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| **Issuance Date:** | **Tuesday, January 31, 2012** |
| **RFA Clarification Questions Due Date and Time:** | **Tuesday , February 8, 2012 4:00 p.m. EST** |
| **Closing Date and Time for Application Submission:** | **Tuesday, February 29, 2012 4:00 p.m. EST** |

Subject: Request for Applications (RFA) Number: RFA-OAA-12-000003

Title: Agricultural Commercialization & Innovation Activity

The United States Agency for International Development (USAID) seeks applications from eligible institutions to implement one part of an Activity entitled "Agriculture Commercialization & Innovation." The authority for this activity and RFA is found in the Foreign Assistance Act of 1961, as amended.

The successful applicant will be awarded a five-year Cooperative Agreement with responsibility for implementing the Bureau of Food Security's Office of Markets, Partnerships and Innovations' (BFS/MPI's) flagship program, enabling the Office to meet its mandate of improving markets and creating transformative partnerships. BFS/MPI's role is to promote new approaches to food security through new and innovative partnerships that improve market access for food insecure households in Feed the Future (FtF) countries. AC&I will enable BFS/MPI to advance the commercialization of promising technologies, provide funding and technical support to innovative new partnerships that have the potential to lead to the increased well-being of smallholder households.

While for-profit firms may participate, pursuant to 22 CFR 226.81, it is USAID policy not to award profit under assistance instruments such as cooperative agreements. However, all reasonable, allocable, and allowable expenses, both direct and indirect, which are related to the grant 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 Cooperative Agreement.

The applicant is required to submit a technical and cost application as detailed in Section IV. The Recipient will be responsible for ensuring achievement of the objectives. Please refer to the Program Description (Section I) for a complete statement of goals and expected results.

Applicants under consideration for an award that have never received funding from USAID will be subject to a pre-award audit to determine fiscal responsibility, ensure adequacy of financial controls and establish an indirect cost rate.

Subject to the availability of funds, USAID intends to award a five-year Cooperative Agreement ranging between $60,000,000 - $74,000,000. The first year amount ($5,000,000) will be obligated late in FY 2012. The actual annual obligation in years two through five will be based on the pipeline, proposed activities in the annual work plans, and availability of funds. USAID reserves the right to fund any or none of the applications submitted.

An extension may be provided, subject to the following three evaluation criteria: (1) a record of good performance during the first five-year period; (2) availability of Agency funding; and (3) continued relevance of the Program to the overall Agency portfolio and development priorities, as reflected by demand from stakeholders.

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

SECTION I – Funding Opportunity Description
SECTION II – Award Information
SECTION III – Eligibility Information
SECTION IV – Application and Submission Information
SECTION V – Application Review Information
SECTION VI – Award and Administration Information
SECTION VII – Agency Contacts
SECTION VIII – Other Information
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". Also, "application" is synonymous with "proposal.

The award will be made to that responsible applicant whose application offers the greatest value in furthering the goals of the Program.

Applications are submitted at the risk of the applicant; all preparation and submission costs are at the applicant's expense. Issuance of this RFA does not constitute an award commitment on the part of the Government, nor does it commit the Government to pay for costs incurred in the preparation and submission of an application. In addition, final award of any resultant Cooperative Agreement cannot be made until funds are available for award.

This RFA and any future amendments can be downloaded from http://www.grants.gov. Select "Find Grant Opportunity for Which You Would like to Apply", then click on "Browse by Agency", and select the "US Agency for International Development" and search for the RFA.

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

(a) Section V Application Review Information: Selection Criteria
(b) Section IV Application and Submission Information
(c) Section I – Funding Opportunity Description: The Program Description
(d) This Cover Letter.

The applicant shall submit applications in BOTH electronic and hard copy format as described in Section IV. Applications must be received by the closing date and time indicated at the top of this cover letter. Late applications will not be considered for award. Applications must be directly responsive to the terms and conditions of this RFA. Telegraphic or fax applications (entire proposal) are not authorized for this RFA and will not be accepted.

Any clarification questions concerning this RFA should be submitted in writing to Christine Dwulet via email at cdwulet@usaid.gov, with a read receipt requested, by the date and time specified above. If there are problems in downloading the RFA off of www.grants.gov, please contact the federal grants help desk at 1.800.518.4726 or support@grants.gov for technical assistance.

Sincerely,

Natalie J. Thunberg
Agreement Officer

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# SECTION I – FUNDING OPPORTUNITY DESCRIPTION

## A. THE PROGRAM

### A.1 INTRODUCTION

The United States, through the Feed the Future (FtF) Initiative, is engaging the private sector in a meaningful, comprehensive way to meet the global food security challenge. USAID is committed to using our resources in ways that catalyze deeper investments, and our mandate is stronger than ever before. Beyond traditional public-private partnerships, USAID is making deliberate efforts to collaborate with private sector partners and promote inclusive and systematic market growth. This approach leverages the skills, talents, resources and expertise of both the private sector and civil society toward our common pursuit of food security. These strategic alliances speak to the core business interests of the private sector while also addressing our development objectives. These "win-win" partnerships will advance the impact of sustainable development and foster private sector-led growth in emerging markets, which are critical to reducing poverty, fighting hunger and improving nutrition.

Within the Bureau for Food Security (BFS), the Office of Markets, Partnerships and Innovations (MPI) is charged with the mandate to promote new approaches to food security through innovative partnerships that improve market access for food insecure households in FtF countries. The Agriculture Commercialization and Innovations (AC&I) Activity will provide BFS/MPI a platform from which it can fulfill this role.

### A.2 PROBLEM STATEMENT

The Bureau for Food Security's Markets, Partnerships and Innovations Office's (BFS/MPI) role is to promote new approaches to food security through new and innovative partnerships, tools, and methodologies that improve market access for food insecure households in Feed the Future (FtF) countries. The Agriculture Commercialization and Innovations (AC&I) Activity will provide BFS/MPI a platform from which it can fulfill this role. The AC&I Activity will have four components:

1. Agricultural technology commercialization
2. Partnership development
3. Investment design and modeling
4. Knowledge management

Scaling up the production, dissemination, distribution and marketing of new agricultural technologies in developing countries is made challenging by low incomes, a wide dispersion of smallholders, and the diversity of challenges facing different subsets of smallholder farmers, including women and other marginalized groups. There are many proven plant and animal technologies that, if successfully commercialized, could improve smallholder productivity. Commercialization drives new markets and, as one recent study notes, access to new markets often leads to further innovation and adoption.[1] Frequently, innovators' lack of consultation with the private sector hinders the commercialization of innovations and inventions in technology, agronomic practices, disease prevention, and inputs that are crucial for the competitiveness, productivity, and innovative capacity of agribusinesses (World Bank 2007a, 2007b).

