result of USG assistance Number of AET and training institutions management and administration reformed Number of host-county institutions with increased management or institutional capacity as a result of USG investments involving higher education institutions and vocational centers Number of universities linkage relationships with training centers established or strengthened

All indicators and their targets will be finalized and agreed upon with USAID during the process of developing the Performance Monitoring Plan. The Recipient will be expected to monitor and report on GHFSI indicators found at the following two sites:

http://gfsr.synisys.com/de/DE_Documents/HELP_DE_GFSR/index.htm?pageName=appA.htm&pageIdName=4

http://gfsr.synisys.com/de/DE_Documents/HELP_DE_GFSR/index.htm?pageName=appE.htm&pageIdName=5

C.6. PERFORMANCE MONITORING PLAN

The USAID/Senegal EG Office will track CBAER Project performance indicators through a project Performance Management Plan (PMP) and the annual Performance Plan and Reports (PPR). USAID/Economic Growth and Agriculture activities in Senegal relate primarily to OP objective 4,

Promoting Economic Growth and Prosperity, and to three Program Areas: Agriculture, Trade and Investment, and the Environment. Program Elements include: 1) Trade and Investment Enabling Environment; 2) Trade and Investment Capacity; 3) Agriculture Enabling Environment; 4) Agriculture Sector Productivity; and 5) Natural Resources and Biodiversity. The CBAER Project funding and performance will be tracked under the Agriculture Program Area.

C.6.1. Monitoring, Evaluation, Reporting and Impact Analysis (MERA)

The implementing partner is responsible for developing a performance monitoring plan each year. Before submission for approval, the Recipient will consult with the USAID Assistance Officer Technical Representative (AOTR) to ensure that it has the latest standard indicators as well as to discuss any proposed changes to indicators and targets. The tasks that the Recipient shall undertake to successfully implement the Monitoring, Evaluating, Reporting, and Analysis (MERA) activities of the cooperative agreement are:

1. Develop an overall Monitoring and Evaluation Plan.
2. Establish baseline data and set targets for the indicators included in a Performance Management Plan (PMP) that will be updated annually in the annual report. The PMP will include standard indicators from USAID's operational plan as well as USAID/Senegal specific indicators.
3. Develop and put into place a system to conduct a rigorous impact analysis including baseline and controls in order to generate data required for annual impact reporting information for activities in each zone of intervention.

In accordance with the definitions, principles and processes described in USAID's ADS 203, and in conformance with guidelines established by USAID Senegal, and in close collaboration with USAID, the Recipient will undertake rapid appraisal, routine monitoring, periodic assessment, impact assessment, evaluation, and topic-specific analysis activities to track activity progress, describe successes and failures, and identify lessons in conformity with the PMP and timelines established by USAID. The Recipient will utilize appropriate media to disseminate and communicate useful findings from the MERA system to a wider audience, contributing to general public education on water and sanitation in Senegal. In addition, the Recipient will provide graphic site-based representation (GIS) of activity interventions and progress to USAID.

The Recipient will collaborate with USAID Senegal to define/refine PMP indicators, as appropriate, and to assure that indicators are adequately defined, including disaggregating by gender, age cohort, rural/urban, and/or region, as appropriate, to allow for measurement. The Recipient will develop and test indicators to assure that they meet requirements for validity, reliability, timeliness, precision, and integrity.

The Recipient will undertake a rapid appraisal or similar type of assessment, as necessary, to establish baselines and targets for indicators identified in the PMP and based on the timelines established in Recipient tasks i) and ii) for this component.

USAID expects innovative presentation of data to help inform decisions, including, inter alia, geographic information system (GIS) software and simple economic and/or demographic modeling in the activity zones of intervention. In this regard, the Recipient should collaborate with the Centre de Suivi Ecologique (CSE), and other appropriate ministerial departments as necessary, as both have excellent bases of data from which to draw. "User-friendly" graphic presentations may prove useful to local government units and community based organizations (CBOs) in public information and communication efforts, and in efforts to influence government decision-making.

C.6.2. Program Performance Monitoring Plan (PMP)

Applicant technical proposals shall include a preliminary Performance Monitoring Plan (PMP), describing how the Recipient and USAID will monitor and evaluate progress, effectiveness and impact of Program activities. This should include performance and impact indicators³ and targets. The plan will identify means and responsible parties for measuring, collecting, tracking, evaluating, reporting, and validating data, with indicators and targets for accomplishment by year over the five-year life-of-program.

C.7. IMPLEMENTATION REQUIREMENTS

C.7.1. Gender Consideration

Gender is an important issue for Program. In Africa, women are constrained by traditions that encourage early marriage, child-rearing, and household chores. Opportunities for formal employment and economic activity are restricted because of established gender roles. The CBAER Program will address women's unequal participation and benefit agriculture and engineering education in the following ways:

1. Scholarships will be offered to attract and retain female students in agriculture and engineering BS programs.
2. Access for women to the will be facilitated by improvements in transportation and infrastructure (e.g., housing, dining, bathroom facilities, and study facilities, etc.).
3. Efforts to recruit contract faculty and visiting professorships will aim to bring in female teaching staff to improve the dismal gender balance of teaching staff on both campuses.
4. Program reporting will provide gender disaggregated data on students in degree and non-degree programs.
5. The agriculture and integrated development studies programs will consider introduction of gender modules in the curricula.

To deepen the program understanding and attention to gender issues, during the first six months of the program, the Recipient should carry out a gender assessment to identify and clarify issues relating to gender in the agricultural and engineering programs, identify mitigating measures to address remaining constraints to women's successful participation in the programs, and develop details plans for gender-relating program implementation activities.

C.7.2. Environmental Monitoring and Mitigation

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

³ Indicators are relevant to different levels of a project results/logical framework hierarchy, linking project activities to expected impacts. Indicators thus typically would relate to:

- Impacts (or goal, overall objective, development objective): The long-term objective, change of state or improved situation towards which the project is making a contribution.
- Outcomes (or results, purpose, or project objective): The immediate project objective, the overall observable changes in performance, behavior, or resource status expected as a result of the project.
- Outputs: The products, services, or results that must be delivered by the project for the component outcomes to be achieved.
- Inputs: The resources required to carry out project activities.

that appropriate environmental safeguards are adopted for all activities. Recipient environmental compliance obligations under these regulations and procedures are specified in the following paragraphs of this RFA.

In addition, Recipient 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.

No activity funded under this Cooperative 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.”)

The Initial Environmental Examination (IEE) of the Economic Growth Office has been approved in June 2006 and amended in September 2009 to include activities of this RFA. It was sent to the BEO in Washington for approval.

The IEE covers activities expected to be implemented under this Cooperative Agreement. USAID has determined that a categorical exclusion will apply to most of all activities except the constructions one that will fall under the threshold of Negative **Determination with conditions**. This latter indicates that if these activities are implemented subject to the specified conditions, they are expected to have adverse effect on the environment. The Recipient shall be responsible for implementing all IEE conditions pertaining to activities to be funded under this solicitation.

As part of its initial Work Plan, and all Annual Work Plans thereafter, the Recipient, in collaboration with the USAID Cognizant Technical Officer 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.

If the Recipient 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.

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.

When the approved Regulation 216 documentation is (1) an IEE that contains one or more Negative Determinations with conditions and/or (2) an EA, the Recipient 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 Recipient shall prepare an EMMP or M&M Plan describing how the Recipient 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 IEE or EA preparation costs and approaches. The Recipient will be expected to comply with all conditions specified in the approved IEE and/or EA. If an IEE, as developed by the Recipient and approved by USAID, includes a Positive Determination for one or more activities, the contractor/recipient will be required to develop and submit an EA addressing these activities.

C.7.3. Corruption Considerations

The CBAER Program will be involved in many procurement transactions, outreach programs, renovation works and other economic transactions. The Recipient should put procedures in place to reduce opportunities for corruption that is endemic to the country and the region. The Recipient will support transparency in all activities and by all sub-contractors, sub-grantees, and counterpart organizations. Finally, the Recipient will support, to the extent possible, policy advocacy, regulatory reform and introduction of good practice in university program administration to minimize prevalent of informal fees and payments relating to university program admission, graduation, and grades.

C.7.4. Construction

For all construction projects, the Recipient shall:

- 1) Hire reputable an architectural and engineering (A&E) firm or hire an in-house architect with construction management skills or both to design the project, to produce bid documents, oversee transparent and fair bid and evaluation processes, and to perform construction management services. USAID anticipates all construction and renovation will follow the design-bid-build acquisition method. If there are compelling reasons for other than design-bid-build acquisition (such as design-build), the Recipient must seek prior approval from the Agreement Officer.
 - 2) Provide USAID/Senegal with Recipient's quality control plans for AOTR approval before any construction takes place. The quality control plan will shall provide sufficient quality control personnel to satisfy all construction contract requirements. The plan shall also address the qualifications of individual quality control personnel along with the person's duties, responsibilities, and authorities. The plan shall contain the methods for quality control performance as well as assign quality control activities for performance by the Recipient, sub-awardees, and suppliers. The plan must contain the frequency and format of quality control reports. Finally, the plan must assign a single point contact for quality control.
- No construction work may take place until this plan has been approved by the AOTR.
- 3) Subcontract for construction through fixed price subcontracts. If there are compelling reasons for other than fixed price subcontracts for construction, the Recipient must seek prior approval from the Agreement Officer.
 - 4) At all times during construction and until the work is completed and accepted, directly supervise the work or assign and have on the work site a competent superintendent satisfactory to the Agreement Officer and with the authority to act for the Recipient.
 - 5) Within five days after the work commences on a construction contract, prepare and submit to the AOTR and the Agreement Officer for approval three copies of a practicable schedule showing the order in which the Recipient proposes to perform the work, and the dates on which the Recipient contemplates starting and completing the several salient features of the work (including acquiring materials and equipment). The schedule shall be in the form of a progress chart of

suitable scale to indicate appropriately the percentage of work scheduled for completion by any given date during the period. If the Recipient fails to submit a schedule within the time prescribed, the Agreement Officer may withhold approval of progress payments until the Recipient submits the required schedule.

The Recipient shall enter the actual progress on the chart as directed by the Agreement Officer, and upon doing so shall immediately deliver three copies of the annotated schedule to the Agreement Officer and AOTR. If, in the opinion of the Agreement Officer, the Recipient falls behind the approved schedule, the Recipient shall take steps necessary to improve its progress, including those that may be required by the Agreement Officer. In this circumstance, the Agreement Officer may require the Recipient to increase the number of shifts, overtime operations, days of work, and/or the amount of construction plant, and to submit for approval any supplementary schedule or schedules in chart form as the Agreement Officer deems necessary to demonstrate how the approved rate of progress will be regained.

Failure of the Recipient to comply with the requirements of the Agreement Officer under this clause shall be grounds for a determination by the Agreement Officer that the Recipient is not executing the work with sufficient diligence to ensure completion within the time specified in the contract. Upon making this determination, the Agreement Officer may terminate the Recipient's right to proceed with the work, or any separable part of it, in accordance with the default terms of this contract.

A USAID representative must be present at the final walk through and punch list before any handover / acceptance of the buildings.

C.7.5. AET Capacity Building Memoranda of Understanding

Applicants should propose appropriate organizational arrangements for implementation of the CBAER Project. The Recipient will be responsible for overall Project implementation and reporting. Applications should be specific as to the implementation arrangements proposed.

For each of the targeted AET institutions, direct assistance to the institutions should be described and agreed to under a Memorandum of Understanding (MOU) that describes the problem or opportunity to be addressed, activities to be carried out, resources to be provided by each party, and expected outputs and outcomes. Implementation of these AET Capacity Building MOUs will require an in-depth understanding of educational institutions' programs, culture, mandate, and constraints. This lends itself to implementation through linkages with lead educational institutions in the US, or possibly other countries. Applicants should consider arrangements for implementing AET Capacity Building MOUs through sub-awards that link targeted AET institutions with relevant international institutions.

If sub-awards are used to link institutions and implement AET Capacity Building MOUs, the Recipient may opt to provide some resources (e.g., construction, procurement, etc.) directly if there are efficiencies in doing so.

If USAID and the Recipient agree to expand the CBAER Project to include additional AET institutions (or groups of institutions) additional MOUs may be required.

C.7.6. Consultants and Visiting Professors/Specialists

The Recipient may provide services of consultants and other visiting specialists to assist the participating universities with program development and implementation, teaching, administration, and other tasks. The Recipient should seek to access services as cost-effectively as possible, through partnership programs, voluntary assistance, and access to existing programs, such as Fulbright programs, university study programs, and others. Arrangements to provide services through Volunteers for Prosperity or other volunteer mechanisms would be desirable.

The Recipient may include in its program provision for recruitment of contract staff to fill teaching positions and assist with outreach programs from the participating universities. Applicants should propose mechanisms for recruiting such contract faculty members, but should defer final decision on specific contracting arrangements until detailed consultations have been concluded with participating universities. Arrangements may include are expected to be made through direct contracts with individuals, but may also include grants to participating universities to contract required staff or university linkage grants to enable partner universities to second staff to Senegalese universities. Arrangements to fill required positions with volunteer faculty through Volunteers for Prosperity or other volunteer mechanisms would be desirable.

For reasons of cost efficiency, sustainability, and relevance, most visiting professors are expected to be from West Africa. Salary levels should conform as far as possible to those prevailing for contract faculty from the region. The Recipient may contract faculty members from countries outside of the region to meet specific needs for program enrichment. The agricultural education program may require up to 30 person years of contract faculty in various agriculture and rural development disciplines and basic sciences. Exact numbers of contract faculty and timing will be determined in consultation with participating universities and approved in Annual Work Plans.

The Recipient should seek to promote longer term relationships between participating universities and other universities in the US, the region, and elsewhere by supporting MOUs between the participating universities and other institutions. The Recipient may provide sub-grants to fund such MOUs, which would likely focus on faculty exchange and training.

C.7.7. Program Evaluation

Evaluating Program progress will be particularly important because of the challenges of AET institution development and the breadth of capacity requirements to support achievement of sustainable food security. The Mission expects to fund external evaluations at least twice during the course of the CBAER Program, at about month 24 and month 56 of implementation. These evaluations will assess the implementing organization's performance and the feasibility of completing all activities, as planned. The initial evaluation will focus on the delivery of inputs to assess quality and comprehensiveness of the implementation approach. The second evaluation will assess the output-to-outcome linkages and whether completion of the planned activities will lead to desired results in terms of establishment of centers of excellence in technical education. A final evaluation may be planned as a peer review assessment of the participating institutions and the status of their program development as compared to international standards.

The Recipient will be expected to coordinate and cooperate with USAID evaluation efforts. The Recipient is free to conduct internal assessments and evaluations to guide Program implementation and inform Program reporting.

C.7.8. Branding and Marking Strategy

The recipient must adhere to ADS 320.3.2.1 (1/8/2007 revision), which sets out branding strategy requirements. All communication products and publications produced while implementing this program, whether for public events or for distribution, will be branded with the brand identity of the U.S. Agency for International Development (USAID), and will carry the message that assistance is provided by the American people. Such materials will also be branded with any program logo developed by the successful applicant and approved by USAID.

The level of visibility and media outreach for the program should be high. The establishment of Senegal brand recognition, in part through implementation of this branding strategy, will contribute greatly to this effort.

Branding Implementation Plan: A BIP outlines the events (press conferences, site visits, etc.) and materials (success stories, Public Service Announcements [PSAs], etc.) the recipient will organize and produce to assist USAID in delivering the message that the assistance is from the American people.

The BIP should deal with 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, (PSAs), videos, web-casts, e-invitations, or other e-mails sent to group lists such as participants, and training session blast e-mails or other Internet activities.

The key milestones or opportunities anticipated to generate awareness that the program, project, or activity is from the American people, 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, showcasing before-and-after photographs, securing endorsements from ministry or local organizations, promoting final or interim reports, and communicating program impact/overall results.

Marking Plan: As stated in ADS 320.3.2, 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. Where applicable, a host-country symbol or ministry logo, or another U.S. Government logo may be added. Except for the manufacturer's trademark on a commercial item, the corporate identities or logos of contractors or subcontractors are not permitted on USAID-funded program materials and communications, unless specified in the USAID Graphic Standards Manual or approved in advance by the Principal Officer. The Principal Officer must obtain clearance from the Senior Advisor for Brand Management (LPA) before approving the use of the contractor's logo. The Marking Plan may include requests for exceptions to marking requirements, to be considered by the Agreement Officer.

C.7.9. Sustainability

A key strategy in this program is to plan for sustainability of program interventions. The Program must identify how sustainability will be addressed, how local partners will assume ownership and continue activities after the USAID's assistance has been completed.

C.8. AGREEMENT AMENDMENT

USAID/Senegal may expand the total estimated cost of this award through two amendments briefly described below:

- Agreement Amendment 1: Depending on the availability of new funding the total estimated cost may be increased up to an additional \$10 million within the initial 5-year term of performance.
- Agreement Amendment 2: Depending on the availability of new funding a three-year extension of the base period with an increase of the total estimated cost up to an additional \$18 million (i.e. approximately \$6 million per year). Note: The overall period of performance of the activity will be 5 years for the base period + 3 years of option 2 which equals to 8 years. The total estimated cost for the 8 years of activities will be \$56 Million upon the availability of funds.

C.9. STAFFING STRUCTURE AND KEY PERSONNEL

It is expected that the Recipient may open several regional offices (or work out shared space arrangements) to support the program in the selected regions. Because, there may be several offices, the management structure must ensure communication and coordination among them for both administrative and technical aspects. Program set-up should be as efficient and cost-effective as possible in order to devote as high a percentage of the budget as possible to programmatic activities (versus administrative/operational costs.). After the start-up phase, the recipient's operations in Senegal should be self-sufficient and able to respond directly to inquiries of various types in both French and English from both USAID and the participating Government of Senegal organizations.

Key Personnel. Key personnel can include up to five full-time and long-term professional personnel whose participation in the proposed activities is considered to be essential.

Proposed long and short-term staff. There is a need to mix international experts with local expertise in order to have both the outside perspective as well as the inside understanding that only Senegalese people can bring.

The preference is to have staff who can communicate at a highly proficient level in both French and English. USAID encourages the use of Senegalese nationals where possible. A supporting narrative should include brief descriptions of all long-term staff positions and level of experience and language capability required for each position. The narrative should also describe the role of short-term technical staff including the proposed level of effort and the process to be used for selecting short-term technical assistance staff and encouraging the development of emerging Senegalese firms and consultants.

C.10. MANAGEMENT

C.10.1. Roles and Responsibilities

The Recipient will be responsible for overall implementation of the CBAER program in accordance with the program description and the terms and conditions of the Cooperative Agreement. In doing this, the Recipient will coordinate implementation activities with the USAID Agreement Officer's Technical Representative(s) (AOTR) assigned to this activity by the USAID Regional Agreement Officer (AO).

The Recipient will implement the Program within a broader institutional framework for development of Senegalese agriculture and efforts to enhance national food security. This may require close collaboration and coordination with other actors including: other USAID-funded projects; the Government of Senegal; universities and other training institutions; technical ministries of the Government of Senegal; NGOs and

community groups; private firms and associations; and other donors and aid agencies. The Recipient will need to coordinate activities with the USAID Economic Growth Team and its implementing partners working in agriculture and food security.

The major counterparts to the Recipient in implementation of the CBAER Project will be: the Université de Thies, Université Gaston Berger, Université Cheikh Anta Diop, the network of regional training centers, the research institutes such as ISRA, ITA, and the Ministries of Agriculture and Livestock. A wide range of other entities and individuals, including: private sector producers, traders, processors, community organizations, NGOs, associations, cooperatives, small and medium enterprises (SMEs) and other organizations may be involved as collaborators on research and outreach activities from the AET institutions.

C.10.2. Relationships with USAID/Senegal

The Agreement Officer (AO) will represent USAID in all contractual matters. The Recipient shall work under the general guidance of the Agreement Officer's Technical Representative (AOTR) recommended by USAID/Senegal's Economic Growth Office (EGO) Director and designated by the Agreement Officer. The AOTR reports to the Economic Growth Office Director. All award queries and authorizations will be managed through the USAID/Senegal Agreement Office. The AOTR or his/her alternate will provide technical direction under this agreement.

The Recipient shall authorize the Country Representative to represent the organization in all day to day matters pertaining to the execution of this agreement and the achievement of results. The Country Representative will serve as the Recipient representative in Senegal for the purposes of this cooperative agreement, and will be responsible for the activities of all short-term and long-term personnel employed under the agreement.

Only USAID personnel can represent USAID to the GOS. The Country Representative and other senior employees will have frequent interactions with appropriate parties within the GOS and will gain the trust of the GOS officials with whom it collaborates.

In accordance with USAID protocols and subsequent to USAID introductions, the Recipient will take the initiative to coordinate with agencies and organizations working toward similar objectives, whether receiving funds from USAID or not. The Recipient shall work closely with these organizations to assure coordination of Senegalese and international partners working toward the same objectives.

The Annual Work Plan will form the basis for a joint management review by USAID and program staff to review program directions, achievement of the prior year work plan objectives, and major management and implementation issues, and to make recommendations for any changes as appropriate. Semi-annual management reviews will also be held to review progress. The recipient will address USAID feedback on performance and fine tune the strategies accordingly.

At any time during program implementation, USAID may conduct one or more evaluation(s) to review overall progress, assess the continuing appropriateness of the project design, and identify any factors impeding effective implementation. USAID will utilize the results of the evaluations to recommend any mid-course changes in strategy if needed and to help determine appropriate future directions. Site visits may occur anytime after the onset of the project.

C.10.3. Relationships with Implementing Agencies

The Recipient shall work closely with the key partners of USAID to ensure that all activities are collaboratively programmed. These include all partners and customers mentioned in section G above as well as others that may be indicated over time.

It is expected that the Recipient will work towards achieving the goals of the Paris Declaration on Aid Effectiveness in the implementation of the activity. Efforts could include the use of host-country financial and procurement systems (where possible and in close coordination with USAID) and the building of host country capacity to manage and implement elements of the activity at the conclusion of the cooperative agreement.

USAID values its established partnership with the Government of Senegal (GOS). In accordance with USAID protocols and subsequent to USAID introductions, in its zones of intervention, the Recipient will coordinate closely with agencies of the GOS, the private sector, PVO/NGOs, international organizations, CBOs, and other Contractors receiving USAID funds from, or otherwise collaborating with, the agreement team. The Recipient will work closely with these organizations to assure improved coordination of Senegalese, American, and international partners in delivery of resources, and activity-related monitoring and evaluation of impact.

C.11. SUBSTANTIAL INVOLVEMENT

In accordance with ADS 303.5.11a, USAID shall be substantially involved during the implementation of this Cooperative Agreement in the following ways through the Agreement Officer's Technical Representative (AOTR):

1. Approval of Recipient's Implementation Plans: the AOTR will review and approve annual work plans and performance monitoring plans. The initial work plan should be submitted to USAID/Senegal no later than 45 days of award of the cooperative agreement while the performance monitoring/evaluation plan, including quantitative and qualitative indicators, baseline data, and targets for the entire period of the activity, should be submitted to USAID/Senegal no later than 60 days of award of the cooperative agreement;
2. Approval of specified key personnel: the AOTR will approve changes in Key Personnel;
3. Approval of targeted regions of the program;
4. Approval of sub-grants: the AOTR will approve all sub-grants awarded under this Cooperative Agreement over \$25,000;
5. Approval of Initial Environmental Examination (IEE)
6. Approval of Gender Plan
7. Approval of the Branding and Marking Plan.

C.12. REPORTING REQUIREMENTS

The recipient will adhere to all reporting requirements listed below. All reports as required under Substantial Involvement shall be submitted by the due date. Additional reports requiring review and clearances, when necessary are listed under each requirement.

C.12.1. Financial Reporting

Financial reporting requirements will be in accordance with USAID's policies and regulations. Two weeks before the end of each quarter (e.g. mid-June, mid-September, mid-December and mid-March) the Recipient shall submit accruals information to the AOTR. Financial reports must contain sufficient information on a sub-line item basis to review vouchers for approval.

In keeping with the requirements established in 22 CFR 226.52, the Recipient will be required to prepare a "**Financial Status Report**", SF 425, on an accrual basis. The quarterly and the final financial report shall be submitted to USAID/Senegal Financial Management Office, one copy to the AOTR, and one copy to the Agreement Officer.

C.12.2. Program Reporting

Reports shall be in keeping with 22 CFR 226.51. Monitoring/Performance reports will be required on a quarterly basis and on an annual basis to coincide with USAID's fiscal year calendar.

For documents that may be of wider public interest, the Recipient must prepare documents so they are 508 compliant (to meet USG requirements for web uploading). The following are the required documents:

C.12.2.1. Annual Work Plans

The recipient shall submit an annual work plan to the USAID/AOTR. The work plan serves several purposes, including a guide to program implementation, a demonstration of links between activities, strategy objectives and intended results, a basis for budget estimates and the foundation for the monitoring and evaluation plan. Work plans function on the USG fiscal year (October-September). The work plan, as a minimum, should include:

- Brief situation analysis
- Life-of-program results
- Milestones toward achieving those results
- Activities to be accomplished that year related specifically to the achievement of milestones
- Level of effort required in terms of staff time and financial resources
- Amount and intended use of counterpart contributions for that year to be provided (cash or in-kind)
- Partner involvement and contributions to achieving the results

The first annual work plan shall be submitted to the AOTR within 45 days of the award, and over the period from the award starting date through September 30, 2011. The proposed work plan should take into account activity parameters of budget and personnel constraints, and it should include realistic outline of what is possible to accomplish by the end of year 1. Second year annual work plan and thereafter shall cover the USG fiscal year (i.e. from October 1, through September 30).

C.12.2.2. Program Performance Monitoring Plan (PMP)

After the agreement has been signed the recipient shall submit the draft plans within 45 calendar days after award to the USAID/Senegal AOTR. The recipient's monitoring and evaluation framework shall include 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 PMP will serve as a management tool to assess and report progress toward achieving the targets of the Program. The Performance Monitoring Plan (PMP) should be aligned with Foreign Assistance Framework standard indicators and include performance measures that can be used to capture the overall expected results. The PMP will include the indicators and targets approved by USAID at the time of the award. However the full PMP will need to be expanded to include Foreign Assistance Framework standard indicators available at <http://www.state.gov/f/indicators/index.htm>. The PMP shall contain clear benchmarks and outputs for the indicators, as well as a timeframe for the results to be attained over the life of the award. Measurements should be qualitative and quantitative. Target numbers should also be included.

C.12.2.3. Quarterly and Annual Performance Reports

1. Technical quarterly reports are due one month after the end of each quarter according to the USG fiscal year. Thus, they are due on: January 31, April 30, July 31 and October 31.
2. The 4th quarter (July-September) quarterly report should include information specific to that quarter but also include a section which summarizes the year's accomplishments and challenges. This report is still due no later than on October 31 but would be welcome earlier than this date because USAID needs the information to write its own Operational Plan (as discussed in the Monitoring, Evaluation, Reporting and Impact Analysis (MERA) section. In addition to the regular information (listed below), the 4th quarterly/annual report can be longer and more detailed. It should discuss the achievements of the entire year and contain a table displaying the indicators that the recipient is responsible for reporting on and the indicator values for the year, along with prior year values and future year targets. The format for the additional reporting may be provided by USAID.
3. Quarterly reports should generally be short and consist primarily of narrative text. Tables should be attached in an annex. Quarterly reports are designed for USAID management purposes and contain basic required information.
4. USAID will provide a basic outline for quarterly reports. However, the recipient should discuss the quarterly report format with the AOTR within the first quarter of this activity to come to agreement on a format.

Included in the quarterly and annual reports will be Performance Monitoring information, progress toward agreed performance targets every three (3) months, based on the Performance Monitoring Plan. This will include information on program activities undertaken in the reporting period and those planned for the following three (3) months. Reports must also include the following: (a) explanation of quantifiable output of the programs or projects, if appropriate and applicable; (b) reasons why established goals were not met, if appropriate; and (c) analysis and explanation of cost overruns or growing pipelines (recipients must immediately notify USAID of developments that have significant impact on award-supported activities). Furthermore, notification must be given immediately in the case of problems, delays or adverse conditions which materially impair the ability to meet the objectives of the award. These notifications must include a statement of the action taken or contemplated and any assistance to resolve the situation.

C.12.2.4. Consultant Reports and Special Reports

The recipient will provide USAID/Senegal with five (5) copies of the products -- studies, trip reports, technical reports -- of all short-term consultants financed under the agreement within 30 days of completion of the consultancy. All reports will be in English or French, with translations subject to the decision of the AOTR.

C.12.2.5. Bi-weekly updates

The Recipient shall provide a brief, one to two page bi-weekly update on project activities that provide highlights of major events. The update will identify current and up-coming consultations/visitors, key activities and events of the previous two week period, and upcoming activities and events. This information is combined with those of other projects and circulated to help keep overall CBAER activities coordinated. Bi-weekly updates are due the 1st and 15th of every month.

C.12.2.6. Final Report

The Recipient shall submit, no later than 90 days after the completion date of activities under the Cooperative Agreement, a Final Report in English and in French, which 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 Cooperative Agreement;
- An assessment of progress made towards accomplishing the Objective and Illustrative Results;
- Significance of these activities;
- Success stories;
- Comments and recommendations;
- A final report that describes how the recipient's funds were used.

This report should not exceed 100 pages, although annexes may be appended.

The final performance report shall be submitted to the AOTR, and the Agreement Officer. It is highly recommended that the final report be prepared before the end date of the Program since additional costs cannot be incurred after the program end date.

C.13. LOGISTICS

The recipient will need to locate its central office in Dakar, Senegal, but may propose satellite offices in the selected regions. The recipient shall hire the required staff and purchase equipment and supplies to furnish and operate the office(s). The recipient shall arrange for the logistic support for all long and short-term personnel under this award including travel within Senegal, international travel, accommodation, office space, communications, supplies, equipment and photocopying/printing, and so on.

C.14. AUTHORIZED GEOGRAPHIC CODE

For the purposes of this cooperative agreement, the authorized geographic code will be 935, including motor vehicles. Purchases of motor vehicles from non-U.S. source or origin will be held to a minimum and carried out only when necessitated by required specifications, spare parts, and maintenance capabilities.

SECTION D – CERTIFICATIONS/ASSURANCES/OTHER STATEMENTS

U.S. AGENCY FOR INTERNATIONAL DEVELOPMENT

The certifications and forms included on the links below are to be completed and submitted as part of the Cost/Business Application. Refer to instructions in Section A of the RFA.

PART I – FORMS

Standard Form 424: www.grants.gov/techlib/SF424-V2.0.pdf ;

Standard Form 424A: <http://www.grants.gov/techlib/SF424A-V1.0.pdf>

Standard Form 424B: <http://www.grants.gov/techlib/SF424B.PDF>

Instructions for Standard Form 424A.



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PART II - CERTIFICATIONS AND ASSURANCES

1. CERTIFICATION REGARDING LOBBYING

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

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

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

(3) The undersigned shall require that the language of this certification be included in the award documents for all subawards at all tiers (including subcontracts, subgrants, and contracts under grants, loans, and cooperative agreements) and that all subrecipients shall certify and disclose accordingly. This certification is a material representation of fact upon which reliance was placed when this transaction was made or entered into. Submission of this certification is a prerequisite for making or entering into this transaction imposed by section 1352, title 31, United States Code. Any person who fails to file the required certification shall be subject to a civil penalty of not less than \$10,000 and not more than \$100,000 for each such failure.

Statement for Loan Guarantees and Loan Insurance.

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

2. PROHIBITION ON ASSISTANCE TO DRUG TRAFFICKERS FOR COVERED COUNTRIES AND INDIVIDUALS (ADS 206)

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

If there are COVERED PARTICIPANTS: USAID reserves the right to terminate assistance to or take other appropriate measures with respect to, any participant approved by USAID who is found to have

been convicted of a narcotics offense or to have been engaged in drug trafficking as defined in 22 CFR Part 140.

3. CERTIFICATION REGARDING TERRORIST FINANCING IMPLEMENTING EXECUTIVE ORDER 13224

By signing and submitting this application, the prospective recipient provides the certification set out below:

1. The Recipient, to the best of its current knowledge, did not provide, within the previous ten years, and will take all reasonable steps to ensure that it does not and will not knowingly provide, material support or resources to any individual or entity that commits, attempts to commit, advocates, facilitates, or participates in terrorist acts, or has committed, attempted to commit, facilitated, or participated in terrorist acts, as that term is defined in paragraph 3.