Low crop yields are pervasive in the countries threatened by the global food crisis and that are being supported by the Feed the Future Initiative. There have been promising recent developments: Improved

[1] Larsen, Kurt, Ronald Kim, and Florian Theus, Editors, "Agribusiness and Innovation Systems in Africa," World Bank, 2009.

seeds, fertilizers and other technologies are available that have potential to rapidly increase food crop yields. There are "shelf-ready" technologies such as urea deep placement and drought resistant maize varieties. Equally, there are nutrition-enhancing and technologies that could have important health benefits for many poor people. Similar gains may be possible for new methods of harvesting, handling and processing of staple, orphan and horticultural crops. However, innovative technologies developed by researchers often have not been accessible to farmers due to lack of commercially viable or effective product deployment systems.[2]

In almost all livestock value chains, producers confront difficulties in accessing production inputs for reasons related to lack of finance, inefficient market coordination and poor infrastructure. Inputs are essential for smallholder livestock rearing including veterinary pharmaceuticals, livestock genetic products (breeder eggs and day-old chicks, frozen semen, frozen embryos, breeding stock), livestock identification and recordkeeping, feed and feed ingredients. There are technologies waiting for commercialization, such as fodder seed and vaccines, that would benefit such smallholders, but the capacity to take them to market is not in evidence.

Bringing new technologies to market will require partnerships, some of them non-traditional. Partners may range from multinational retailers to cooperating country community organizations. In order to meet its mandate of improving markets and creating transformative partnerships, BFS/MPI has been asked to support new and potentially innovative partnerships but to date has not had the mechanism through which to do so. The AC&I Activity will enable BFS/MPI to provide seed funding and technical support to new partnerships that have the potential to be innovative and to lead to the increased well-being of smallholder households. In line with FtF's commitment to gender equality, the AC&I Activity will consider the impacts of each partnership on women's and men's access to new technologies and opportunities in smallholder commercial agriculture.

In order to support innovative partnerships, BFS/MPI must design and analyze new partnership models. For example, USAID/Ghana recently sought assistance for the design of a new agreement to support Ghana's ability to deliver its commercial agriculture plans and to attract private investment in agriculture. USAID and the World Bank plan to co-fund the activity with the Bank leading the partnership's design. Through the AC&I Activity, BFS/MPI will likewise take the lead in designing such partnerships in the future and have capacity to respond to such mission requests.

Gender and other structural inequities can lead to lower benefits among marginalized populations as well as greater barriers to adoption and optimal use of new technologies. In most places, women face greater constraints on their productivity and economic activity than their male counterparts. They have less access to quality land, credit, and extension services and may face cultural barriers to participation in certain markets and producers' organizations, making them less likely to benefit from new technologies.[3] Differences in gender roles and other cultural constraints can exacerbate the challenges outlined above and in some instances may be a significant constraint to productivity growth. As such, all activities under this project will be designed in a manner consistent with increasing opportunities for women.

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[2] AFSTA Strategic Partnerships & Donor Relations Working Group Presentation, Nairobi, Kenya, March 9, 2010: Le Page, Lloyd, "Alliance for the Seed Industry in East and Southern Africa."

[3] *Gender in Agriculture Sourcebook,* World Bank, 2010; *Improving Opportunities for Women in Smallholder-Based Supply Chains,* Man-Kwun Chan for the Bill and Melinda Gates Foundation, 2010; "Gender, Agricultural Production, and the Theory of the Household", Christopher Udry, *Journal of Political Economy,* 104(5) 1996.

## A.3 PROGRAM DESCRIPTION

The AC&I Activity will support the FtF Initiative by addressing constraints to "increased access to inputs such as seed, feed, fertilizer, machinery, and irrigation systems at the right time, the right price, and in the right amounts," in concert with "partners to develop private input industries, organize private dealer networks, expand sustainable irrigation and water management, and strengthen farmer organizations."[4] This Agriculture Commercialization and Innovation Activity will support the objectives of the FtF Guidance Note: Increasing Agricultural Productivity under the Global Hunger Food Security Strategy, specifically focusing on bringing to market and scaling up promising agricultural technologies that will benefit smallholder farmers.[5] Moreover, in keeping with the General Notice on "Establishment of the Board for Acquisition and Assistance Review," (02/16/2010) this Activity will "make better use of a broad range of external partners in program implementation." The activity will also contribute to FtF's priority of gender equity by ensuring that increased opportunities for women are integrated into each sub-activity.

### A 3.1 Background

Technologies destined for developed country markets similarly depend on a multitude of players: from upstream proof of concept, development, prototyping, testing, regulatory approval, manufacturing, and distribution – many different organizations are often engaged. The critical difference though (and a key hurdle for commercialization of pro-poor technologies) lies in the coordination of the partners.[6] Technology commercialization through effective partnerships is a key aspect of development; what countries will produce in the future depends considerably on the capabilities that are used in the present. Through technology innovation and commercialization countries can realize productivity gains, and can redeploy their capital towards production of new goods, further expanding the frontier of their capabilities.[7] Successful commercialization requires an ecosystem of services, drawing on the expertise of organizations historically supported by USAID – producer groups, agro-dealers, etc. – encompassing technical assistance, demonstration, training, marketing and finance.

Globally, donors and development partners have provided considerable support to developing improved input technologies for plants and animals. USAID has long supported research that provides "a clear pathway for deployment of technologies and practices" and that benefits those people at the bottom of the pyramid who are underserved by technological improvements relevant to their needs. In order to fully realize the benefits of technologies developed through such research, it is critical that USAID also support the next steps of commercialization, dissemination, and marketing of new technologies, steps which have often been beyond the capacity and resources of our private sector partners. This new activity will provide the support necessary to ensure that agricultural innovations reach those in food insecure countries who will benefit most from productivity improvements.

In order to ensure that the AC&I Activity supports gender equality, a priority under FtF, special consideration will be given to partnerships with women's organizations, or with organizations that have significant female participation (see evaluation criteria), and analysis will be performed on the effects of

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[4] http://www.state.gov/s/globalfoodsecurity/129952.htm
[5] http://inside.usaid.gov/EGAT/offices/agriculture/food_security/upload/Agricultural-Productivity-Field-Support-Guidev3.doc
[6] Boettiger, Sara and Sarah Alvarez "Getting Better Technologies to the Poor: A Landscape of Commercialization Challenges & Opportunities," for the Bill & Melinda Gates Foundation, 2010.
[7] Hausmann, Ricardo "Product Space and the Wealth of Nations" (see http://www.chidalgo.com/productspace/index.htm)

different partnership models on the participation of women.  Technologies supported under this project will also be evaluated for impact or access issues arising from differentiated gender roles.

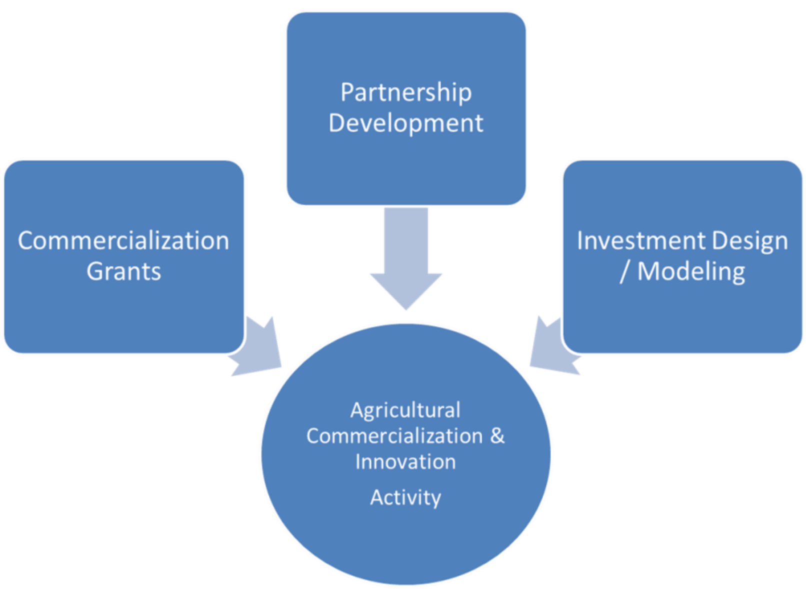
### A 3.2 Key Assumptions

Key assumptions behind the AC&I Activity approach to establishing new partnerships that will benefit smallholders are:

- Shelf-ready, bottom-of-pyramid technologies:  Technologies exist that are ready for market commercialization; potential sources of these technologies are local and international companies, CG Centers, CRSPs, and other development partners.
- Available debt/equity:  Debt and/or equity are accessible for commercializing new technologies. In Africa there are now many investment funds, guarantees and other financing mechanisms available for such ventures including through USAID mechanisms such as Development Innovations Venture (DIV)  and) and Development Credit Authority (DCA). Although we see great opportunity here, we also recognize that start-ups and ventures based in our focus countries have difficulty accessing credit.
- Companies have an appetite for investment risk: commercializing new technologies and developing new customers and markets entails market risks; companies must see the promise of profitability.
- Non-capital constraints are manageable: the legal, institutional and regulatory framework of targeted markets must be conducive to investment and market risk.

### A 3.3 Design

The AC&I Activity will have three principal components that will enable BFS/MPI to leverage partnerships and enable the commercialization of innovative technologies that will benefit smallholder farm households. These components, along with a fourth, cross-cutting knowledge management component, are described in more detail below.



**A 3.3.1 Component 1 Description: Commercialization of FtF Technologies**

This Component will not fund institutional strengthening, training, capacity building or technical assistance through Innovation Grants, as BFS/MPI will do that through other contracts/agreements. Instead, the purpose of this component is to identify and bring to scale ten to twelve promising "bottom of the pyramid" (BOP) agricultural technologies that are ready for commercialization. Such technologies could include seeds, fertilizers, vaccines, feed, storage and other innovations, in line with FtF objectives. Only new technologies, goods or services (i.e., financial or insurance products) that have demonstrated commercial potential in BOP markets will be eligible for support. The AC&I Activity will look for groundbreaking technologies versus incremental changes to existing technologies or systems. Special consideration will be given to technologies and commercialization processes that address specific constraints faced by female farmers, or that create opportunities for women's participation, and all proposals will be evaluated for potential impacts on women. This will be analyzed in advance through feasibility studies and market analyses.

The intention here is, to provide an incentive for potential innovators to access new markets and to scale up market penetration. While for the amount of financial support available for each BOP technology's commercialization is relatively small, with support valued at up to $2 million, the amount is large enough to support initial commercialization of the bottom-of-the-pyramid (BOP) technologies that are targeted. .

Companies potentially interested in the commercialization grants are most likely to be multinational or regional organizations that are looking to establish new product lines, local or regional organizations that are seeking economies of scope by extending their operations into new markets, or non-mainstream enterprises. Such organizations tend to have capacity to (1) manage large numbers of low margin, low value transactions, (2) work with informal markets, (3) minimize legacy and overhead costs, (4) have a long view, and (5) create/maintain a malleable organizational culture.[8]

Commercialization sub-awards will leverage commercial investment, especially investment in fixed costs that are necessary for a venture to reach profitability. Sub-Grants will be disbursed in two phases, beginning with initial seed money, that could include technical assistance to develop key elements required for commercialization. Disbursement of the later, full amount of the grant will be tied to agreed targets. To meet these sales and other targets, companies must invest in their supply chains, distribution and marketing channels, and manufacturing capabilities; they must hire and train staff, negotiate contracts and generally make commitments that are required for commercial success. If targets are not met grants will not be disbursed; as with all commercial activities, risk of failure is ultimately borne by the investor, although mitigated in this case by grants that defray initial investment costs and provide technical assistance as necessary. The rewards of success will remain with the grantee. In keeping with USAID's commitment to gender equality, companies should have gender equality codes of conduct in place or be able to show substantive plans to implement and enforce good practices in this regard.

The commercialization process will comprise five main steps:

1. Solicitation for FtF technologies: The Recipient will release a "Solicitation for FtF Technologies" - technologies that will further feed the future goals. This solicitation will describe the processes and procedures, requirements, timing, and award criteria. This solicitation will be communicated through key venues and networks to ensure worldwide placement. Proposals will be evaluated and finalists selected thereafter. Special consideration will be given to proposals that benefit women, either through the specific technology or through opportunities for women's participation

[8] Karamchandani, Ashish, Mike Kubzansky and Nishant Lalwani, "Is the Bottom of the Pyramid Really for You?" Harvard Business Review, March 2011.

in the commercialization process. This also applies to proposals submitted by women-owned firms or women's organizations.

2. Target setting: Targets will be agreed with award finalists. The Commercialization Fund is designed as an incentive for initial market penetration. If a venture meets agreed targets the fund will be disbursed. The sub-awards will specify the costs that seed grants will cover and what targets will be met through funding provided by seed grants. They will also specify the financial metrics that the finalist must meet for disbursement of the sub-award funds. Key financial metrics may include: total sales revenue, number of sales, and cost of sales; other metrics that might be needed include asset turnover (for capital intensive ventures) and internal rate of return (model versus actual). By necessity, each FtF Technology will have its own metrics. In addition, AC&I will support local firms looking to partner with MNCs in such ventures

3. Commercialization Seed-grant funding: Each award will be initially seeded by a small grant to help the recipient cover initial piloting or test-marketing costs. Through these seed grants BFS/MPI can help cover some of the initial venture start-up costs. These seed grants should range between $200,000-$400,000 each. Among the specific costs they could cover are survey designs, pricing assistance, licensing, certifications, distribution assessments, proof-of-concept pilots, market trials, demonstrations, customer satisfaction feedback, branding strategies, and similar start-up costs associated with establishing new product lines. Potential awardees must describe the requisite start-up support they will need.

4. Technical support: Technical support may help some awards and accompanying investments meet commercial objectives. Receipt of such support cannot be a decisive factor in a venture's success or failure. However, support may be necessary to strengthen an ecosystem of suppliers or to strengthen a partnership, for example. This support would be drawn from AC&I Components 2 and 3, as appropriate.

5. FtF Commercialization Award disbursement: The remaining amount of the sub-awards will be disbursed when agreed targets, as defined during the seed-grant phase, are met. Meeting these targets will trigger funding release. If targets cannot be met as scheduled, USAID will reassess the situation and will retain an option to extend the timeframe or reassign a sub-award.

FtF commercialization efforts can be an important bridge between USAID-supported research and technology generation investments such as the CRSPs and CGIAR support programs and potential markets for these technologies. Technology generated through USAID-funded research will be among those targeted for ramping up. USAID, through the Agreement Officer's Technical Representative (AOTR), in coordination with the Recipient, will also encourage private sector and non-profit organizations to access this commercialization support for their promising agricultural technologies. In order to diversify the number and range of potential partners, the AC&I Activity will make a special effort to identify and partner with women's organizations in this activity.