2. The following steps may enable the Recipient to comply with its obligations under paragraph 1:

a. Before providing any material support or resources to an individual or entity, the Recipient will verify that the individual or entity does not (i) appear on the master list of Specially Designated Nationals and Blocked Persons, which list is maintained by the U.S. Treasury's Office of Foreign Assets Control (OFAC) and is available online at OFAC's website :

<http://www.treas.gov/offices/eotffc/ofac/sdn/t11sdn.pdf>, or (ii) is not included in any supplementary information concerning prohibited individuals or entities that may be provided by USAID to the Recipient.

b. Before providing any material support or resources to an individual or entity, the Recipient also will verify that the individual or entity has not been designated by the United Nations Security (UNSC) sanctions committee established under UNSC Resolution 1267 (1999) (the "1267 Committee") [individuals and entities linked to the Taliban, Usama bin Laden, or the Al Qaida Organization]. To determine whether there has been a published designation of an individual or entity by the 1267 Committee, the Recipient should refer to the consolidated list available online at the Committee's website: <http://www.un.org/Docs/sc/committees/1267/1267ListEng.htm>.

c. Before providing any material support or resources to an individual or entity, the Recipient will consider all information about that individual or entity of which it is aware and all public information that is reasonably available to it or of which it should be aware.

d. The Recipient also will implement reasonable monitoring and oversight procedures to safeguard against assistance being diverted to support terrorist activity.

3. for purposes of this Certification

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

b. “Terrorist act” means-

(i) an act prohibited pursuant to one of the 12 United Nations Conventions and Protocols related to terrorism (see UN terrorism conventions Internet site:

<http://untreaty.un.org/English/Terrorism.asp>); or

(ii) an act of premeditated, politically motivated violence perpetrated against noncombatant targets by subnational groups or clandestine agents; or

(iii) any other act intended to cause death or serious bodily injury to a civilian, or to any other person not taking an active part in hostilities in a situation of armed conflict, when the purpose of such act, by its nature or context, is to intimidate a population, or to compel a government or an international organization to do or to abstain from doing any act.

c. “Entity” means a partnership, association, corporation, or other organization, group or subgroup.

d. References in this Certification to the provision of material support and resources shall not be deemed to include the furnishing of USAID funds or USAID-financed commodities to the ultimate beneficiaries of USAID assistance, such as recipients of food, medical care, micro-enterprise loans, shelter, etc., unless the Recipient has reason to believe that one or more of these beneficiaries commits, attempts to commit, advocates, facilitates, or participates in terrorist acts, or has committed, attempted to commit, facilitated or participated in terrorist acts.

e. The Recipient’s obligations under paragraph 1 are not applicable to the procurement of goods and/or services by the Recipient that are acquired in the ordinary course of business through contract or purchase, e.g., utilities, rents, office supplies, gasoline, etc., unless the Recipient has reason to believe that a vendor or supplier of such goods and services commits, attempts to commit, advocates, facilitates, or participates in terrorist acts, or has committed, attempted to commit, facilitated or participated in terrorist acts.

This Certification is an express term and condition of any agreement issued as a result of this application, and any violation of it shall be grounds for unilateral termination of the agreement by USAID prior to the end of its term.

Signed: _____

(Typed Name and Title)

(Name of Organization)

_____ Date

4. CERTIFICATION OF RECIPIENT

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

RFA No. _____

Date of Application _____

Name of Recipient _____

Typed Name and Title _____

Signature _____

Date _____

5. KEY INDIVIDUAL CERTIFICATION NARCOTICS OFFENSES AND DRUG TRAFFICKING

I hereby certify that within the last ten years:

1. I have not been convicted of a violation of, or a conspiracy to violate, any law or regulation of the United States or any other country concerning narcotic or psychotropic drugs or other controlled substances.
2. I am not and have not been an illicit trafficker in any such drug or controlled substance.
3. I am not and have not been a knowing assistor, abettor, conspirator, or colluder with others in the illicit trafficking in any such drug or substance.

Signature: _____
Date: _____
Name: _____
Title/Position: _____
Organization: _____
Address: _____
Date of Birth: _____

NOTICE:

1. You are required to sign this Certification under the provisions of 22 CFR Part 140, Prohibition on Assistance to Drug Traffickers. These regulations were issued by the Department of State and require that certain key individuals of organizations must sign this Certification.
2. If you make a false Certification you are subject to U.S. criminal prosecution under 18 U.S.C. 1001.

6. PARTICIPANT CERTIFICATION NARCOTICS OFFENSES AND DRUG TRAFFICKING

1. I hereby certify that within the last ten years:

- a. I have not been convicted of a violation of, or a conspiracy to violate, any law or regulation of the United States or any other country concerning narcotic or psychotropic drugs or other controlled substances.
- b. I am not and have not been an illicit trafficker in any such drug or controlled substance.
- c. I am not or have not been a knowing assistor, abettor, conspirator, or colluder with others in the illicit trafficking in any such drug or substance.

2. I understand that USAID may terminate my training if it is determined that I engaged in the above conduct during the last ten years or during my USAID training.

Signature: _____
Name: _____
Date: _____
Address: _____
Date of Birth: _____

NOTICE:

- 1. You are required to sign this Certification under the provisions of 22 CFR Part 140, Prohibition on Assistance to Drug Traffickers. These regulations were issued by the Department of State and require that certain participants must sign this Certification.
- 2. If you make a false Certification you are subject to U.S. criminal prosecution under 18 U.S.C.1001.

7. SURVEY ON ENSURING EQUAL OPPORTUNITY FOR APPLICANTS

All applications must include the Survey on Ensuring Equal Opportunity for Applicants as an attachment to the RFA package. This survey can be found at the following website:

<http://www.usaid.gov/forms/surveyeo.doc>

8. HOMELAND SECURITY PRESIDENTIAL DIRECTIVE -12 (HSPD-12) (Sept. 2006)

In response to the general threat of unauthorized access to federal facilities and information systems, the President issued Homeland Security Presidential Directive-12. HSPD-12 requires all Federal agencies to use a common Personal Identity Verification (PIV) standard when identifying and issuing access rights to users of Federally-controlled facilities and/or Federal Information Systems. USAID is applying the requirements of HSPD-12 to applicable assistance awards. USAID will begin issuing HSPD-12 “smart card” IDs to applicable recipients (and recipient employees), using a phased approach. Effective October 27, 2006, USAID will begin issuing new “smart card” IDs to new recipients (and recipient employees)

requiring routine access to USAID controlled facilities and/or access to USAID's information systems. USAID will begin issuance of the new smart card IDs to existing recipients (and existing recipient employees) on October 27, 2007. (Exceptions would include those situations where an existing recipient (or recipient employee) loses or damages his/her existing ID and would need a replacement ID prior to Oct 27, 2007. In those situations, the existing recipient (or recipient employee) would need to follow the PIV processes described below, and be issued one of the new smart cards.)

Accordingly, before a recipient (including a recipient employee) may obtain a USAID ID (new or replacement) authorizing him/her routine access to USAID facilities, or logical access to USAID's information systems, the individual must provide two forms of identity source documents in original form and a passport size photo. One identity source document must be a valid Federal or state government-issued picture ID. (Overseas foreign nationals must comply with the requirements of the Regional Security Office.) USAID/W recipients (and recipient employee) must contact the USAID Security Office to obtain the list of acceptable forms of documentation, and recipients working in overseas Missions must obtain the acceptable documentation list from the Regional Security Officer. Submission of these documents, and related background checks, are mandatory in order for the recipient (or employee) to receive a building access ID, and before access will be granted to any of USAID's information systems. All recipients (or employees) must physically present these two source documents for identity proofing at their USAID/W or Mission Security Briefing. The recipient (or employee) must return any issued building access ID and remote authentication token to USAID custody upon termination of the individual's employment with the recipient or completion of the award, whichever occurs first.

The recipient must comply with all applicable HSPD-12 and PIV procedures, as described above, as well as any subsequent USAID or government-wide HSPD-12 and PIV procedures/policies, including any subsequent applicable USAID General Notices, Office of Security Directives and/or Automated Directives System (ADS) policy directives and required procedures. This includes HSPD-12 procedures established in USAID/Washington and those procedures established by the overseas Regional Security Office. In the event of inconsistencies between this clause and later issued Agency or government-wide HSPD-12 guidance, the most recent issued guidance should take precedence, unless otherwise instructed by the Agreement Officer.

The recipient is required to include this clause in any subawards (including subcontracts) that require the subawardee or subawardee employee to have routine physical access to USAID space or logical access to USAID's information systems.

PART III – OTHER STATEMENTS OF RECIPIENT

1. AUTHORIZED INDIVIDUALS

The recipient represents that the following persons are authorized to negotiate on its behalf with the Government and to bind the recipient in connection with this application or grant:

Name: _____
Title: _____
Telephone No. _____

2. TAXPAYER IDENTIFICATION NUMBER (TIN)

If the recipient is a U.S. organization, or a foreign organization which has income effectively connected with the conduct of activities in the U.S. or has an office or a place of business or a fiscal paying agent in the U.S., please indicate the recipient's TIN:

TIN: _____

3. DATA UNIVERSAL NUMBERING SYSTEM (DUNS) NUMBER

(a) In the space provided at the end of this provision, the recipient should supply the Data Universal Numbering System (DUNS) number applicable to that name and address. Recipients should take care to report the number that identifies the recipient's name and address exactly as stated in the proposal.

(b) The DUNS is a 9-digit number assigned by Dun and Bradstreet Information Services. If the recipient does not have a DUNS number, the recipient should call Dun and Bradstreet directly at 1-800-333-0505. A DUNS number will be provided immediately by telephone at no charge to the recipient.

The recipient should be prepared to provide the following information:

- (1) Recipient's name.
- (2) Recipient's address.
- (3) Recipient's telephone number.
- (4) Line of business.
- (5) Chief executive officer/key manager.
- (6) Date the organization was started.
- (7) Number of people employed by the recipient.
- (8) Company affiliation.

(c) Recipients located outside the United States may obtain the location and phone number of the local Dun and Bradstreet Information Services office from the Internet Home Page at <http://www.dbisna.com/dbis/customer/custlist.htm>. If an offeror is unable to locate a local service center, it may send an e-mail to Dun and Bradstreet at globalinfo@dbisma.com.

The DUNS system is distinct from the Federal Taxpayer Identification Number (TIN) system.

DUNS: _____

4. LETTER OF CREDIT (LOC) NUMBER

If the recipient has an existing Letter of Credit (LOC) with USAID, please indicate the LOC number:

LOC: _____

5. PROCUREMENT INFORMATION

(a) Applicability. This applies to the procurement of goods and services planned by the recipient (i.e., contracts, purchase orders, etc.) from a supplier of goods or services for the direct use or benefit of the recipient in conducting the program supported by the grant, and not to assistance provided by the recipient (i.e., a sub-grant or subagreement) to a sub-grantee or subrecipient in support of the subgrantee's or subrecipient's program. Provision by the recipient of the requested information does not, in and of itself, constitute USAID approval.

(b) Amount of Procurement. Please indicate the total estimated dollar amount of goods and services which the recipient plans to purchase under the grant: \$ _____

(c) Nonexpendable Property. If the recipient plans to purchase nonexpendable equipment which would require the approval of the Agreement Officer, please indicate below (using a continuation page, as necessary) the types, quantities of each, and estimated unit costs. Nonexpendable equipment for which the Agreement Officer's approval to purchase is required is any article of nonexpendable tangible personal property charged directly to the grant, having a useful life of more than one year and an acquisition cost of \$5,000 or more per unit.

TYPE/ DESCRIPTION (Generic)	QUANTITY	ESTIMATED UNIT COST
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(d) Source, Origin, and Component of Goods. If the recipient plans to purchase any goods/commodities which are not of U.S. source and/or U.S. origin, and/or does not contain at least 50% component, which are not at least 50% U.S. source and origin, please indicate below (using a continuation page, as necessary) the types and quantities of each, estimated unit costs of each, and probable source and/or origin, to include the probable source and/or origin of the components if less than 50% U.S. components will be contained in the commodity. "Source" means the country from which a commodity is shipped to the cooperating country or the cooperating country itself if the commodity is located therein at the time of purchase.

However, where a commodity is shipped from a free port or bonded warehouse in the form in which received therein, "source" means the country from which the commodity was shipped to the free port or bonded warehouse. Any commodity whose source is a non-Free World country is ineligible for USAID financing. The "origin" of a commodity is the country or area in which a commodity is mined, grown, or produced.

A commodity is produced when, through manufacturing, processing, or substantial and major assembling of components, commercially recognized new commodity results, which is substantially different in basic characteristics or in purpose or utility from its components. Merely packaging various items together for a particular procurement or relabeling items do not constitute production of a commodity. Any commodity whose origin is a non-Free World country is ineligible for USAID financing. "Components" are the goods, which go directly into the production of a produced commodity. Any component from a non-Free World country makes the commodity ineligible for USAID financing.

TYPE/DESCRIPTION PROBABLE (Generic)	QUANTITY UNIT COST	ESTIMATED COMPONENTS SOURCE	GOODS COMPONENTS ORIGIN	PROBABLE GOODS COMPONENTS ORIGIN
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(e) Restricted Goods. If the recipient plans to purchase any restricted goods, please indicate below (using a continuation page, as necessary) the types and quantities of each, estimated unit costs of each, intended use, and probable source and/or origin. Restricted goods are Agricultural Commodities, Motor Vehicles, Pharmaceuticals, Pesticides, Rubber Compounding Chemicals and Plasticizers, Used Equipment, U.S. Government-Owned Excess Property, and Fertilizer.

TYPE/DESCRIPTION (Generic)	QUANTITY UNIT COST	ESTIMATED SOURCE	PROBABLE ORIGIN	INTENDED USE
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(f) Supplier Nationality. If the recipient plans to purchase any goods or services from suppliers of goods and services whose nationality is not in the U.S., please indicate below (using a continuation page, as necessary) the types and quantities of each good or service, estimated costs of each, probable nationality of each non-U.S. supplier of each good or service, and the rationale for purchasing from a non-U.S. supplier. Any supplier whose nationality is a non-Free World country is ineligible for USAID financing.

TYPE/DESCRIPTION NATIONALITY RATIONALE	QUANTITY UNIT COST	ESTIMATED (Non-US Only)	PROBABLE SUPPLIER for NON-US
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(Generic)

(g) Proposed Disposition. If the recipient plans to purchase any nonexpendable equipment with a unit acquisition cost of \$5,000 or more, please indicate below (using a continuation page, as necessary) the proposed disposition of each such item.

Generally, the recipient may either retain the property for other uses and make compensation to USAID (computed by applying the percentage of federal participation in the cost of the original program to the current fair market value of the property), or sell the property and reimburse USAID an amount computed by applying to the sales proceeds the percentage of federal participation in the cost of the original program (except that the recipient may deduct from the federal share \$500 or 10% of the proceeds, whichever is greater, for selling and handling expenses), or donate the property to a host country institution, or otherwise dispose of the property as instructed by USAID.

TYPE/DESCRIPTION (Generic)	QUANTITY	ESTIMATED UNIT COST	PROPOSED DISPOSITION
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6. TYPE OF ORGANIZATION

The recipient, by checking the applicable box, represents that -

(a) If the recipient is a U.S. entity, it operates as ☐ a corporation incorporated under the laws of the State of, ☐ an individual, ☐ a partnership, ☐ a nongovernmental nonprofit organization, ☐ a state or local governmental organization, ☐ a private college or university, ☐ a public college or university, ☐ an international organization, or ☐ a joint venture; or

(b) If the recipient is a non-U.S. entity, it operates as ☐ a corporation organized under the laws of _____ (country), ☐ an individual, ☐ a partnership, ☐ a nongovernmental nonprofit organization, ☐ a nongovernmental educational institution, ☐ a governmental organization, ☐ an international organization, or ☐ a joint venture.

7. TYPE OF ORGANIZATION

The recipient, by checking the applicable box, represents that -

(a) If the recipient is a U.S. entity, it operates as ☐ a corporation incorporated under the laws of the State of, ☐ an individual, ☐ a partnership, ☐ a nongovernmental nonprofit organization, ☐ a state or local governmental organization, ☐ a private college or university, ☐ a public college or university, ☐ an international organization, or ☐ a joint venture; or

(b) If the recipient is a non-U.S. entity, it operates as ☐ a corporation organized under the laws of _____ (country), ☐ an individual, ☐ a partnership, ☐ a nongovernmental nonprofit organization, ☐ a nongovernmental educational institution, ☐ a governmental organization, ☐ an international organization, or ☐ a joint venture.

8. ESTIMATED COSTS OF COMMUNICATIONS PRODUCTS

The following are the estimate(s) of the cost of each separate communications product (i.e., any printed material [other than non-color photocopy material], photographic services, or video production services) which is anticipated under the grant. Each estimate must include all the costs associated with preparation and execution of the product. Use a continuation page as necessary.

SECTION E - ANNEXES

ANNEX 1 – GUIDING PRINCIPLES AND APPROACHES

The CBAER Project strategy and approach focus on development of productive agricultural education and training institutions that support the broader range of institutions fostering innovation needed for increased agricultural productivity, sustainable management of natural resources, rural income increases and enhanced food security.

A. GUIDING PRINCIPLES

Focus on Agricultural Education and Training: The CBAER Project will strengthen institutional capacity to conduct applied research, prepare graduates for private and public sector market compatible employment, and promote development of efficient and sustainable agricultural value chains from production to consumption. The focus will be on strengthening the role of postsecondary agricultural education and training (AET) institutions in the Senegalese agricultural innovation system. Key activities will emphasize:

- Curriculum development to meet the employment needs of the agricultural sector, including private enterprises and public agencies;
- Applied research at higher education institutions that is responsive the needs of the private sector, including small farmers; and
- Outreach by higher education institutions to meet the needs of the private sector, especially small farmers.

Institutional Pluralism: A strategic decision required for the Project was whether to strengthen one institution as a center of excellence in agricultural education or to build capacity in a number of institutions. This is a common issue with agricultural education systems, with some clear trade-offs. Focusing resources on one institution provides some cost efficiencies, facilitates development of a critical mass of scientists, and may allow easier multi-disciplinary work and collaboration. The disadvantages are that this risks elitism, forfeits benefits that can come from positive competition and development of contending schools of thought, eliminates the ability of institutions to carve out areas of specialization, and can reduce accessibility to potential partners. In Senegal, the existence of multiple institutions with established specializations makes the multiple-institution approach an obvious choice. The CBAER will consequently work with a number of AET institutions to develop capacity for training at multiple levels (certificate, diploma, BSc/BA, and MSc/MBa), in multiple discipline (crop and livestock sciences, natural resource management, nutrition, rural social sciences), and in multiple regions of the country.

Fostering Linkages: Strengthening linkages will be at the heart of Project support for institutional capacity building. The CBAER project will enhance collaboration among Senegalese higher education institutions, national and international agricultural research organizations, entities providing outreach assistance to small farmers and agribusinesses, and other stakeholders in the sector. The Project will seek opportunities to maximize utilization of resources of these other organizations to strengthen activities at the higher education institutions, while maximizing contributions by the universities to the contributing entities.

Linkage to potential clients and stakeholders in the agriculture/food security sector are critical to enhancing AET program relevance, reputation, and quality. The Project capacity building activities, such as long- and short-term training, research infrastructure improvement and curriculum modernization, and investments in applied research to these objectives, will be designed to be responsive to demands from

potential clients and stakeholders. To the extent possible, this should involve linkages and partnerships in which partners finance (or co-finance) programs implemented by the AET institutions. Particular attention will be on linking AET institutional activities with other USAID projects relating to food security. Adaptive and applied research and outreach programs supported by the CBAER Project will be directed to meeting the short-term objectives of other USAID programs.

Other linkages are important to ensure that the AET institutions stay current in their disciplines and to avoid inbreeding in ideas and programs. The Project will encourage inter-institutional linkages within Senegal to the extent possible and practical. International linkages with US and other institutions of agricultural higher education will be central to capacity building efforts at the institution level.

Institutional Strengthening: At the institutional level, evaluating individual education programs can be approached by assessing the five elements necessary for a quality program—physical facilities, faculty, curricula, student support services, and outreach. A strong agricultural education program should be a center of excellence, able to deliver on three important and inter-related outcomes: a) high performing graduates who are highly sought by prospective employers with commensurate levels of recruitment; b) provision of innovative solutions to national and local problems such as increase in agriculture yield, new design and construction methodologies for infrastructure rehabilitation; and c) service to the respective professions and nation to promote their respective disciplines, set standards, and develop and disseminate best practices. Five distinct supporting elements are needed to produce these outcomes:

- **Curriculum:** A sound curriculum appropriate to the level and needs of the students, reflecting modern agricultural practices, private sector principles, entrepreneurship and market principles, and using effective course work, instructional tools and teaching methods.
- **Faculty:** Faculty with adequate teachers trained to an appropriate level with the mix of skills and disciplines needed to teach the established curriculum.
- **Facilities:** Adequate physical facilities, including classrooms, dormitories, offices, teacher housing, libraries, power and water, internet accessibility, workshop with equipment, laboratories and demonstration farm facilities.
- **Student Services:** A learning environment that attracts and retains students and facilitates learning through appropriate living facilities, library resources, computer and internet access, and academic and career counseling enrich the learning experience.
- **Outreach Programs:** Activities that connecting learning to practice by bringing the student into contact with commercial agriculture, support services, and agribusinesses in addition to the information provided in textbooks, lectures and laboratories. Such programs also allows the student and school to demonstrate a commitment to serving the community and adds to the schools' reputation and support base.

Market and Private Sector Orientation: Experience clearly indicates the need for private sector based agriculture and rural development approaches. Private AET institutions, where they exist, should be considered for support and participation in development programs on an equal basis with public sector institutions. Outreach and research programs should involve private as well as public institutions.

Most importantly, training and education programs should give students a good grounding in private sector development, with an appreciation of private sector principles, agribusiness management, value chain development, marketing principles, and financial and economic analysis. This has been lacking in most agricultural training and education programs in the past. Crop budgets and enterprise budgeting and accounting can be integrated throughout curricula. Training in cooperative development should emphasize cooperative principles and cooperatives as private businesses. Technical training should equip students for employment in private businesses and prepare them as entrepreneurs able to manage their own farms and agribusinesses.

Nutrition and the Rural Poor: In line with USAID food security objectives, Applicants should develop proposals that address food security concerns. General economic growth and increased agricultural productivity contribute to this, but are often insufficient in and of themselves. Food security requires adequate availability of, access to and good utilization of food. This has implications for food production, rural employment, and preparation and use of foodstuffs.

Agricultural education and training have often neglected nutrition education and social issues. Curricula, research and outreach programs need to facilitate participation of resource-poor farmers and the ultra-poor in the benefits of agriculture and rural development. This may require attention to policy reform, as well as development of appropriate technologies and institutions and education that engages students with the challenge of broad-based development.

Gender is an important aspect of programs focusing on poverty alleviation and family nutritional improvements. Women are responsible for most farm work in Africa, especially for basic food crops. But, women are often under-represented in staff of agricultural institutions and women farmers often poorly served by sector support organizations, in part because of a lack of field staff. The Recipient will need to ensure that gender issues are integrated into the CBAER Project to assess needs specific to Senegal, promote participation of women in activities funded by the Project, and ensure equitable representation of both women and men in training programs.

Reaching target populations of the rural poor with benefits from development is not easy, but is an appropriate objective for educational institutions and public policy. The Recipient should plan to develop Project Work Plans and the Project Performance Monitoring Plan with a view to addressing food security concerns and will need to report on Project accomplishments in this area.

B. PROMISING APPROACHES

1. Agricultural Innovation System (AIS) and the Agricultural Knowledge and Information System (AKIS)

An agricultural innovation system is the full complex of institutions and actors that facilitate innovation and change in agriculture and rural production systems (See Figure 1). These include: agribusinesses, farmers and farmer organizations, public and private extension and information services, research and development agencies, financial institutions, input suppliers, business development services, and others.

The underpinning of the agricultural innovation system is generally the “agricultural knowledge and information system” (AKIS) including the agricultural extension, research and education services, which in the US are interlinked in the land grant colleges. Public sector funding is usually required to provide the core public goods services – education, research, and extension – to support the agricultural sector. As agricultural systems become more commercial and more specialized, private sector actors can assume greater responsibility for funding those services relevant to their interest. The agricultural

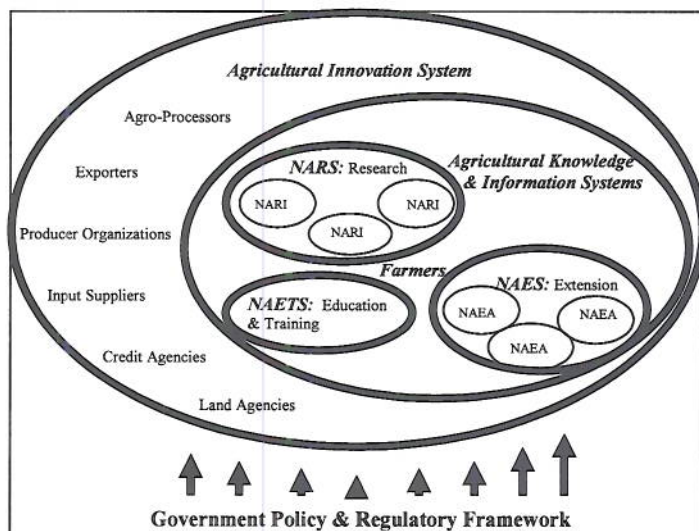


Figure 1: Agricultural Innovation System

knowledge and information system includes multiple institutions, both public and private. Increasingly, public funding is directed to contracts or grants to private service providers (such as NGOs) that can operate more flexibly and efficiently. Agricultural education and training, especially formal, pre-service training, is especially suited to public funding, as it provides a base for human capacity building for the entire sector and is more efficiently organized centrally rather than by individual institutions.

In terms of the value chain concept, common in many current USAID-funded projects, the agricultural extension, education and research services are part of the supporting services in the value chains. They support many, or all, participants in the value chain providing training, information and advisory services, and pre-service (and often in-service) training to input suppliers, producers, wholesale and retail marketers, quality control services, storage and processors, and policy and regulatory agencies. The agricultural education and training programs directly support research and extension agencies, as well as the other value chain participants.

2. Agricultural Education and Training (AET)

Senegal faces a situation in which the higher education system is generally unable to provide the quality education, training, research and extension that is needed by entrepreneurs and employers in the public, private, and NGO sectors. A recent diagnostic of conditions to doing business in Senegal's agricultural sector (AgCLIR Senegal) identified a number of human resource constraints to development of the agricultural sector⁴. It found that Senegal's rural workforce quality is poor due to low levels of literacy and poor vocational training opportunities. The Directorate of Plant Protection, for example, is critical to ensuring adequacy of sanitary and phyto-sanitary inspections and protecting against agricultural pests and diseases. Yet, the Directorate has "few if any advanced scientists as staff" and available technical staff are "aging and retiring with few technically competent younger staff to replace them." The GOS overcommits "its resources in certain areas, while neglecting others duties—fundamentally, education—where it can contribute significant value to the sector."

AgCLIR Senegal concluded that "national institutions charged with implementing agricultural and rural development policy were reported to have insufficient professional and administrative capacity to carry out their mandates." In addition, due to the approaching retirement of its most technically competent scientists and better development of communications and outreach of advances made in agricultural strategies and products, the ISRA needs more trained scientists on staff.

There is widespread dissatisfaction with agricultural education and training available in Senegal. The education, research, and development systems in Senegal are not yet conducive to a first rate agricultural sector. With a university and vocational curriculum that is said to be focused more on traditional agricultural development models than on agriculture as a modern business. The universities are said to be geared entirely toward scientific education, with no practical training. Furthermore, only a very small percentage of students are enrolled in agricultural disciplines and, aside from what is provided by NGO s, donors, and private companies, virtually no opportunities for continuing education or acquisition of new skills in agriculture exist. One large horticultural export company had to bring in professionals from France to train the staff at the local agriculture college in production and post-harvest handling techniques applicable to their operations. Training required for achievement of GlobalGAP or other certifications is also brought in from other countries, such as via the EU's Pesticide Initiative Program (PIP) program.

⁴ AgCLIR: Senegal—Commercial Legal and Institutional Diagnostic of Senegal's Agricultural Sector: Agenda for Action. September, 2009. Prepared by Booz Allen Hamilton for USAID BizCLIR Project. (<http://staging.bizclir.browsermedia.com/galleries/country-assessments/Senegal.pdf>)

The AgCLIR study recommended that Senegal create incentives for students to study agricultural-related fields in secondary and post-secondary settings and work with the private sector to ensure that current curriculum meets their current and future needs.

During the AgCLIR diagnostic, almost every state agency advised that the technical competency of staff members is at a high risk of disappearing with fluxes of older staff entering retirement in the nearing years. Several private companies also complained that graduates of higher education programs in Senegal, from the universities to the vocational schools, are often unprepared for entry-level work and need to be trained on the job. One foreign horticultural enterprise found that it had to provide nearly all the training for both skilled and semi-skilled staff needed to work on its farm and packhouse. Youth who are fortunate enough to receive higher learning typically study theory, but are usually not provided any field practice, whether they are headed for the agricultural, industrial, or service sector. Schools do not have materials to provide students with hands-on training experience, nor with land, equipment, or facilities to work on. This adds to the high cost of hiring youth and reduces professional effectiveness, notably in the public sector where on-the-job training is more lackluster than typically in the private industries.

Chiefly, quality controls imposed by large, developed markets, including SPS measures on agricultural products, serve as a major “nontariff barrier” facing Senegal’s exports. Existing laboratories, though improving, are perceived as not capable of testing and verifying product standards due to the lack of necessary technical information, equipment, and trained staff. Senegal needs significant investment in the institutional capacity and technical expertise of local and regional institutions that can carry out conformity assessments for product standards and production processes. Investment in relevant scientific educational opportunities at vocational schools, universities, and training centers is also necessary.

Table 1: AgCLIR Study Recommendations Relevant to Agricultural Education and Training

Recommendation: The vast majority of institutions visited as part of the AgCLIR diagnostic reported high attrition rates and a bubble of senior-level bureaucrats on the verge of retirement, without any real possibility of being replaced. The government needs a human resources strategy across every government office with a minimum of a 10-year timeline and a clear focus on staff replacement.	
<u>Short Term</u>	• Institute an immediate and government-wide review of human resource capacity, with a focus on near and longterm staffing needs. These reports should highlight key constraints to hiring, firing, and planning for future needs.
<u>Long Term</u>	• The government and donors need to undertake a long-term review of human resource expenditures and move resources to where they are most needed, including rural government offices.
Recommendation: Create incentives for students to study agriculture-related fields in secondary and post-secondary settings and work with the private sector to ensure that current curriculum meets their current and future needs.	
<u>Short Term</u>	• Do a thorough review of secondary and post-secondary education to identify curriculum gaps for the study of agribusiness management, food agro-industry, and agricultural science and production. • Compile a list of public and private sources of funding for potential support to current university structure with key focus on agribusiness management, food agro-industry, and agricultural science and production.
<u>Long Term</u>	• Link president's office, Ministry of Agriculture, and Ministry of High Education for consultations on educational needs during each budget formulation process at the beginning of each fiscal year; provide realistic and ambitious targets for creating a foundation of agro-entrepreneurs.

Weakness in the agricultural education and training system is not unique to Senegal. A 2007 World Bank review of agricultural education and training (AET) programs in Africa concluded that increased investment in AET is needed, if Africa is to raise its agricultural productivity and production. Key constraints typical to AET programs were: 1) declining enrolment and gender imbalance among students, 2) isolation and weak linkages to national priorities and institutions, 3) obsolete curricula with a focus on production rather than marketing and agribusiness, 4) staff shortages and 5) inadequate facilities and teaching methods. In addition to addressing these constraints, AET reforms need to strengthen post-graduate programs and develop political will for reforms and support for AET programs.

Eicher (2009) presents a strong case for building African scientific capacity in food and agriculture⁵. He notes the need for technological innovation to underpin increases in productivity and profitability of African agriculture and notes the fact that “borrowing technology” through spill-ins or adoption from other countries requires as much scientific capacity as developing technologies locally. Eicher notes that graduate-level training in agricultural sciences must be dramatically expanded and that much of the training should be provided in African institutions.

Following the period of major USAID investment in agricultural university development, USAID carried out a series of impact studies on ten of the university strengthening projects. In reflecting on the results of these studies, Hanson (1990) concluded from review of the “first generation” of agricultural university development projects that three policy factors affect a university's effectiveness in contributing to agricultural and rural development—its relationship to the Ministry of Agriculture, its autonomy and level

⁵ Eicher, Carl K.; 2009. “Building African Scientific Capacity in Food and Agriculture” in *Review of Business and Economics*. Vol. LIV.3. July-September 2009: 238-257.

of accountability, and the policymakers' vision of the role of the university⁶. None of these policy issues are easily resolved, but they likely remain true today and must be addressed in project design and implementation for any university development efforts. A tendency to strong conservatism and sense of institutional prestige make it difficult to reform university policies and structures.