### A 3.3.2 Component 2 Description: Partnership Development

The purpose of Component 2 is to provide the platform necessary to develop 10-15 new, innovative partnerships in their early stages with the financial and technical support through this AC&I Activity. Partnerships often require a great deal of nurturing and investment both upfront and throughout the process to make them work to the benefit of concerned parties. A partnership developed through the AC&I Activity will be initially developed and seeded through this component, while a longer term alliance may be developed through a new project, embedded into an existing one, or already maintained here in the AC&I Activity with Mission buy-in.

The Partnerships Development component will address the following areas:

1. Support for relationship management: We view our private sector partners as thought leaders who can bring crucial feedback, a fresh perspective, and innovative insights to the development table. Although BFS/MPI allocates staff time and resources to partnership building and will lead on relationship management, this Activity will complement and support the Bureau's effort through outreach and communication activities as needed. This will include, but not limited to, competitive analysis, validation of beneficiary impact numbers, modeling, marketing to Missions, and possibly also the management of the database of who we meet and who we work with. Coordination with the Feed the Future Private Sector Engagement Hub website (http://www.feedthefuture.gov/private-sector) will also be required to follow up on partnership inquiries that are generated by the website. The A, C & I Activity will have a strong role in managing the partnership leads that result from the Hub.

2. Support for partnership development: In order to meet its mandate of improving markets and creating transformative partnerships, many of BFS/MPI's activities focus on supporting new and potentially innovative partnerships. Although Missions often engage the local and international private sector, there are times when it is determined that additional support from Washington is required, a more global and/or regional approach is necessary, and/or a more efficient process is needed to streamline private sector engagement. As noted below, there have been more expressions of stakeholder interest in partnering with BFS/MPI in support of Feed the Future than there has been capacity to follow up. This Activity will give BFS/MPI the implementation mechanism to engage a number of strategic partners in a way that supports "win-win" partnerships, including drafting ideas for operationalizing the partnerships being developed by USAID at the global and regional level.

   In order to promote and develop partnerships with USAID, the Recipient will release a "Solicitation for Partnerships with USAID." This solicitation will describe the processes and procedures, requirements, timing, and award criteria (as outlined in an approved grant manual). All partners will be expected to ensure opportunities for women's participation, and to demonstrate the effectiveness of those efforts. For example, multinational partners that source from smallholder producer groups should require that those groups actively recruit female members and have women in decision-making roles. Having women in decision-making roles is critical to ensuring that opportunities created for women are consistent with their desired level of participation, as men may underestimate the level of demand for such opportunities, or not fully recognize the unique constraints faced by women.

3. Partnership Start-up funding: Along with providing the implementation platform to engage a new partner, this is the most critical piece to advancing the process in a thoughtful, yet expeditious manner. By providing initial technical assistance and start up grant funding, the Recipient will support partnerships that have the potential to be innovative and to lead to the increased well-being of smallholder households. This will allow USAID not only to be opportunistic when key stakeholders demonstrate interest, but it will also bring our funding and procurement cycles in line with the timelines of the private sector. As with the component 3.2, special efforts will be made to reach out to non-traditional partners such as women's organizations.

4. Promotion of Mission Buy-In to Partnership: Though the startup funding and implementation mechanism will bridge the gap and will reduce immediate transaction costs for the private sector to partner with the USG, a longer term plan in the out years will be necessary to secure Mission and/or additional BFS resources. During the development of partnerships, the AC&I Activity

will include applicable USAID Missions in discussions to ensure that the partnership is aligned with the Mission's strategy and that Mission 'buy-in' is programmed for outer years funding and activity management.

### A 3.3.3 Component 3 Description: Design and Analysis of Partnership Models

This component will complement other BFS/MPI efforts to provide modeling and analysis to support the development and establishment of innovative partnerships that will benefit smallholder agriculture. USAID missions and Washington Operating Units (WOUs) too often start from scratch when designing new partnerships, rather than incorporating into their design components and structures from successful partnerships that have been implemented elsewhere. Under this Component, the AC&I Activity will develop a toolkit of adaptable models for engaging the private sector, including lessons learned and best practices for different types of partnerships and innovative ways of engaging the private sector. With this store of models, we will be able to present requesting missions and WOUs with adaptable templates for private sector engagement. Using these templates as a guide, we can design a new partnership or model for private sector engagement that is fine-tuned to the specific conditions in the host country, meets the needs of partners and other stakeholders, and is structured in a way that facilitates the achievement of desired outcomes.

This Component will be implemented, in many cases, in conjunction with Component 2: Partnership Development. Component 3 will be used to solidify and optimize partnerships established under Component 2 and encourage Missions to adopt these same principles when developing partnerships. BFS/MPI will also be able to respond to field requests for technical assistance in the design and/or optimization of partnerships that have already been established through means outside of the AC&I Activity. For example, a mission may plan to support nucleus/outgrower schemes but not know the best model or which design variations will ensure that male and female farmers will receive a premium and will not side-sell their production. Through innovation modeling, BFS/MPI can advise on the most relevant design and institutional structures that facilitate success.

This component will support a wide range of partnerships through assisting in the design and structuring of partnerships, analysis of risk and liabilities of partnerships, and analysis of the partnership models' impact and lessons learned. Examples of the types of models that could be supported include innovative co-investment models, and private sector partnerships like USAID's partnership with Wal-Mart that supports smallholder farmers in Central America or alliances such as that with the World Cocoa Foundation in West Africa. This Component could also be used to advise on issues such as the enabling environment, risk reduction, capacity building, and the commercialization pathway for innovations. In some cases, the Recipient may directly contribute funding to the establishment of new innovation models and in others may seek to complement, create linkages with, or support them in non-financial ways. The AC&I Activity should also coordinate with other USAID programs, when appropriate, to capture their partnership models.

As with the previous Components, all activities under this Component will support increased participation of women in commercial agriculture. Analysis of partnership models and templates will examine the impacts of different models on women.

The methodology for implementing private sector engagement models will comprise two main steps:

1. Designing, Structuring, and Organizing. Illustrative examples include:

    - Advanced purchase commitments

- Licensing inventions or new technologies in particular fields in exchange for obligations of further development
- Piloting new products at the village-level and assisting university or other laboratories to prototype design changes
- Franchising new businesses or product lines

2. Modeling and Analysis. Illustrative examples include:

   - Coordination of research, design, development and deployment (RDD&D)
   - Determining risks and liabilities in relation to partnerships
   - Assessing options to strategically manage intellectual property rights (IPRs) and implement agreements

**A 3.3.4 Component 4: Cross-Cutting Activity - Central Source of Information and Analysis on Private Sector Models**

Under this Component, the Recipient will develop a central source of information and analysis on models for engaging the private sector in agriculture and food security, which will be presented on the Feed the Future Private Sector Engagement Hub (http://www.feedthefuture.gov/private-sector). This Component will incorporate lessons learned and best practices from a literature review and a review and analysis of USAID's past experiences worldwide in agricultural commercialization, partnership seeding, and the design and modeling of private sector engagement in agriculture. The Recipient will identify other entities doing relevant or complementary research on partnerships and the private sector role in development and avoid duplication of effort wherever possible. This Component will require a continuous updating of the information and analysis throughout the life of this Activity, incorporating and sharing the ongoing lessons learned and best practices from Components 1-3. The information and analysis collected during the review and during implementation should also feed into and contribute to activities under Components 1-3 throughout the life of the project. This central source of information and analysis will promote ongoing learning, analysis, and dialogue during Activity implementation, and will serve as a valuable tool for BFS/MPI's future work in agricultural commercialization and innovative partnerships. Analysis will include examination of gender differences in impacts of each model and any data will be disaggregated by sex, to ensure that all segments of the targeted population are served.

Coordination with the Feed the Future Private Sector Engagement Hub website will also be essential and required to ensure that these lessons learned and best practices are publically available to private sector players interested in partnering with USAID.

## A.4 PERFORMANCE MONITORING PLAN

The Recipient shall operate with a focus on achieving developmental results and impacts. A Performance Monitoring Plan (PMP) will be completed as part of the Life-of-Program Work plan and will provide for routine monitoring and reporting focusing on program performance and impact. Specific performance and results indicators will be built into all Program activities.

AC&I will achieve FtF impacts under Program Area 4.5.2: Agricultural Sector Capacity, Sub-element 4.5.2.5, Markets and Trade Capacity. Specific indicators that AC&I performance will be measured by are:

Indicator 4.5.2-12: Number of public-private partnerships formed as a result of FtF assistance

Indicator 4.5.2-38: Value of new private sector investment in the agriculture sector or food chain leveraged by FTF implementation

Beyond these indicators, AC&I will report on several indicators related to each of its components.

| **Component No.** | **Indicator 4.5.2-12, Partnerships (#)** | **5 Year Target** |
|---|---|---|
| 1. | Agricultural technologies commercialized* | 12 |
| 2. | Partnership Development§ | 15 |
| 3. | Investment design and modeling° | 20 |

* No. of awards: Yr 1 three awards, Yrs 2-5, four awards/year, Total of 19 awards; 7 awards will not lead to successful commercialization but will contribute to significant learning.
§ 3 new partnerships will be developed each year.
° 4 partnership investments will be designed / modeled each year.

The value of new private sector investments (Indicator 4.5.2-38) will be determined collaboratively with partners and will be reported on annually in aggregate and by individual partnership.

| **Component No.** | **Indicator 4.5.2-38, Investments Value ($)** | **5 Year Target** |
|---|---|---|
| 1. | Agricultural technologies commercialized* | TBD |
| 2. | Partnership Development§ | TBD |
| 3. | Investment design and modeling° | TBD |

The Recipient will establish a performance management system to monitor progress against targets and report routinely on inputs, outputs and outcomes as required by the Feed the Future monitoring and evaluation system guidance. [http://www.feedthefuture.gov/progress]

## B. KEY PERSONNEL

Applicants must propose how they will staff AC&I, identifying and describing key personnel positions and the candidates that will fill these positions.

Applicants must clearly describe the professional qualifications, education and relevant experience of its proposed Program Director, including demonstrated management, leadership, interpersonal skills and working experience in similar projects. At minimum, the Program Director should have:

1) 10+ years of experience in agricultural and/or agriculture-enterprise development including marketing, sourcing, financing and agricultural value chain management is required. A Master's degree in a relevant discipline to partnership development and technology commercialization is required.
2) Prior experience working in emerging markets and at least 5 years of experience as a Program Director for a similar program.

3) Demonstrated ability to establish strong working relationships with businesses and international donors is required.

Applicants will propose a combination of other key personnel (up to 5) that corresponds to the proposed technical approach for each component of the Program Description. At a minimum, qualifications and experience of proposed key personnel must include:

**Team Leaders for AC&I Activity Components**

1. 7+ years of relevant experience
2. BSc in a relevant discipline is required – MBA or MS in relevant discipline is highly preferred.
3. Demonstrated ability to establish strong working relationships with businesses and international donors is required.

## C. AUTHORIZING LEGISLATION

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

## D. ELIGIBILITY REQUIREMENTS

Partners including non-governmental and private/voluntary organizations and for-profit firms may be included in the application. The nature of the program lends itself to a consortium approach involving multiple partners with experience with finance, matchmaking, technology commercialization, economics, and business development in emerging and frontier markets.

Applicants must have had within the past five years' experience in planning, managing, monitoring and reporting on international agricultural, agricultural finance, or commercial development programs.

## E. ADMINISTRATION

22 CFR 226, OMB Circulars, and the Standard Provisions for U.S., Nongovernmental Recipients will be applicable. USAID prefers that instead of attaching complete copies of 22 CFR 226 and the OMB Circulars to the RFA, applicants obtain copies at:

22 CFR 226 - http://www.access.gpo.gov/nara/cfr/waisidx_06/22cfr226_06.html
OMB Circulars - http://www.whitehouse.gov/omb/circulars/

# SECTION II – AWARD INFORMATION

## A. ESTIMATED FUNDING LEVEL

USAID intends to award a five-year Cooperative Agreement ranging between $60,000,000 - $74,000,000. The first year amount ($5,000,000) will be obligated in FY 2012. The actual annual obligation in years two through five will be based on the pipeline, proposed activities in the annual work plans, and availability of funds.

USAID may make an award on the basis of initial applications received, without discussions or negotiations. Therefore, each initial application should contain the applicant's best terms from a cost and technical standpoint. USAID reserves the right (but is not under obligation to do so), however, to enter into discussions with one or more applicants in order to obtain clarifications, additional detail, or to suggest refinements in the program description, budget, or other aspects of an application. Neither financial data submitted with an application nor representations concerning facilities or financing will form a part of the resulting Cooperative Agreement.

## B. ANTICIPATED START DATE AND PERFORMANCE PERIOD

USAID anticipates a start date on/about May or June 2012 and a performance period of 5 years.

## C. AWARD TYPE AND SUBSTANTIAL INVOLVEMENT

<u>Award Type</u> The Government intends to award one Cooperative Agreement resulting from this RFA to the responsible applicant whose application conforms to this RFA offering the greatest value in furthering the goals of the Program (see also Section I of this RFA). The Government may (a) reject any or all applications, (b) accept other than the lowest cost application, (c) accept more than one application, (d) accept alternate applications, and (e) waive informalities and minor irregularities in applications received.

<u>Substantial Involvement</u> The intended purpose of Agreement Officer's Technical Representative (AOTR) involvement during the Cooperative Agreement is to assist the recipient in achieving the supported objectives. The Agreement Officer has delegated the following approvals to the AOTR, except for changes to the Program Description or the approved budget. Such changes, as first reviewed by the AOTR, shall only be approved by the Agreement Officer.

Substantial involvement will be limited to:

1. Review and approval of annual implementation plans
2. Approval of specified key personnel
3. Approval of the recipient's monitoring and evaluation plan
4. Approval of Program Descriptions for all Solicitations
5. Approval of sub-awards (grants), including disbursement targets for commercialization grants
6. Approval of grants manual by the Agreement Officer (mandatory requirement before solicitations can be issued)

# SECTION III – ELIGIBILITY INFORMATION

## A. TYPES OF ENTITIES THAT MAY APPLY

**Applicants**

All qualified applicants are eligible to apply. USAID encourages applicants from qualified U.S. or non-U.S. entities, such as private, non-profit organizations (or for-profit companies willing to forego profits), including private voluntary organizations, universities, research organizations, professional associations, and relevant special interest associations. Awards to U.S. organizations will be administered in accordance with (1) 22 C.F.R. 226, (2) OMB Circulars and (3) the USAID Standard Provisions for U.S. Nongovernmental Recipients. Awards to non-U.S. organizations will be administered in accordance with USAID Standard Provisions for Non-U.S. Non-governmental Recipients.