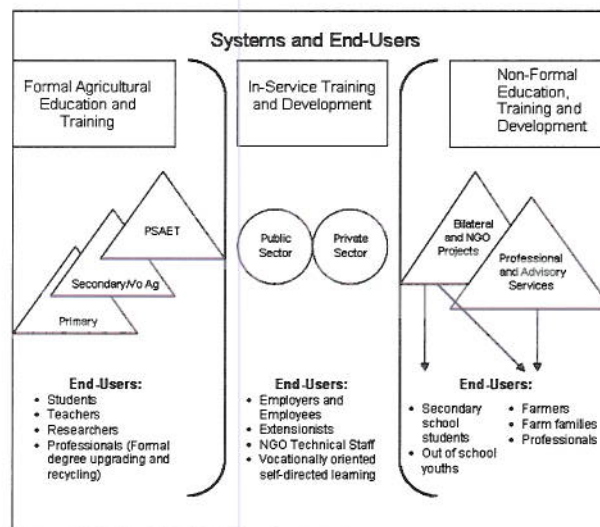
Hansen pointed out that, because of financial necessity and their relative accessibility, smaller agricultural universities may be more likely to pilot new roles, relationship, programs and linkages. An excessive focus on physical sciences and technology generation and transfer were reasons for universities failing to maximize their impacts on rural development. Social sciences, country institutions and policy reforms were often neglected by universities. Hansen notes that agricultural universities function best when they have strong links with the Ministry of Agriculture. He suggests that to be most effective universities must move to a "post-neoclassical" model embracing a mission of improving the wellbeing of rural people, become laboratories for learning and testing new strategies, guiding learning rather than passing on knowledge, and working across disciplines. Innovative leadership is essential and should promote greater linkages with communities, private sector and civil society in seeking solutions to national problems.

The agricultural education and training (AET) system is a subset of the overall agricultural innovation system. These training and education institutions too need to be viewed as a system, with multiple institutions, often public and private that provide the training and education to support the broad agricultural sector. One representation of the AET is presented in Figure 2. In agriculture, secondary and vocational training and non-formal education are often neglected.

Agricultural education is clearly critical for Senegal's future development. Over 70 percent of the country's population of 12.2 million is engaged either directly or indirectly in agriculture and agricultural production potential is substantial, including food crops, plantation crops, livestock, forestry/agro-forestry, and fisheries. Analysis of workforce needs in the sector is currently not available.⁷ A rough estimate, based on a rural population of 107,000 families; a need for four technicians or specialists in the public, private and civil society sectors per 100 families; and a thirty-year career would suggest need for training at least 340 graduates per year..

Agricultural curriculum needs to be strengthened at all four higher education institutions. Currently, only a few agricultural B.S. majors are being graduated from them. In strengthening existing programs attention needs to be given to increasing the practical training received by them. Demand for these graduates remains relatively strong in government and the NGO market. However, attention needs to be given to opening opportunities for employment in the private sector, particularly agribusiness. Further, attention needs to be given to opening opportunities for graduates to return to agricultural production as

Figure 2: Agricultural Education & Training System



Source: Rivera, 2008

⁶ Hansen, Gary E. 1990. *Beyond the Neoclassical University: Agricultural Higher Education in the Developing World—An Interpretive Essay*. AID Program Evaluation Report No. 20. USAID.

⁷ The ILO is reported to be in the process of developing a labor market analysis that should provide comprehensive information on workforce needs in key economic sectors.

well. It was evident that most students from rural areas viewed their college education as an “escape” from rural life.

3. National Agricultural Research System (NARS)

Developing countries, with donor support, began investing in capacity for agricultural research from the late 1950s and 1960s. Early investments were largely in “bricks and mortar”—with emphasis on establishing public-sector national agricultural research institutes (the NARIs). From the early 1980s, emphasis shifted to improving management of existing public-sector research institutes through greater autonomy and better planning, improved financial management, greater accountability, and greater attention to relevance of research its immediate clients, the farmers. From the 1990s, there was a further shift to towards building a more diverse national agricultural research systems (NARS) that incorporates a range of institutions involved with agricultural research and diverse funding mechanisms to foster competition and efficiency in the system.

The NARS concept grew out of the recognition that there are multiple institutions with interest and capacity to undertake agricultural research and that the NARIs faced numerous problems with financial sustainability and efficiency due to their status as government institutions (even when given a degree of autonomy). In moving from a NARI to a NARS focus, important additional participants in the research systems are:

- Universities, which often command access to well-trained human resources;
- Private companies, which seek to develop and sell technological products for profit;
- Agricultural research foundations, with varying degrees of private and public support;
- Farmer organizations and cooperatives, which may organize their own research or support research by other means; and
- NGOs, which often have capacity and interest in adaptive research.

The NARSs exist as a concept and not a defined organization. It is by nature complex with diverse participation in research funding and execution. Coordination is critical to promoting efficiency, which

along with sustainability is the rationale for research as a system. Ideally, the NARS is founded on a broad “vision” for research system development that encourages private-sector investment in R&D and enhances public-private partnerships. Universities are seen as a valuable but underutilized resource in most NARSs. Governments funding through competitive grants can be critical to mobilize underutilized resources, promote research partnerships, improve research quality, and move research resources toward agreed national priorities. And finally, NARS integration with global

Figure 2.1 Traditional view of a NARS

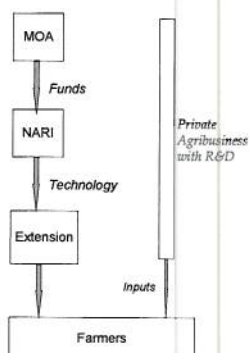


Figure 2.2 New perspective on NARSs

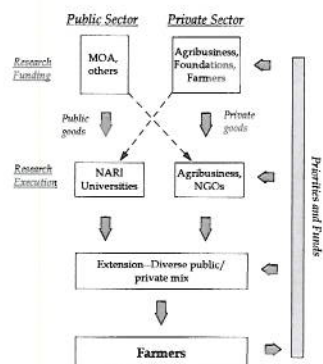


Figure 4: Changing Model for Agricultural Research

agricultural research institutions is important to tap the latest scientific knowledge at least cost through technology “spill-ins”.

Universities in NARSs

AET institution participation in research is largely, though not exclusively, based on university research. Training is the primary function of agricultural universities, but university faculty typically devotes about 25 percent of their time to research. Since about half of all developing-country agricultural scientists' work in universities, they represent an important part of the national research system⁸. Looking at research capacity on a systems basis highlights the greater importance of AET institutions to national agricultural research (World Bank 1998). Integration of universities into NARSs is enhanced by:

- Shifting more funding to competitive grants to tap university skills in research
- Developing collaborative research programs (for example, through a special fund) between NARIs and universities, especially in the common situation where these institutions are physically close
- Providing opportunities for staff exchanges, such as graduate students undertaking thesis research in the NARI and NARI scientists taking sabbatical leaves in universities
- Developing inter-linkages in governing bodies with representatives of universities sitting on governing boards of NARIs and vice versa
- Reducing donor support for foreign post-graduate training and channel this support to developing local university capacity in both undergraduate and post-graduate training. This change may begin with master's degree programs followed by general Ph.D. programs (for example, in plant breeding and agronomy).

At both the national government and university levels, improved mandates, strategies, policies, and structures are necessary for productive university involvement in research and extension programs.

National recognition of university research is important to define university roles and give programs legitimacy and visibility. A statement of national research priorities helps universities establish their own priorities and align them with national priorities, positioning themselves to attract government funding.

University research policy, strategy, and organization should be explicit to enable universities to effectively carry out research and extension functions. This often requires:

- A policy statement establishing research as legitimate faculty activities and establishing objectives for these programs.
- A university research strategy outlining research priorities and how research is linked to users, other research programs, and university education and extension programs.
- Incentive systems that reward client-oriented, collaborative research.
- A small management unit to facilitate research funding, execution, planning, monitoring, and evaluation.
- A budget for research with appropriate support for core programs, competitive grants, and/or essential infrastructure.

Improved linkages to clients will help to guide university research. Client input can be obtained by involving farmers and other stakeholder in financing and implementing extension and research programs and in serving on advisory committees and governing boards. And, importantly, publication of research findings promotes discipline in research and increases visibility of university programs. Equal incentives should be offered for locally-published, development-oriented research and for more academic work published internationally. Research publications can target different audiences. Mass media extension

⁸ World Bank. 1999. *Integrating Universities into National Agricultural Research and Extension Systems, Agricultural Knowledge and Information System Good Practice Note*.

programs in radio, magazine, TV, and other media draw on research and teaching capacities and enhance university reputations.

Investments in AET institution research may involve: competitive grants programs, research infrastructure development, core research program funding, postgraduate program development, and university linkage programs.

4. Competitive Grant Funding for Agricultural Research

Competitive grant funding for agricultural research has become common in recent years for various reasons. Competitive funding is seen as contributing to: increased efficiency due to the competitive process, facilitating participation of new institutions and researchers in agricultural research programs, promoting partnerships and research linkages, introducing discipline in research planning and reporting, promoting innovative approaches and openness to new ideas, disseminating information on research, facilitating funding from new sources and for new objectives, and (importantly) promoting research responsiveness to client and funding agency priorities. Competitive funds are seen as especially useful to integrating universities into research systems.

Competitive research programs have their disadvantages. They work best with institutional structures that have substantial management flexibility and independence from political and bureaucratic interference. They are usually not well suited to funding longer-term investments in research infrastructure or long-term research programs. They are not suited to small NARSSs, where there is limited capability to compete for awards. And they have substantial cost implications, both for managing a fund and for the researchers in preparing grant applications.

Operating of a competitive research grants program requires systems that are transparent, objective and efficient. Guidelines for such establishing and operating a competitive research grants program can be found at: <http://siteresources.worldbank.org/INTARD/825826-1111057872072/20431764/Crgp.pdf>.

The RFAAA in Senegal was established in part to integrate diverse institutions into the agricultural research system. Universities would be an important target for such funding, but it seems not to have been as successful as expected. Strengthening of university policies and procedures to facilitate research may be necessary for greater success in competing for competitive funding. And experience with competitive grant processes may open doors to university researchers to access RFAAA funding. The Recipient will need to assess operations of the RFAAA and determine appropriate actions to facilitate AET institution staff access to such funding. Reform or change of RFAAA procedures is not expected to be within the Recipient's manageable interest, but other USAID projects may be able to contribute to overall research system improvements.

ANNEX 2 – SENEGAL’S AGRICULTURAL SECTOR AND FOOD SECURITY STRATEGY

Agriculture plays a major role in Senegal’s economy with up to 70% of the population involved in the sector. However, the relatively strong economic growth of the recent past mostly bypassed the 64 percent of the active population that live in rural areas and depend on agriculture. In the mid-1990s, per capita agricultural output (mainly cereals and other staple food crops) and agro-food production fell sharply while cereal imports (rice and wheat essentially) rose dramatically from 28 to 93 kg per capita. Agriculture’s share of GDP fell from 16 percent in the early 1960s to less than 10 percent in the 2000s. In urban areas, the poverty level ranged from 44 to 59 percent in 2001, while ranging from 72 to 88 percent in rural areas.

Agriculture remains largely dominated by rain fed crops and extensive animal husbandry. Agricultural revenues stem from the production of millet and groundnuts on, respectively, 38 percent and 37 percent of the cultivated land. Irrigated agriculture accounts for less than five percent of arable land and irrigated areas are not used to their full potential. The livestock subsector is important and contributes about 7.5 percent to GDP (1998-2003 average). In 2003, the animal stock was estimated at three million head of cattle, 8.5 million sheep and goats, and more than 26 million chickens.

Recent years have seen some growth in horticulture exports, which were insignificant prior to the 1970s. By 2004, horticultural exports had increased to 14,000 tons. Studies show potential for expanding horticultural exports to 50,000 tons or more within a decade. Senegal has a favorable climate and is well-positioned geographically to supply both tropical products and off-season fruits and vegetables to Europe. Senegal could also explore new markets for medicinal plants and organic vegetables and could gain a much larger share in the West African market for products such as onions, potatoes and other vegetables. Sesame, cashews, hibiscus, and other niche products can be produced by resource-poor farmers and can have a significant impact on poverty reduction. Poultry has grown rapidly since 1990.

Groundnut and rain fed crops will continue to determine the pace of agricultural growth. Almost 50% of Senegal’s agriculture production is from either peanuts (30%) or fish (19%) yet both those value chains are plagued by low prices and yields or rely on an ever diminishing resource. Millet and beef are the next largest products produced, with 9% and 7% of the national production.

Because of low rainfall and decreased soil fertility, the rural poor have limited possibilities for subsistence farming. They depend largely on income from cash crops, principally groundnuts, from non-agricultural wages, and from remittances. Increasing agricultural productivity and production not only improves the situation of the rural poor, but should, in principle, also improve the situation of the urban poor through the provision of sufficient food at a lower cost.

Since 75 to 90 percent of Senegal’s economy operates in the informal sector, most agricultural enterprises are constrained from growing through access to credit, investment, and formal systems of assistance. Nor are they contributing, through taxes, to the state’s ability to improve conditions of education, infrastructure, productivity, food safety, and access to markets.

Senegal has a plethora of strategies and initiatives that touch on the agriculture sector. In a specific national response to food security concerns, the President of Senegal launched the Great Agricultural Offensive for Food and Abundance (GOANA) to “take up the challenge of food sovereignty, eliminate any risk of food shortage or famine, and produce for abundance.” This effort was complemented in April 2008 by President Wade through another initiative to address Senegal’s food insecurity by putting in place the *Stratégie Nationale de Sécurité Alimentaire* through the establishment of the *Programme National d’Appui à la Sécurité Alimentaire* (PNASA) within the Prime Minister’s office. The PNASA is

in conformity with the country's Poverty Reduction Strategy and the Millennium Development Goals for 2015. The PNASA is premised on two axes of intervention: increasing agricultural production and the monitoring, prevention and management of food security crises.

The GOS' Accelerated Growth Strategy (AGS) outlines Senegal's priorities for agriculture and highlights the sector's potential for contributing to national economic growth through value-added production, competitiveness, exports and employment generation. This strategy complements the promulgation of the 2004 *Loi d'Orientation Agro- Sylvo- Pastorale* (LOASP); the national *Plan de Retour Vers l'Agriculture* (REVA); and, at an international level, harmonizes with the *Union Economique et Monétaire Ouest Africaine* (UEMOA) and ECOWAS; *New Partnership for Africa's Development* (NEPAD); and the World Trade Organization (WTO).

Under the African Union (AU)/NEPAD initiative, Senegal is formulating an investment plan for the Comprehensive Africa Agriculture Development Programme (CAADP), focusing on economic growth through agriculturally-led development and meant to eliminate hunger, reduce poverty and food insecurity, and enable expansion of exports. CAADP efforts are consonant with planned USAID/Senegal efforts to increase food security, with five key CAADP strategic areas: (i) raising and sustaining performance in traditional and export markets; (ii) raising competitiveness and expanding trade in domestic and regional markets; (iii) creating partnerships and alliances for value chain enhancement; (iv) the integration of smallholder farmers and medium scale enterprises within the strategic approach, and (v) improving sector governance and the policy environment.

The CAADP investment plan will further strengthen and complement existing national food security and agriculture plans, such as those contained in GOANA and the Accelerated Growth Strategy. The core investment areas and affiliated activities, as described in that document, will assist Senegal to develop a unified approach for an improved, more efficient agriculture sector. It will also assist in coordinating programs and investments in-country, as well as with international donors.

The main planning agency for agriculture and for development of the CAADP investment plan is the Division of Strategic Planning and Monitoring (DAPS) within the Ministry of Agriculture. For the CAADP process, DAPS works with the Division of Cooperation under the Ministry of Foreign Affairs, as the CAADP is an initiative of the African Union. USAID/Senegal is providing assistance to DAPS in the development and implementation of a CAADP compact.

The preparation of a third Poverty Reduction Strategy for 2011-2015 for Senegal will start in 2010. This exercise will provide an opportunity to promote a unified vision and effort to improve the agriculture sector under Senegalese leadership. This process and those under CAADP solidify Senegalese leadership in the development of comprehensive plans for the agricultural sector.

The Recipient will not be directly responsible for assisting with future agricultural sector planning and policy reform efforts by the GOS, but will need to monitor the planning and reform processes and contribute to them, as appropriate. The Recipient will assist Senegalese partner institutions develop the capacity and institutional and individual linkages necessary to support and improve the government's planning processes.