USAID will not accept applications from individuals. All applicants must be legally recognized organizational entities under applicable law.

**"Responsibility" of Applicant**

In order for an award to be made, the Agreement Officer must make an affirmative determination that the applicant is "responsible," as discussed in ADS 303.3.9. This means that the applicant must possess, or have the ability to obtain, the necessary management and technical competence to conduct the proposed program, and must agree to practice mutually agreed-upon methods of accountability for funds and other assets provided or funded by USAID. In the absence of an affirmative "responsibility" determination, an award can ordinarily not be made. However, in rare cases, an award can be made with "special award conditions" (i.e., additional non-standard award requirements designed to minimize the risk presented to USAID of making an award to an NGO for which an affirmative determination of "responsibility" cannot be made), but only where it appears likely that the applicant can correct the deficiencies in a reasonable period.

## B. USAID ENCOURAGES APPLICATION FROM POTENTIAL NEW PARTNERS

USAID encourages applications from new partners.

## C. COST SHARING

There is no mandatory minimum cost share requirement for this program, however, it is always encouraged.

# SECTION IV – APPLICATION AND SUBMISSION INFORMATION

## A. POINT OF CONTACT

The point of contact for this RFA and any question during the RFA process is Christine Dwulet, Agreement Specialist:

USAID/Washington
Christine Dwulet
SA-44, Room 562-C
1300 Pennsylvania Avenue, NW
Washington, DC 20523
cdwulet@usaid.gov

Any prospective applicant desiring an explanation or interpretation of this RFA must request it in writing by the date listed on the cover letter to allow a reply to reach all prospective applicants before the submission of their applications. Oral explanations or instructions given before award of a Cooperative Agreement will not be binding. Any information given to a prospective applicant concerning this RFA will be furnished promptly to all other prospective applicants as an amendment of this RFA, if that information is necessary in submitting applications or if the lack of it would be prejudicial to any other prospective applicants.

## B. APPLICATION FORMS

Applicants must submit their applications using the SF-424 form series, which includes:

SF-424, Application for Federal Assistance
SF-424A, Budget Information – Non construction Programs
SF-424B, Assurances – Non construction Programs

## C. THE REQUIRED CERTIFICATIONS, AS ESTABLISHED AT ADS 303.3.8

The following certifications are required: a) Certification Regarding Terrorist Financing in accordance with AAPD 04-14. (Please note that this certification requires the applicant to ensure that recipients of subcontracts and grants are not listed as Specially Designated Nationals and Blocked Persons by the U.S. Treasury's Office of Foreign Assets Control.); b) Assurance of Compliance with Laws and Regulations Governing Nondiscrimination in Federally Assisted Programs; c) Restrictions of Lobbying (See 22 CFR 227); and d) Prohibition on Assistance to Drug Traffickers for Key Individuals (See ADS 206). See Annex F for full text of the required certifications.

## D. THE REQUIRED FORMAT FOR THE APPLICATION

### D.1 PREPARATION AND SUBMISSION GUIDELINES

All applications received by the date and time indicated in the cover letter will be reviewed for responsiveness to the specifications outlined in this RFA. Applications received after the deadline may not be considered. The application must be prepared in accordance with the structural format set forth below and should demonstrate the applicant's capabilities and expertise with respect to achieving the goals of the program. While applicants are expected to follow the format and the instructions contained therein, they should also be aware of the Selection Criteria in the solicitation and ensure that their applications reflect and address these criteria.

To facilitate the competitive review of the applications, USAID will consider only applications conforming to the format prescribed below:

***Page Limits***: The application must address all items requested under the sections listed below. The technical application must **not exceed twenty-five (25) pages**. Pages in excess of stated limitation will not be considered. However, the list of items with no page limits below is not included in either count.

The technical application will include the following sections with page limits for each section as noted in parentheses.

<u>Technical Application (25 pages)</u>

(a) Executive Summary
(b) Technical Approach
    1. Management Plan by Component
    2. Mobilization and Year One Workplan
    3. Institutional Capability/Management Approach
(c) Past Performance
(d) Staffing and Key Personnel
    1. Curriculum Vitae (CV) for Key Personnel (2 page maximum per candidate)

The items listed below will not count against the page limit:

- Cover Page
- Table of Contents
- Dividers

The hard copy application submitted will be used for the official page count.

<u>Cost Application (No page limit)</u>

**D.2. OTHER INSTRUCTIONS**

(a) Applications must be prepared in English.
(b) Narrative portions of the application must be prepared in Microsoft Word in Times New Roman font size 12. The budget portions of the cost application must be prepared in Microsoft Excel with formulas shown. Certifications and other signed pages may be submitted in Adobe Acrobat.
(c) Page size cannot exceed 8 ½ x 11" for the technical proposal and 8 ½ x 14" for the cost proposal.
(d) All pages except for the cover page must be numbered. Technical and cost applications must be numbered separately.
(e) The technical application must have a table of contents following the cover page.

## D.3. TECHNICAL APPLICATION FORMAT

**D.3.1 Cover Page**: The cover page shall include the name of the lead applicant applying for the award. If any partner organizations are included in the proposal, they should be listed separately, and indicated as subordinate to the principal organization. A summary table should be included that lists the prime applicant and all partner organizations as well as the percentage of overall program activities that each partner will contribute. The cover page should also identify a point of contact, hereafter referred to as the "agent," with the authority to negotiate and sign on behalf of the applicant. The individual's name (both typed and his/her signature), title or position in the organization, email and postal addresses, telephone and fax numbers should be included.

**D.3.2 Executive Summary**: This section shall provide a concise summary of the applicant's proposed program description, program methodology and expected results.

**D.3.3 Technical Application**: Applicants are expected to use their relevant expertise and capacities to meet the objective laid out in the Program Description (Section I.C). Within the proposal, applicants should describe their approach to the program, specifically addressing how they will achieve their proposed results in relation to the Program Description. The Technical Application should include the following sections:

1. Program Strategy
2. Past Performance
3. Staffing and Key Personnel

**D.3.3.1 Program Strategy**: The Application should present a strategy for achieving long-term development impacts to achieve the Program objective (See Section I.C). The application should demonstrate how the program will draw on lessons learned and capabilities of other programs and institutions. Applicants must briefly address AC&I's assumptions, describing how their strategies for each component and their experience build on these assumptions.

<u>Proposed Approach addressing each component</u>: Applicants must provide their plans for managing the activities discussed in the Program Description for each AC&I component. For Component 1 this will include (but not be limited to) plans addressing: (a) solicitation for FtF Commercialization Technologies process, (b) due diligence checklist, (c) commercialization award committee member selection, (d) disbursement target setting for commercialization grants; for Component 2, (e) management of partnership leads and (f) solicitation for partnerships and (g) partnership start-up grants (h) promotion of mission buy-in of partnerships; for Component 3 (i) partnership modeling and (j) technical/diagnostic responsiveness; and Component 4 (i) knowledge management process

<u>Year One workplan</u>: Applicants must provide a detailed year one workplan for implementing the Program. These plans must show the tasks that will be completed, the milestones that will be reached and process indicators against which progress will be monitored. The workplan must include provisions for development of a set of meaningful progress indicators and baseline to measure impact and should show how planning, reporting, and analysis will be efficiently managed across activities for year one and through the life of the program.