ANNEX 3 – USAID/SENEGAL FOOD SECURITY AND ECONOMIC GROWTH STRATEGIES AND PAST INVESTMENTS

The CBAER Project will build on past and current investments by USAID in Senegalese agriculture, rural development, and natural resource management.

Past USAID Funding for Agriculture

USAID has provided substantial funding in the past to Senegal's agricultural sector. Much of this was during the period 1975-99, when USAID committed major resources to agriculture to promote food security. This helped to establish many of Senegal's key agricultural sector institutions and programs. Many scientists, planners and technicians were trained under those programs or spent much of their professional careers working in institutions and programs that USAID had supported. A reservoir of good will exists because of this and provides a base for CBAER Project's activities targeting human and institutional capacity building. The scale of past USAID investments in agricultural knowledge and information system-related activities, not including regional or global program funding is estimated at: \$36 million for research and \$46 million for extension and advisory services (both in current US dollars).

Current USAID/Senegal Agriculture and Rural Development Projects

On-going USAID/Senegal activities provide a sound base for scaling up investments to promote sustainable food security.

Since 2006, USAID/Senegal's Economic Growth Program's focus has been to develop markets that transform the agriculture and natural product industries into sustainable sources of wealth and job creation in Senegal. USAID achieved results by improving trade; developing value chains and policy reforms to improve the local business environment; promoting public-private partnerships (PPP), and improving local governance of natural resources. The Economic Growth Office (EGO) strategy statement is to "Increase Economic Growth through Trade and Natural Resource Management" including the agriculture sector. These objectives are implemented through two main projects.

- The *USAID/Economic Growth Project* plays a visible role in Senegal in reforming policies to improve the local business environment including policy reforms; improving performance of agriculture value chains; and developing public-private partnerships to increase private investment in public services. The project focuses mainly on export markets, but all but one of its targeted products are agricultural commodities.
- The *USAID/Agricultural and Natural Resource Management Project (Ag/NRM)* raises rural revenues from natural resources in a sustainable manner by developing local management plans. This project increases rural revenues through developing value chains for natural products and non-traditional agricultural products as well as by providing financial services to micro and small enterprises.
- USAID/Senegal also has loan guarantees under the *Development Credit Authority* with two local banks. The guarantee program will provide increased access to finance for food security-related initiatives by providing up to \$10 million in loan guarantees for economic sectors targeted by Senegal's Accelerated Growth Strategy which includes agriculture and agribusiness.
- Additional support is provided to International Crops Research Institute for the Semi-Arid Tropics (*ICRISAT*) to improve seed quality and supply.

The regional USAID Food for Peace office (FFP) and the Foreign Agriculture Service of USDA support a number of humanitarian programs to improve rural livelihoods. These include:

- Counterpart International works predominantly in the St. Louis and Matam regions along the Senegal River Valley with a school feeding program for 20,000 students, a maternal child health and nutrition program that directly affects 100,000 people and distributes food to approximately 15,000 vulnerable people and a HIV/AIDS component that distributes food to over 1,500 people.
- Counterpart International also has a Food for Progress program to build the capacity of farmer associations; improve agricultural marketing; and make microfinance more readily available.
- Africare supports production of rice, millet, sorghum, and corn as well as vegetables and fruits in the Kaolack and Tambacounda regions and will support community-based and private individual initiatives through a guarantee credit scheme supported by the National Agricultural Credit Fund.
- National Cooperative Business Association (NCBA) will increase food security in rural Senegal by developing the millet value chain, promoting millet as a nutritious, affordable alternative cereal
- International Relief and Development will increase rural incomes through value-added improvements to cashew production, marketing, and processing in the Gambia River Basin.

Potential Future USAID/Senegal Agriculture and Food Security Investments

USAID/Senegal's core investments in an expanded food security program are expected to produce results in the following core areas. Mechanisms and detailed plans are not completed and approaches and specific activities may change, but the following potential activities may serve as a guide to the areas in which the CBAER Project should focus in building human and institutional capacity for the agricultural sector.

Increased Agricultural Productivity: USAID/Senegal will support development of fundamental capacity of partner institutions to increase food production, food security, agricultural competitiveness and rural wealth in Senegal. The program may build the capacity of Senegal's Institute for Agricultural Research (ISRA) and the private sector in seed research, multiplication, sales and storage of seed stock to increase the availability of certified seed varieties. Programs may introduce certified seed and new varieties, making these available to very poor farmers. Other programs may improve livestock productivity and ongoing GOS livestock artificial insemination programs to support pastoral populations. Support to GOS and private sector applied research programs may assist in dissemination of new technologies and in rural farmer education through direct links with institutes of higher education, ISRA, farmer training schools and regional training centers. Assistance may enable key government agencies to provide support to the private sector and rural populations.

Producer organizations and associations of targeted commodity value chains may receive training on business operations, marketing, and production techniques. Strengthening capacity of the Food Technology Institute may enable it to assist local firms in agro-processing; developing market linkages between producers and private sector for distribution, processing and storage; and improving the grading and packaging of agricultural and food products for regional trade. Assistance to the GOS crop protection services may improve sanitary and phyto-sanitary services and oversight for selected value chains critical to increasing demand for agricultural products and trade. Work with the private sector and other organization may increase demand for locally grown agricultural products through communications and marketing campaigns.

Since improved water management is a key issue in increasing agricultural productivity, support for irrigation development throughout the country, with emphasis on the southern areas of Senegal, may improve on-farm productivity. Work with the GOS and farmer organizations may improve natural resource management to increase soil fertility and create wealth from forest and fishery resources.

Sound agricultural policy is key to increased agricultural productivity. USAID/Senegal may therefore assist the GOS planning and statistical analysis unit to improve collection, analysis and sharing of agricultural data and provide policy analysis to decision makers. Additional investments in policies and programs for improving access to land and land tenure security may be a critical underpinning to future productivity increases.

USAID/Senegal may support improved technology and input development, producer organization capacity strengthening, improved natural resources management, irrigation sector development, and technical and management capacity building within GOS technical agencies. The main staple foods to be focused on under this initiative include rice, maize, sorghum, millet, and livestock. Value chains of other food products may be developed to increase food security and incomes depending on market opportunities including: cowpeas, fonio, dairy, oil crops such as sesame or peanut, fresh fruits and vegetables including okra, natural products and selected fish products.

Promote Sound Market Based Principles for Agriculture: Agricultural market development and the creation of a sound business environment for agro-business to flourish are necessary for a private sector led expansion of the agricultural sector in Senegal will be vital for success. USAID/Senegal investments will seek to reduce distortions, promote competition and promote sound market-based principles by assisting organizations to develop and implement sound agriculture and food strategies. It may improve the quality and availability of agriculture, nutrition and food security data by assisting Senegalese institutions to harmonize data collection approaches including the development of early warning systems making full use of modern information technologies. Assistance will enable the GOS to implement key policy reforms to improve the policy and regulatory environment for agriculture, food security and land use. Public-private partnerships may scale up and coordinate investments and assist in the building the capacity of producer organizations in business management and access to markets. Domestic Resource Cost analyses or other similar methodologies will be used to assess the competitiveness of selected value chains and the impact of their improvement on foreign exchange resource. USAID/Senegal will support the GOS to expedite full implementation of the CAADP and as a member of Economic Community of West African States (ECOWAS) to address food prices through regional policies that reduce taxes, tariffs, and corruption.

USAID will help to reduce market distortions, promote competition and promote sound market-based principles in Senegal by assisting Senegalese and regional organizations, implementing sound agriculture and food strategies, and developing appropriate food security-related contingency plans. Public-private partnerships may be mobilized to scale up and coordinate investments and policy reforms to improve the business environment under which agriculture is conducted.

Reduce Trade and Transport Barriers: The barriers to trade often are the greatest at local and regional borders. USAID/Senegal will promote better regional integration to provide increasing market access and expanded employment and trade opportunities within the region for farmers and the private sector, including the ultra poor. The program may support agricultural value chain development of major staple foods such as rice, maize, millet, fonio, cowpeas, sesame, sorghum, dairy, livestock and other local food products; and high value crops such as cashews, mangos, hibiscus, okra and gums. USAID/Senegal may promote expansion of new multi-partner value chain alliances; and promote public-private partnerships in

selected value chains, identifying key areas where the ultra poor have no access to markets and include these in value chain targeting.

To improve regional integration and trade, USAID/Senegal may finance rural roads that increase access to main production sites and key trade and transport corridors, develop warehouses and cold storage distribution systems, and alleviate port and borders bottlenecks. Support for efficiencies in security and customs inspections along transport corridors may ease movement of goods along the corridors. The main emphasis may be on the Dakar/Bamako corridor and other sub-regional corridors linking Senegal to Guinea Bissau and the Gambia. Analysis of priority feeder roads will help to identify those needed to improve access to markets, in particular feeder roads that are adjacent to the investments the MCC may be making in road infrastructure.

Since credit and financial instruments are critical to expanding trade, USAID/Senegal may seek to improve access to capital and investment by agricultural producer organizations and small and medium enterprises (SMEs) by establishing a warehouse receipt system and increasing private funding to agriculture. Work with local banks may increase availability of banking services to rural populations through mobile banking and improved banking services.

USAID/Senegal investments may seek to increase regional trade in food staples by improving the operation of key regional trade and transport corridors, improving market structures and trading platforms, developing important agricultural value-chains, increasing financial resources for agro-entrepreneurs, and improving regional trade policies.

Accelerate the Participation of the Ultra Poor in Rural Growth: The Poverty Reduction Strategy Paper (*Document de Strategie de Réduction de la Pauvreté* – DSRP II designed in 2006 forms the basis for the GOS's policy to reduce poverty. The DSRP II provides baseline information on poverty incidence for both households and individuals, and per region. Rural areas are more affected than urban areas, and women are poorer than men. It is estimated that 23% out 65% of poor households surveyed are ultra poor. Poverty is also associated with the size of the household and the level of education of the household head. Poor households are bigger (more than ten people) and their heads of household are generally illiterate.

Using a gender sensitive approach, USAID will focus on promoting access of the rural ultra poor to land, agricultural inputs, tools, micro-credit, training, markets and participation in the rural economy by increasing agro-business capacity to promote trade and jobs as well as focusing on value chains that provide easy access to food and markets for the more vulnerable populations. A gender analysis planned for agricultural activities will help identify the gender aspects of the ultra poor so that programs are appropriately targeted. The GFSR will increase accessibility to agricultural inputs, tools and micro-credit of these poor target population as well as providing training and mentoring on inputs, tools and agricultural practices.

Certain commodities are traditionally handled by poorer populations, USAID/Senegal may promote natural product value chains that have proven to be most beneficial to the ultra poor including women headed households, youth and the elderly. Work with agro-pastoral groups may improve animal health and nutrition to enhance household livestock assets. Support for introduction of marketable crops that mature during the agricultural off-season and the additional of another cropping season through small-scale irrigation may help to increase both food production and off farm employment.

Identifying and targeting the most vulnerable districts will enable programs to focus activities on vulnerable groups, increasing their access to markets, increasing their access and appreciation of the benefits of new technologies, facilitating their access to inputs, and raising their awareness of the

importance of a diversified diet to improve nutrition, especially for children and pregnant women. USAID/Senegal may promote the access of the rural poor to markets and participants in the rural economy by increasing agro-business capacity to promote trade and jobs and by focusing on value chains that provide easy access to food and markets for the more vulnerable populations.

Reduce Under-Nutrition: A 2005 Demographic Health Survey (DHS) found that 16 percent of children under five suffer from stunted growth due to malnutrition. The two main causes of child malnutrition are lack of proteins and micronutrients. An existing Strategic Plan to Fortify Foods with Micronutrients in Senegal seeks to implement the GOS Policy on Nutrition and Development (revised in 2005 to incorporate Millennium Development Goals) within the framework of the Poverty Reduction Strategy.

USAID/Senegal will seek to improve nutritional status of the ultra poor by supporting nutritional programs and education about nutritional foods. Through the US Peace Corps and local Non-Governmental Organizations (NGOs) and community-based organizations, assistance to vulnerable populations may support intensive production of nutritious crops; provide nutrition training to school children; demonstrate the use and preparation of local, nutritious foods; and to develop school and community gardens. GOS and NGOs communications and marketing campaigns may promote good nutrition and the use of locally grown nutritious foods.

Capacity Building: Underpinning USAID/Senegal investments in food security will be an emphasis on local capacity building. This will consist of the CBAER Project to be funded through this RFA and a cross-cutting element of capacity development embedded in other activities. An institutional capacity building needs assessment will identify needs in key GOS ministries, training centers, and agricultural research centers. This assessment will identify priority capacity building to be addressed by the GOS with USAID and other donor support and will assist in identifying key individuals to receive training in specific training subjects. The Recipient will need to remain flexible and should be responsive to evolving needs and opportunities to collaborate with other projects in building sustainable capacity of Senegalese institutions.

USAID may build the capacity of four Senegalese universities, two rural agriculture research centers and up to five training centers to improve the delivery of training and improved technologies. Training mechanisms may include long-term and short-term technical training in the US and other countries, improved curricula in national institutions of higher learning (such as for value chain analysis), training-of-trainer programs and farmer-to-farmer schools and exchanges. Senegal has a network of 17 training centers throughout the country. Five of these training centers may be equipped and made functional in 2010. More than 100 mid to high level technical government and private sector officials will be trained in 2010.

ANNEX 4 – AGRICULTURAL EDUCATION AND TRAINING INSTITUTIONS

The agricultural education and training system in Senegal is fairly complex with a substantial number of institutions with separate specializations. These have been in some flux with some mergers and reforms. The system includes: national higher education centers for BS/BA level training, higher education professional schools for MSc/PhD level training, and a network of regional training centers.

National Higher Education Centers: There are four national higher education centers or Centres Nationaux de Formation des Techniciens de l'Agriculture. There is one for agriculture in Bambey, one for horticulture at Bignona in the South in Ziguinchor), one for animal sciences at Saint Louis, and one for water and forests at Ziguinchor.

National higher education professional schools: National higher education professional schools ("écoles nationales") provide an important part of the agricultural post-secondary education. The four national higher education schools are:

- **École Nationale des Sciences de l'Agriculture (ENSA)** at Thiès (one hour from Dakar) has been integrated into the Université de Thiès:

ENSA was created in 1981 under the name of National Institute of Rural Development (INDR) and inaugurated in 1983. In 1991 the name changed to École Nationale des Sciences de l'Agriculture (ENSA) and coincided with the Senegalese government plan to better establish an agricultural training adapted to the African context.

Since 2006, ENSA has been an agricultural division of the University of Thiès. The overall objective of ENSA is to train engineers in the field of life sciences to understand all scientific, technical, socio-economic, human and cultural rights to make decisions in a changing environment. The following fields are trained at ENSA: Crop production (PV); Animal production (PA); Rural Economy (ER); Agricultural Engineering (GR); Production forest (PF).

ENSA's Mission is to:

- Train managers and supervisors in the field of agronomy for the state, regional authorities, public institutions, producer organizations, NGOs and the private sector.
 - Conduct applied research on topics relevant demand-driven
 - Provide continuous training and refresher courses
 - Support boards, Studies and Consultations
 - Provide expertise to private sector companies
- **École Nationale d'Economie Appliquée (ENEA)** at Dakar plays an important role in agricultural economics, policy analysis, and rural social sciences.

Founded in Dakar in 1963, the ENEA is an institution of higher education in Senegal that aims to train managers of development.

The goal of ENEA is to train planners in the College Planning, cooperators in the College of the Cooperation, the leaders in the School of Animation, forest managers in the College of Land Management.

Since September 2009, the Ecole Nationale d'Economie Appliquée is now called the Superior School of Applied Economics (ESEA). The name change occurred in a context of general transformation of the institution's connection to the University Cheikh Anta Diop.

- **École Nationale des Cadres Ruraux (ENCR)** at Bambey (three hours from Dakar) was upgraded to National Higher Education Professional School status about two years ago and is now a part of the Centre Universitaire of Bambey

ENCR conducts training in agricultural enterprise management using commercial case studies. The exposure to commercial concerns helps students develop skills and knowledge which are valued by industry, thereby enhancing their chances of future employment.

- **École Inter-Etats de Médecine et Sciences Vétérinaires (EISMV)** Inter-State School of Veterinary Sciences and Medicine of Dakar- is part of the Université Cheikh Anta Diop.