<u>Institutional Capabilities</u>: Evidence of the applicant's ability to establish a sound management system that draws on appropriate institutional capacity (including relationships with any key partners/sub-contractors, networks for accessing sources of capital and linkages to sources of innovative technologies) to implement AC&I across FtF countries. The Application should propose a management structure for the Program. The management structure should demonstrate

a balance between the needs to minimize administrative costs while effectively implementing the Program. The Application must show an organizational structure, including proposed lines of responsibility, authority and communication, and procedures to ensure productivity as well as cost and quality control.

**D.3.3.2 Past Performance**: Past performance is the degree to which the applicant has completed related work successfully, satisfied its customers/sponsors under past agreements, and complied with relevant laws and regulations. The Application should include description of past or current work undertaken by the Applicant and major sub-contractors or sub-grantees (responsible for 20 percent or more of the total budget) relevant to the proposed Program, with past performance references on those programs for current programs or those completed during the past five years. The applicant should use the past performance references to demonstrate capacity for creativity and leadership, to deliver high-impact results, and to effectively partner with other organizations (may include USAID).

The Application should list 3-5 past performance references with current phone numbers and email addresses. These should be listed in an attachment along with references for Key Personnel (Past Performance and Key Personnel references are not included in the 25 page limit). Any past performance references older than three years will not be evaluated. As part of this review, USAID may contact some of the applicant's past or current customers and partners to assess the applicant's performance. [Note: In addition to the references provided by the applicant, USAID may also contact other individuals knowledgeable about the applicant's performance on specific programs and other sources of information, including, but not limited to other government agencies, better business bureaus, published media, and electronic data bases.]

**D.3.3.3 Staffing and Key Personnel:** The Application must propose each of the key positions that will be necessary to implement the AC&I Program. These key positions will include a position description and proposed candidate. One key position will be the Program Director; applicants will describe his/her role and responsibilities for Program leadership and implementation. The Application must discuss the administration, management and implementation of other Key Personnel, explaining their roles and responsibilities, including the time allocation of any staff that is less than full time. A Curriculum Vitae (2 pages or less) must be included that describes Key Personnel qualifications for these positions.

The Application should list at least three references for each of the proposed candidates with **current** phone numbers and email addresses. These should be listed in an attachment for references for institutional past performance and key personnel. As part of its review, USAID may contact some of the references. [Note: In addition to the references provided by the applicant, USAID may also contact other individuals knowledgeable about the proposed individual's performance, technical qualifications, and leadership abilities and may draw on information from other sources, including, but not limited to other government agencies, published media, and electronic data bases.]

## D.4. COST APPLICATION FORMAT

The cost application shall include specific cost information for this program. Certain documents are required to be submitted by an applicant in order for an Agreement Officer to make a determination of responsibility. However, it is USAID's policy not to burden applicants with undue reporting requirements when the information is readily available through other sources.

The cost application must cover the budget for all core funds. While the yearly funding levels are unknown, the five-year budget can use indicative levels and correspondingly should identify illustrative Program activities. The application will be assessed for cost effectiveness, and applications that minimize management costs in order to maximize research, outreach, and capacity building activities will generally be considered a better value. For bidding purposes, applicants should provide the following budget estimates (plug figures), consistent with the Program Description:

| | |
|---|---|
| FtF Commercialization Grants (Including Mission Buy-In): | $22,500,000 (Component 1) |
| Commercialization Seed Grants: | $ 3,750,000 (Component 1) |
| Partnership Start-Up Funding: | $ 3,750,000 (Component 2) |
| Partnerships Funding (Including Mission Buy-In): | $ 22,500,000 (Component 2) |
| Short Term Studies- Partnership Modeling & Analyses | $ 800,000 (Component 3) |

The cost application must include the following:

A. Description of Costs

1. A completed SF-424 form in which the applicant provides a summary and detailed budget for the Leader award budget only. Please reference page 2 of the Cover Letter for the Government Estimate of funding available. Budgets must be submitted using Standard Form 424 which is included in this RFA package.
2. Detailed breakdown of each line item captured in SF-424; including a budget narrative.
3. Breakdown of all costs according to each partner organization involved in the program;
4. Separate and joint summary budgets (in Excel) of the Management Office and any partner organizations. The Excel spreadsheet must be submitted electronically and text accessible.
5. The budget must have an accompanying detailed budget narrative that provides in detail the total costs for implementation of the program your organization is proposing. The budget narrative must be written in the third person.
6. The budget must provide a breakdown of the financial and in-kind cost share contributions, converted to dollar value, of all organizations involved in implementing this Cooperative Agreement. Please indicate clearly if the cost share will be in-kind or cash in the budget and budget narrative.
7. Proposed cap on Indirect rates.

B. A current Negotiated Indirect Cost Rate Agreement (NICRA) with USAID, an Indirect Rate Agreement with another federal agency, or financial statements as described below for the Management Office and proposed partner organizations must be submitted. Applicants that do **not** currently have a Negotiated Indirect Cost Rate Agreement (NICRA) from their cognizant agency shall also submit the following information:

1. Copies of the applicant's financial reports for the previous 3-year period, which have been audited by a certified public accountant or other auditor satisfactory to USAID; and
2. Projected budget, cash flow and organizational chart

C. Required certifications and assurances (See Annex F of this RFA):

D. Applicants must submit any additional evidence of responsibility so that the Agreement Officer may make a determination of responsibility. The information submitted must be provided in 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 (e.g., EEO).

E. Applicants that have never received a grant, cooperative agreement, or contract from the US Government are required to submit a copy of their accounting manual and personnel and policy manual. If a copy has already been submitted to the US Government, the applicant must advise which Federal Office has a copy, and provide a point of contact with contact information (i.e., phone number).

## D.4. OTHER IMPORTANT INFORMATION

A. Acknowledgement of Amendments to the RFA. By submitting an application in response to this RFA, applicants acknowledge receipt of any amendments to the RFA.

B. Preparation of Applications:

1. Applicants are expected to review, understand, and comply with all aspects of this RFA. Failure to do so will be at the applicant's risk.
2. Each applicant shall furnish the information required by this RFA. The applicant shall sign the application 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.
3. Applicants who include data that they do not want disclosed to the public for any purpose or used by the US 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 US 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 cooperative agreement is awarded to this applicant as a result of, or in connection with, the submission of this data, the US Government shall have the right to duplicate, use, or disclose the data to the extent provided in the resulting cooperative agreement. This restriction does not limit the US 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 sheets marked"; 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."

C. Explanation to Prospective Applicants. Any prospective applicant desiring an explanation or interpretation of this RFA must request it in writing by the date listed on the cover letter to allow a reply to reach all prospective applicants before the submission of their applications. Oral explanations or instructions given before award of a Cooperative Agreement will not be binding. Any information given to a prospective applicant concerning this RFA will be furnished promptly to all other prospective applicants as an amendment of this RFA, if that information is necessary in submitting applications or if the lack of it would be prejudicial to any other prospective applicants.