The “EISMV” is a school veterinarian based in Dakar (Senegal). EISMV is currently composed of 14 Member States participating in its operating budget: Benin, Burkina Faso, Cameroon, Côte d'Ivoire, Congo, Gabon, Mauritania, Niger, Central African Republic, Rwanda, Senegal, Chad, Togo and Mali. The school has a dual mission of teaching and research. It offers higher education that consists of essential knowledge for all veterinarians: health and livestock production, conservation and exploitation of animals, animal husbandry, hygiene, medicine, surgery and pharmacy for pets, as well as control and use of animal products, including fishery products. EISMV also offers continuing education and postgraduate courses.

Regional Training Centers: Senegal has a network of 17 training centers throughout the country. Five of these training centers may be equipped and made functional in 2010.

Universities: In Senegal education is subsidized, with government covering a major portion of university budgets. Increasing enrollments without proportional increases in funding threaten the quality of university education programs. The university level training in agricultural-related fields is provided by four universities:

Université de Thies – UThies was recently formed by combining several separate institutions of higher education in the region east of Dakar. Among those institutions were the Superior National School of Agriculture (ENSA) and a three year program in forestry at Bambey. Together they represent the traditional agricultural program in Senegal. The instruction program focuses on crop production, livestock production, agricultural economics and rural sociology, and agricultural engineering. It graduated an average of 15 B.S. majors from 1987-2008.⁹ Its research program is applied and includes the integrated management of pests, vegetable seed breeding and production, forages, cotton, animal nutrition, ostrich production and *jatropha* production. It has 23 full time staff, including 12 in crop sciences, 4 in animal sciences, 3 in agricultural economics, 2 in agricultural engineering and one in forestry, in addition to the principal administrator. The UThies-ENSA campus suffers from a lack of investments in infrastructure. Classrooms and research labs are in need of rehabilitation as are livestock and crop research facilities. Power for electricity is lacking and the campus is without electricity much of the time. This limits research and teaching capacity. The agricultural program appears to suffer from a lack of vision and effective leadership.

⁹ Thies/ENSA, *Catalogue des Mémoires de Fin d'étude des Elève Ingénieurs de 1987 à 2008*, Juillet, 2009.

UTHies is recognized as the institution with a traditional undergraduate degree in agriculture. It incorporated the National College of Higher Agricultural Education (ENSA) several years ago. ENSA has graduated on average 15 students per year over the past two decades. These graduates have found employment with the government as well as with NGOs. Because ENSA has a strong cadre of staff in the traditional agricultural sciences, it may be appropriate to emphasize strengthening of these programs.

- Animal Production - The Animal Production program has a heavy focus on application and specialization in ruminants and small non-ruminants. It may expand to include a Wildlife Management.
- Crop Production – The Crop Sciences program needs strengthening with focus on crop production and plant protection.
- Forestry - A recent merger of the Bambey campus with UThies allows for focus on Forestry located on the Bambey campus. This should also consider attention to strengthening the program in Park Management.

The agricultural programs at UThies have benefited less from active leadership than have other universities. Relatively less attention has been given to development of a strong vision for the program, and it has suffered from relative lack of funding from government agencies. Thus, this program may need inputs in leadership and management capacity development, perhaps akin to the numerous leadership programs offered to institutions in the U.S. land-grant university system.

Université Gaston Berger – UGB was the second university to be created in Senegal. It initiated its first class of 600 students in 1990. It has recently initiated a College of Agricultural Science, Aquaculture and Food Technology which complements programs in economics and business and applied science and technology. It has a well developed infrastructure in communication and information technology that supports its teaching and research programs. The university has evolved a strong program of application to address problems in the Saint Louis region. It includes an applied agricultural farm where apply concepts and techniques taught in the classroom. In 2006-07, the number of students enrolled at UGB was 4447 and the number of teaching and research faculty was 196.¹⁰ The Faculty of Business Management has 18 and the Faculty of Science and Technology has 36 teaching and research staff. The university administration has resisted pressures from the government to increase student enrollment without a concomitant allocation of additional resources for infrastructure and teaching staff. It has set a goal to reduce its reliance on government funds by 50% in the short-term.

UGB has been experimenting with several new programs in the agricultural sciences that include a strong practical component. These programs are focused on application and production, and include a strong component of farm management.

- B.S. in Agricultural Sciences, Aquaculture and Food Technology – This program produces undergraduates in three core areas. Agricultural student education includes use of farms collaboratively operated with local communities as well as the university farm.
- Food Technology – Currently, there is no applied food technology program at any of the universities in Senegal, but some attention is given to it by UCAD, largely for up-stream processing technology. As the production of high value fruits and vegetables increases, there will be need for greater attention to processing. Currently, fruits and vegetables enter the market as fresh products, but as fresh markets become saturated, processing and storage will become more important. UGB can play an important role in stimulating development of food processing industries as well as providing them with appropriate market ready employees. Development of this program would be greatly strengthened by inputs from ITA.

¹⁰ Université Gaston Berger, Rapport General 2007 de L'UGB.

- Pre-B.S. Degree Programs – There is a dearth of technically trained individuals for production oriented activities. B.S. degree graduates may not be inclined to take these jobs and may lack practical skills. In recognition of this need for technical training, akin to community college or A.S. programs in the U.S., UGB has initiated, with assistance from the University of Barcelona, an 18 month certificate degree program focusing on production of high value vegetable crops. This program provides graduates with land and initial capital to initiate small farm production of these crops after graduation. Students learn production techniques as well as farm management tools, such as basic cost benefit analysis. Attention should be given to monitoring post-graduate success of these students as well as continuation of the program and development of an A.S. degree in agronomy.

Université Cheikh Anta Diop – UCAD is arguably the strongest university in West Africa. Formed by the French in 1957, it was initially attached to the Universities of Paris and Bordeaux. It produced most of the post-independence leaders of West Africa. It has greatly increased its enrollment over the years from 1018 students in 1960 to over 56,000 students today. In 2006, UCAD employed 1,110 Professor-Researchers, 1153 administrative personnel and had almost 5000 doctoral students.¹¹ The latter – École Inter-Etats de Médecine et Sciences Vétérinaires – is an interstate school that serves students from various francophone countries in West Africa. UCAD has very strong programs in the basic sciences, such as genetics, biology, plant biology and animal biology. It has relatively recently committed itself to develop more applied programs of research and study, such as a B.S. programs in Agriculture and Entrepreneurship and an M.S. program in Sustainable Management of Horticultural Agro-Ecosystems. It also has a strong program in Fisheries and Aquaculture. Top priorities for investment at UCAD are in infrastructure and include a Center for Measurement, a rural campus designated primarily to agriculture, and a business center incubator. Among agricultural programs, the university has committed itself to freshwater and marine fisheries and the application of biological sciences to agricultural production. Student number increases have put enormous strains on the existing infrastructure, but programs offered remain of very high quality.

UCAD has strong programs in the basic sciences that serve as the foundation for applied agricultural sciences. The university is attempting to incorporate more applied learning into its degree training programs. In this regards, it has dedicated land on its campus to an agricultural farm and proposes to open its UCAD Rurale Center.

- Agriculture and Entrepreneurship B.S. Degree - Support for the UCAD Rural Center may be an important component to efforts to strengthen the applied efforts. This program is currently using the small campus based farm to give students practical experiences. However, it does not engage students with real conditions faced by farmers in their communities. This B.S. program merits further support because of its relationship with the basic sciences and because of the need to produce more graduates for the market. The program has recently admitted 20 students.
- Fisheries and Aquaculture – UCAD has a strong program in fisheries and aquaculture and currently offers an M.S. degree. Consideration should be given to strengthening the B.S. degree in fisheries and aquaculture. UCAD has good relationships with the ISRA program in Oceanography and this relationship can be used to strengthen these programs
- Agricultural Policy – While none of the universities currently has a program dealing directly with agricultural policy, UCAD has strong programs in economics and law and is located near the government agencies and legislature that have these programs as a mandate. Given the emphasis currently being given to development of export markets, the need for attention to land tenure, agricultural credit, and other agricultural related topics, development of a program to increase

¹¹ “Dossier Potentiel Scientifique et Technique et production scientifique de l’UCAD.” *Interface*, No. 03, Septembre-octobre, 2006.

capacity in this area would seem warranted. If pursued, strengthening linkages with the ISRA Bureau of Macro-Economics would be advisable. ISRA can help strengthen the applied research and teaching dimensions of such a program.

University of Ziguinchor – UZ, a fourth university located in the Casamance region, was established in 2007. UZ has some agro-forestry courses, but apparently relatively little agriculture and rural development focus.

Distance education and Communication Technology: Communication systems at the universities are at varying levels of maturity. The most sophisticated system is that found on the UGB campus. Its broadband network capacity is being used extensively to undertake distance education. The existing network accommodates such innovative projects as the Pan African Alliance of Universities, where approximately twelve universities have agreed on a set of courses that can be taken by students from any member institution. The system also has capacity for additional courses which may be customized. It provides a medium through which these universities may offer a joint online degree program. UGB administrators indicated that the campus is the central home of the government's network, which provides appropriate maintenance and upgrade functions.

The network at UCAD has also been well-developed, although it has limitations. Faculty in the area of Information Technology indicated that there is an internal network with a ring configuration, based on a Cisco Systems platform. This is a high performance system for internal functions, but is not likely to be sufficient to sustain a larger network that connects multiple large-scale external clients on the servers.

The network at the University of Thies appears to be basic at best. The challenge of a lack of a consistent supply of electrical power to the main campus automatically limits the type of system that is currently in place. Faculty indicated that the main office and several key areas of the campus, such as the library, have internet connections, but those connections are not broadband. The faculty also stated that the closest broadband connection is in the city of Thies, approximately five kilometers from the main campus.

Fiber optic cabling has been installed in locations across the country that can result in the provision of broadband access to the entire nation. The feasibility of connecting all national universities through one centralized network should be considered, with perhaps leadership being provided by the UGB campus. In developing this infrastructure, attention should be given to existing national networks, alternative systems, and alternative vendors, in order to determine the best match based on needs of the universities, government regulations, network specifications, and existing contractual relationships, in addition to the cost of installation. This system might also be used to link the national research institutions with the universities to encourage higher levels of information and technology sharing.

ANNEX 5 – AGRICULTURAL RESEARCH AND INNOVATION

Senegal has had substantial research capacity in the Senegalese Institute for Agricultural Research (ISRA) and the Institute for Food Technology (ITA) (AgCLIR 2009). The research staff is considered among the most highly-qualified in Africa and the country rates highly in average expenditure per researcher. Still, much scientific and technical support must come from outside the country at significantly increased cost, because:

- Public funding for agricultural research is insufficient and well below levels of the 1980s
- Research institutions are losing well-qualified staff to the private sector and will soon see a major exodus of retirees, but have no plans in place for replacing them
- Both public and private sector institutions lack capacity to scale up programs and achieve national level impacts.

Senegalese Agricultural Research Institute (ISRA) – ISRA was established in 1974 with a mission to (a) develop and conduct of agricultural research (crops, livestock, forestry, fisheries and socio-economics); (b) train researchers, technicians, framers and students and supporting them in their various activities as appropriate; and (c) collaborate with national and international scientific and development agencies. In addition ISRA provides support to investors in agriculture by offering project design, appraisal and supervision services.

ISRA has about 480 staff with about 100 researchers and assistant researchers. It has an extensive infrastructure consisting of (a) five regional research centers; (b) five national research laboratories; (c) three research and production units; (d) one Consulting Bureau; and (e) thirty-three stations – multi-location experimental plots. Over the years ISRA and the universities have developed and implemented a number of collaborative mechanisms. The principal forms are:

- lectures by ISRA staff in university programs. Examples of this collaboration are cited by many universities and ISRA branch units and appear to be highly appreciated by ISRA and the universities.
- ISRA scientists hosting university graduate students in their laboratories and experimental plots during thesis research. Master and Doctoral research topics often fit into ISRA research programs and can be jointly supervised by university faculty and an ISRA scientist.
- joint applied research projects conducted by ISRA scientists and university staff takes place, but may not be very extensive.

Collaborative research between ISRA and university staff is not as extensive as it should be. University staff complains about lack of collaboration from ISRA staff - problems with joint use of equipment and vehicles, lack of fair access to competitive funds controlled by ISRA, etc., while ISRA staff complain about university staff being too interested in upstream research with insufficient acknowledgement to the validity of their applied research. There may also be some jealousy and resentment, because of the vast discrepancy in salaries reported with university staff salaries considerably higher than those of ISRA staff with the same basic qualifications.

Institute of Food Technology (ITA) - ITA is a public institution working in food and nutrition development research. It was created in 1963 and received strong support from FAO assistance from 1968 to 1974 in the form of basic infrastructure, such as laboratories and pilot plants, equipment and expert staff. Important support was also provided by the Canadian International Development Agency

(CIDA) between 1994 and 1998, during which time the institute was reorganized and refinanced. Since then it has been funded mainly by the Senegalese Government as a Public Scientific and technology Institute under the Industry Ministry. The mission of ITA is to:

- guide and coordinate research and studies concerning the treatment, the transformation, the conditioning, the conservation and the use of local foodstuffs, mainly to promote the installation of corresponding industries;
- develop new food products derived from the local agricultural produce which have good nutritive value and are adapted to the need of local consumer needs;
- assist with the quality control of foodstuffs at production, marketing, import and export phases;
- participate in the training of food technologists.

The Institute also conducts food processing studies (economic and technical surveys) for investors. It has about eighty staff including twenty senior researchers and twenty other high level assistants. Its infrastructure consists of food processing plants for cereals, legumes, fruits, vegetables, milk, fish and meat, four modern food quality control laboratories – chemistry, microbiology, mycotoxins, and phytosanitary analysis, two conference rooms, full internet, vehicles and other support access, vehicles.

ITA has a wide range of collaborators including the Standards Association, ISRA, universities, private sector industries and bilateral and multilateral international organizations. Its research activities are guided by a 5-year strategic plan. ITA collaborates with universities on the same basis as does ISRA. ITA staff gives lectures in university courses and ITA's host's university student thesis research at their facilities and participates in joint research with universities. ITA joint research with universities is more extensive than ISRA's. ITA and ISRA have a strong collaborative program with joint planning, budgeting and task assignments for specific post-harvest research activities.

ANNEX 6 – GLOBAL DEVELOPMENT ALLIANCE

USAID seeks to leverage private resource flows through the Global Development Alliance (GDA). GDA is a public-private partnership model that allows USAID to leverage resources from private sector and partners and to use those assets in a way that benefits the business interests of the resource partner while furthering the goals of the USAID Mission. A GDA meets the following criteria:

- At least 1:1 leverage (in cash and in-kind) of USAID resources;
- Common goal defined for all partners;
- Jointly-defined solution to a social or economic development problem;
- Non-traditional resource partners (companies, foundations, etc.);
- Shared resources, risks and results, with a preference for increased impact; and
- Innovative, sustainable approaches to development.

For more information on the GDA, please visit: http://www.usaid.gov/our_work/global_partnerships/gda/

Applicants are encouraged to seek to leverage additional resources from the private sector in the CBAER Program through the establishment of GDAs. Applicants shall include in their applications a comprehensive approach to private sector engagement that includes the following:

- Understanding of the need for GDA and potential private sector partnership opportunities in this Program and how potential partnerships will contribute to Program objectives/results and to the business interests of potential partners;
- Approach for private sector partner engagement, with a focus on innovative approaches and sustainable development outcomes and a detailed explanation of how partnerships, including leveraged funds, will be solicited, established, and managed;
- Measurable indicators and targets that will determine success;
- Experience building and managing GDAs or other public-private alliances, and achievement of concrete results from previous partnerships.

Applicants are encouraged to define innovative, practical approaches to using these resources to promote Program objectives. We have established a target ratio for leverage of 1:1. Leveraged resources obtained through partnerships may free up funding for other purposes within this statement of work/program description or allow for expanded program implementation.

Any partnership commitments undertaken by the implementer(s) during the course of the Program will be subject to USAID review and approval. Any post-award changes to the cost or program budget will also be subject to USAID approval.

Applicants should not approach Resource Partners or request any letter of commitment until the Program has been awarded. Resource partners unfamiliar with the USAID acquisition and assistance process may be confused and frustrated by multiple applicant/proposal requests. This may damage the relationship between USAID, the Applicant and the partners after the award has been made. A sound GDA strategy and approach is all that is required for the proposal.

Recipients may identify GDA opportunities and develop agreements after award of the Cooperative Agreement. This may allow greater opportunity for participating Senegalese institutions to play a role in designing the GDA activities. Applicants may incorporate strategies and plans for GDA development into their applications and develop these after award.

Commonly asked questions about GDAs are as follow:

What is a Global Development Alliance?

The Global Development Alliance (GDA) is an innovative public-private alliance model for improving social and economic conditions in developing countries. The GDA combines the assets and experience of strategic partners, leveraging their capital and investments, creativity and access to markets to solve complex problems facing government, business, and communities. This approach to partnership relies on the overlapping interests of the U.S. Government's strategic objectives for foreign assistance and the core business goals of industry.

Why does the private sector partner?

As the web of economic exchange between the developing and developed world continues to expand, private sector organizations find that their health is increasingly dependent upon the prosperity of the countries they work in. Companies recognize that USAID projects can help them find solutions to business challenges such as how to solve supply chain gaps and improve the quality of their labor force. Consequently, firms play a progressively greater role in conceiving, financing, and implementing solutions to development problems.

While companies may have different reasons for their interest in development projects, where the interests match up with USAID there is great potential for teamwork. For example, to expand its market, The Coca-Cola Company needs clean water, because each liter of Coke requires three liters of clean water. Meanwhile, USAID has prioritized water purification projects to reduce poverty and improve the health of individuals in countries around the world. The Coca-Cola Company and USAID have teamed up in the Water and Development Alliance. Today, more than quarter of a million people now has access to clean water because of Coke teaming up with USAID.

A company's corporate spirit of altruism and community service also remains to be an important driver of engagement with USAID. Companies interested in development projects as a part of its social responsibility initiative benefit from USAID's extensive overseas presence, experience in development, and its in-country networks, resources, and access.

Why does USAID partner?

When 75 percent of the U.S. resource flows to the developing world originate in the private sector, USAID recognized that it may not be the "majority stakeholder" in the alliances it forged. To keep up with the new realities of development assistance, in which the private sector plays an increasingly important role, USAID has welcomed nontraditional partners as equals in development projects because it just makes sense.

Each partner contributes its own unique set of skills and resources to collaborate on jointly defined development challenges, achieving a solution that neither actor could solve alone. As a result, alliances between USAID and the private sector have greater, more sustainable impact. At the same time, alliances provide a safe mechanism where partners pool risk and resources for mutual benefit and reward.

What are the guiding principles of an alliance?

Alliances between USAID and the private sector are based on seven key principles:

- **Trust:** Trust is an essential foundation enabling partners to work together despite individual alliance organizations' differing interest, motivations, cultures, values, and infrastructures. Trust

is also fundamental to building a fruitful relationship with communities an alliances is trying to work with or in.

- **Equity:** Equity implies that each partner is equally welcome and important to an alliance. Global Development Alliances are created on the precept that each partner is of equal value to an alliance.
- **Competencies:** It is necessary to identify, build, and maximize the appropriate competencies according to the alliance's goals and mission. There must be an appropriate competency mix in the partner organizations and individuals to achieve the partnership's goals and interests.
- **Inclusivity:** Inclusivity concerns the ability for an alliance to process the views and needs of its stakeholders -- those groups who affect and/or affected by the alliance and its activities -- and to reflect on these expectations at all evolutionary stages of the alliance.
- **Partnership Alignment:** Each partner should come together to jointly define an alliance's objectives according to overlapping interests and agendas.
- **Mutual Benefit:** Healthy alliances will work toward achieving specific benefits for each partner over and above the common benefits to all partners. If each partner in an alliance is expected to contribute to the alliance, they should also be entitled to benefit from it.
- **Transparency:** Openness and honesty in working relationships are a pre-condition of trust. In order to build trust, there must be full, accurate, and timely disclosure of information and communication on a regular basis.

Who are potential alliance partners?

Companies: Individual U.S. and multinational private businesses including banks and other financial institutions, host country private businesses, business and trade associations, venture capitalists and philanthropic individuals and pension funds and employee welfare plans.

Government: Cities, states, civic groups, donor governments, host country governments, and other U.S. government agencies.

Non-Profits: Foundations, national and international non-governmental organizations (NGOs), regional and international organizations, U.S. colleges and universities, public figures, and advocacy groups.

ANNEX 7 – OTHER PROVISIONS

1. MARKING UNDER ASSISTANCE INSTRUMENTS

(a) Definitions

Commodities mean any material, article, supply, goods or equipment, excluding recipient offices, vehicles, and non-deliverable items for recipient's internal use, in administration of the USAID funded grant, cooperative agreement, or other agreement or subagreement.

Principal Officer means the most senior officer in a USAID Operating Unit in the field, e.g., USAID Mission Director or USAID Representative. For global programs managed from Washington but executed across many countries, such as disaster relief and assistance to internally displaced persons, humanitarian emergencies or immediate post conflict and political crisis response, the cognizant Principal Officer may be an Office Director, for example, the Directors of USAID/W/Office of Foreign Disaster Assistance and Office of Transition Initiatives. For non-presence countries, the cognizant Principal Officer is the Senior USAID officer in a regional USAID Operating Unit responsible for the non-presence country, or in the absence of such a responsible operating unit, the Principal U.S Diplomatic Officer in the non-presence country exercising delegated authority from USAID.

Programs mean an organized set of activities and allocation of resources directed toward a common purpose, objective, or goal undertaken or proposed by an organization to carry out the responsibilities assigned to it.

Projects include all the marginal costs of inputs (including the proposed investment) technically required to produce a discrete marketable output or a desired result (for example, services from a fully functional water/sewage treatment facility).

Public communications are documents and messages intended for distribution to audiences external to the recipient's organization. They include, but are not limited to, correspondence, publications, studies, reports, audio visual productions, and other informational products; applications, forms, press and promotional materials used in connection with USAID funded programs, projects or activities, including signage and plaques; Web sites/Internet activities; and events such as training courses, conferences, seminars, press conferences and so forth.

Sub-recipient means any person or government (including cooperating country government) department, agency, establishment, or for profit or nonprofit organization that receives a USAID sub-award, as defined in 22 C.F.R. 226.2.

Technical Assistance means the provision of funds, goods, services, or other foreign assistance, such as loan guarantees or food for work, to developing countries and other USAID recipients, and through such recipients to sub-recipients, in direct support of a development objective – as opposed to the internal management of the foreign assistance program.

USAID Identity (Identity) means the official marking for the United States Agency for International Development (USAID), comprised of the USAID logo or seal and new brandmark, with the tagline that clearly communicates that our assistance is “from the American people.” The USAID Identity is available on the USAID website at www.usaid.gov/branding and USAID provides it without royalty, license, or other fee to recipients of USAID-funded grants, or cooperative agreements, or other assistance awards.

(b) Marking of Program Deliverables

(1) All recipients must mark appropriately all overseas programs, projects, activities, public communications, and commodities partially or fully funded by a USAID grant or cooperative agreement or other assistance award or subaward with the USAID Identity, of a size and prominence equivalent to or greater than the recipient's, other donor's, or any other third party's identity or logo.

(2) The Recipient will mark all program, project, or activity sites funded by USAID, including visible infrastructure projects (for example, roads, bridges, buildings) or other programs, projects, or activities that are physical in nature (for example, agriculture, forestry, water management) with the USAID Identity. The Recipient should erect temporary signs or plaques early in the construction or implementation phase. When construction or implementation is complete, the Recipient must install a permanent, durable sign, plaque or other marking.

(3) The Recipient will mark technical assistance, studies, reports, papers, publications, audio-visual productions, public service announcements, Web sites/Internet activities and other promotional, informational, media, or communications products funded by USAID with the USAID Identity.

(4) The Recipient will appropriately mark events financed by USAID, such as training courses, conferences, seminars, exhibitions, fairs, workshops, press conferences and other public activities, with the USAID Identity. Unless directly prohibited and as appropriate to the surroundings, recipients should display additional materials, such as signs and banners, with the USAID Identity. In circumstances in which the USAID Identity cannot be displayed visually, the recipient is encouraged otherwise to acknowledge USAID and the American people's support.

(5) The Recipient will mark all commodities financed by USAID, including commodities or equipment provided under humanitarian assistance or disaster relief programs, and all other equipment, supplies, and other materials funded by USAID, and their export packaging with the USAID Identity.

(6) The Agreement Officer may require the USAID Identity to be larger and more prominent if it is the majority donor, or to require that a cooperating country government's identity be larger and more prominent if circumstances warrant, and as appropriate depending on the audience, program goals, and materials produced.

(7) The Agreement Officer may require marking with the USAID Identity in the event that the recipient does not choose to mark with its own identity or logo.

(8) The Agreement Officer may require a pre-production review of USAID-funded public communications and program materials for compliance with the approved Marking Plan.

(9) Sub-recipients. To ensure that the marking requirements "flow down" to sub-recipients of sub-awards, recipients of USAID funded grants and cooperative agreements or other assistance awards will include the USAID-approved marking provision in any USAID funded sub-award, as follows:

"As a condition of receipt of this sub-award, marking with the USAID Identity of size and prominence equivalent to or greater than the recipient's, sub-recipient's, other donor's or third party's is required. In the event the recipient chooses not to require marking with its own identity or logo by the sub-recipient, USAID may, at its discretion, require marking by the sub-recipient with the USAID Identity."

(10) Any ‘public communications’, as defined in 22 C.F.R. 226.2, funded by USAID, in which the content has not been approved by USAID, must contain the following disclaimer:

“This study/report/audio/visual/other information/media product (specify) is made possible by the generous support of the American people through the United States Agency for International Development (USAID). The contents are the responsibility of [insert recipient name] and do not necessarily reflect the views of USAID or the United States Government.”

(11) The recipient will provide the Cognizant Technical Officer (CTO) or other USAID personnel designated in the grant or cooperative agreement with two copies of all program and communications materials produced under the award. In addition, the recipient will submit one electronic or one hard copy of all final documents to USAID’s Development Experience Clearinghouse.

(c) Implementation of marking requirements.

(1) When the grant or cooperative agreement contains an approved Marking Plan, the recipient will implement the requirements of this provision following the approved Marking Plan.

(2) When the grant or cooperative agreement does not contain an approved Marking Plan, the recipient will propose and submit a plan for implementing the requirements of this provision within [*Agreement Officer fill-in*] days after the effective date of this provision. The plan will include:

(i) A description of the program deliverables specified in paragraph (b) of this provision that the recipient will produce as a part of the grant or cooperative agreement and which will visibly bear the USAID Identity.

(ii) the type of marking and what materials the applicant uses to mark the program deliverables with the USAID Identity,

(iii) when in the performance period the applicant will mark the program deliverables, and where the applicant will place the marking,

(3) The recipient may request program deliverables not be marked with the USAID Identity by identifying the program deliverables and providing a rationale for not marking these program deliverables. Program deliverables may be exempted from USAID marking requirements when:

(i) USAID marking requirements would compromise the intrinsic independence or neutrality of a program or materials where independence or neutrality is an inherent aspect of the program and materials;

(ii) USAID marking requirements would diminish the credibility of audits, reports, analyses, studies, or policy recommendations whose data or findings must be seen as independent;

(iii) USAID marking requirements would undercut host-country government “ownership” of constitutions, laws, regulations, policies, studies, assessments, reports, publications, surveys or audits, public service announcements, or other communications better positioned as “by” or “from” a cooperating country ministry or government official;

(iv) USAID marking requirements would impair the functionality of an item;

(v) USAID marking requirements would incur substantial costs or be impractical;

(vi) USAID marking requirements would offend local cultural or social norms, or be considered inappropriate;

(vii) USAID marking requirements would conflict with international law.

(4) The proposed plan for implementing the requirements of this provision, including any proposed exemptions, will be negotiated within the time specified by the Agreement Officer after receipt of the proposed plan. Failure to negotiate an approved plan with the time specified by the Agreement Officer may be considered as noncompliance with the requirements is provision.

(d) Waivers.

(1) The recipient may request a waiver of the Marking Plan or of the marking requirements of this provision, in whole or in part, for each program, project, activity, public communication or commodity, or, in exceptional circumstances, for a region or country, when USAID required marking would pose compelling political, safety, or security concerns, or when marking would have an adverse impact in the cooperating country. The recipient will submit the request through the Cognizant Technical Officer. The Principal Officer is responsible for approvals or disapprovals of waiver requests.

(2) The request will describe the compelling political, safety, security concerns, or adverse impact that require a waiver, detail the circumstances and rationale for the waiver, detail the specific requirements to be waived, the specific portion of the Marking Plan to be waived, or specific marking to be waived, and include a description of how program materials will be marked (if at all) if the USAID Identity is removed. The request should also provide a rationale for any use of recipient's own identity/logo or that of a third party on materials that will be subject to the waiver.

(3) Approved waivers are not limited in duration but are subject to Principal Officer Review at any time, due to changed circumstances.

(4) Approved waivers "flow down" to recipients of sub-awards unless specified otherwise. The waiver may also include the removal of USAID markings already affixed, if circumstances warrant.

(5) Determinations regarding waiver requests are subject to appeal to the Principal Officer's Cognizant Assistant Administrator. The recipient may appeal by submitting a written request to reconsider the Principal Officer's waiver determination to the Cognizant Assistant Administrator.

(e) Non-retroactivity. The requirements of this provision do apply to any materials, events, or commodities produced prior to January 2, 2006. The requirements of this provision do not apply to program, project, or activity sites funded by USAID, including visible infrastructure projects (for example, roads, bridges, buildings) or other programs, projects, or activities that are physical in nature (for example, agriculture, forestry, water management) where the construction and implementation of these are complete prior to January 2, 2006 and the period of the grant does not extend past January 2, 2006.

2. IMPLEMENTATION OF E.O. 13224 -- EXECUTIVE ORDER ON TERRORIST FINANCING (MARCH 2002)

The Recipient 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 recipient to ensure compliance with these Executive Orders and laws. This provision must be included in all contracts/subawards issued under this agreement.

3. USAID DISABILITY POLICY - ASSISTANCE (DECEMBER 2004)

a. The objectives of the 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://pdf.dec.org/pdf_docs/PDABQ631.pdf

b. USAID therefore requires that the recipient not discriminate against people with disabilities in the implementation of USAID funded programs and that it make every effort to comply with the objectives of the USAID Disability Policy in performing the program under this grant or cooperative agreement. To that end and to the extent it can accomplish this goal within the scope of the program objectives, the recipient should demonstrate a comprehensive and consistent approach for including men, women and children with disabilities.

4. FOREIGN GOVERNMENT DELEGATIONS TO INTERNATIONAL CONFERENCES (JAN 2002)

Funds in this agreement may not be used to finance the travel, per diem, hotel expenses, meals, conferences fees or other conference costs for any member of a government's delegation to an international conference sponsored by a public international organizations, except as provided in the ADS Mandatory Reference "Guidance on Funding Foreign Government Delegations to International Conferences" or as approved by the Agreement Officer.

5. REPORTING OF FOREIGN TAXES (JULY 2007)

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

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

(i) Recipient name.

(ii) Contact name with phone, fax and email.

(iii) Agreement number(s).

(iv) 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 agreement during the prior U.S. fiscal year.

(v) Only foreign taxes assessed by the foreign government in the country receiving U.S. assistance are to be reported. Foreign taxes by a third party foreign government are not to be reported. For example, if a recipient performing in Lesotho using foreign assistance funds should purchase commodities in South Africa, any taxes imposed by South Africa would not be reported in the report for Lesotho (or South Africa).

(vi) Any reimbursements received by the recipient during the period in (iv) regardless of when the foreign tax was assessed and any reimbursements on the taxes reported in (iv) received through March 31.

(vii) Report is required even if the recipient did not pay any taxes during the report period.

(viii) Cumulative reports may be provided if the recipient is implementing more than one program in a foreign country.

c. Definitions. For purposes of this clause:

- (i) “Agreement” includes USAID direct and country contracts, grants, cooperative agreements and interagency agreements.
- (ii) “Commodity” means any material, article, supply, goods, or equipment.
- (iii) “Foreign government” includes any foreign governmental entity.
- (iv) “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:

Office of Financial Management;
And a copy to the Regional Acquisition and Assistance Office

e. Subagreements. The recipient must include this reporting requirement in all applicable subcontracts, subgrants and other subagreements.

f. For further information see <http://www.state.gov/m/rm/c10443.htm>

ANNEX 8 – STANDARD PROVISIONS

Mandatory Standard Provisions for U.S. NGO Recipients:

<http://www.usaid.gov/policy/ads/300/303maa.pdf>

Mandatory Standard Provisions for non U.S. NGO Recipients:

<http://www.usaid.gov/policy/ads/300/303mab.pdf>