D. Authority to Obligate the Government. The Agreement Officer is the only individual who may legally bind the Government for the expenditure of public funds. No costs chargeable to the proposed Cooperative Agreement may be incurred before receipt of either a fully executed Cooperative Agreement t or a specific, written authorization from the Agreement Officer.

E. The Applicant is reminded that US Executive Orders and US 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 Applicant/Recipient to ensure compliance with these Executive Orders and laws. This provision must be included in all subcontracts/subawards issued under this contract/agreement.

F. Foreign Government Delegations to International Conferences - Funds in this agreement may not be used to finance the travel, per diem, hotel expenses, meals, conference fees or other conference costs for any member of a foreign government's delegation to an international conference sponsored by a public international organization, except as provided in ADS Mandatory Reference "Guidance on Funding Foreign Government Delegations to International Conferences [http://www.info.usaid.gov/pubs/ads/300/refindx3.htm] or as approved by the AO.

G. Branding Requirements. In an effort to more accurately credit the American people for the foreign assistance they finance, USAID has engaged in a branding campaign. Effective January 2, 2006, all USAID-sponsored assistance awards are required to adhere to branding policies and revised marking requirements for grants and cooperative agreements in accordance with AAPD 05-11. This includes visibly displaying the USAID Standard Graphic Identity that clearly communicates assistance is, “From the American people” on all programs, projects, activities, publications, public communications, and commodities provided or supported through USAID assistance awards. AAPD 05-11 requires that, after the evaluation of the applications, the USAID Agreement Officer will request the Apparently Successful Applicant to submit a Branding Strategy that describes how the program, project, or activity is named and positioned, how it is promoted and communicated to beneficiaries and cooperating country citizens, and identifies all donors and explains how they will be acknowledged. USAID will not competitively evaluate the proposed Branding Strategy. http://www.usaid.gov/business/business_opportunities/cib/pdf/aapd05_11.pdf

H. Geographic Codes. In accordance with the limitations on USAID’s ability to procure goods and services outside of the United States (see the Foreign Assistance Act of 1961 and 22 CFR 228), source and origin of goods and nationality of suppliers of goods and services under the project will be from the United States, Geographic Code 000. Some local procurement is also allowed. Please reference Standard Provision C.16 Local Procurement for thresholds for 935, Local Procurement.

I. Initial Environmental Examination (IEE). Because of the potential for adverse impacts if the activities are not properly managed an IEE for AC&I concluded that a Negative Determination with Conditions is warranted, with the following specific conditions:

1. All activities under this program, whether technical assistance, consultations, or recommendations for program designs will include Best Practices regarding sustainable use, including principles of environmental protection, impact mitigation and environment sustainability.
2. All proposed innovation awards and partnership awards will require preparation of a separate Initial Environmental Examination. No award will be made until an Environmental Threshold Decision, as defined in 22 CFR 216.3(a)(2), has been reached for that activity and documented in a Request for Categorical Exclusion (RCE), Initial Environmental Examination (IEE), or Environmental Assessment (EA) signed by the Bureau Environmental Officer (BEO). Calls for innovations will stipulate that all awards will be individually assessed for their potential environmental impacts through an IEE Amendment.

## D.5 THE DEADLINE FOR SUBMISSION OF APPLICATION

Applications must be received by the closing date and time indicated at the top of the RFA cover letter via http://www.Grants.gov following the instructions on the website. The application must also be submitted via e-mail to Christine Dwulet at cdwulet@usaid.gov and Natalie Thunberg, Agreement Officer, at nthunberg@usaid.gov. The date and time the e-mailed submission is received by the USAID contact person indicated below will be used as a measure of timeliness.

In addition, five hard copies must be submitted, one copy must be unbound and unstapled and must include original signatures. The remaining technical and cost applications shall be submitted in a single volume three ring binder with a divider separating the two. Hard copies must be submitted in a package with the name and address of the applicant and RFA number inscribed, to:

Via US Postal Service/UPS/ FedEx:
US Agency for International Development
Office of Acquisition and Assistance,
Attention: Christine Dwulet
M/OAA/EGAT
SA-44, Room 562-C
1300 Pennsylvania Ave., NW
Washington, DC 20523-7900

Or Hand-carried:
US Agency for International Development
Attention: Christine Dwulet
M/OAA/EGAT
301 C St., SW
Washington, DC 20547
From lobby call extension 4191

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. If there is a conflict between the hard copy of the application and the electronic version of the application, the hard copy version will be used as the official application. Applications which are incomplete may not be considered in the review process.

It is the responsibility of the applicant to ensure that the application is received in hard copy, via email and that it has been submitted in Grants.gov in its entirety. USAID strongly recommends applicants to deliver hard copy applications in person at USAID. USAID bears no responsibility for data errors resulting from transmission or conversion processes.

## D.6 FUNDING RESTRICTIONS

Funding for the Agricultural Commercialization and Innovation Activity may be affected by future budget levels. Any and all funding is subject to the availability of funds to USAID.

# SECTION V – APPLICATION REVIEW INFORMATION

## A. EVALUATION CRITERIA

The criteria presented below are tailored to the requirements of this particular RFA. Applicants should note that these criteria serve: (a) to identify the significant matters upon which an applicant will be evaluated and should address in its application and (b) to set the standard against which all applications will be evaluated. To facilitate the review of the applications, applicants should organize their narrative sections of the application in the same order as the selection criteria.

The technical applications shall be evaluated in accordance with the Technical Evaluation Criteria set forth below relative to the information provided to applicants in Section I and in the Program Description (Section II) of this RFA. An award will be made to a responsible applicant, whose application offers the greatest value to the U.S. Government, considering cost and technical factors.

### A.1 TECHNICAL EVALUATION CRITERIA

The technical applications shall be evaluated in accordance with the Technical Evaluation Criteria set forth below relative to the Funding Opportunity Description provided to applicants in Section I and other information contained in other Sections of this RFA. Awards will be made to the responsible applicant whose application offers the greatest value to the government, cost and other factors considered.

The Technical Evaluation Committee will evaluate the applications' relative strengths and weaknesses against the evaluation criteria listed below. Sub-criteria are in descending order.

**A.1.1 Technical Approach** (40 points): Evidence of an innovative, coherent, and comprehensive strategy for the technical approach, which reflects an understanding of the AC&I Components in the Program Description. Applicants must address the assumptions in the Program Description as evidence that they can rapidly start implementation and address the constraints to achieving results.

<u>Proposed Approach (20 points)</u>: The extent to which the proposed approach outlines all activities showing technical soundness, feasibility, ambitiousness, innovation, impact, efficiency, and sustainability, results orientation, measurement of results and strategic use of resources; how the expected results will be achieved and how constraints will be addressed.

<u>Year One Workplan (10 pts)</u>: Submit a draft year one workplan for review.

<u>Institutional Capabilities (10 pts)</u>: Evidence of the applicant’s ability to establish a sound management system and project team structure that draws on appropriate institutional capacity (including relationships with any key partners/sub-contractors, arrangements for accessing sources of capital, innovative technologies, and expertise) to implement the proposed program effectively and achieve the objectives in the Program Description.

**A.1.2 Key Personnel** (35 points): Applicants will be evaluated based on the demonstrated relevant experience, educations, qualifications and capability of the proposed key personnel to carry out the Program Description.

Specifically, applicant must provide:

- o Position descriptions
- o Position candidates and their Curriculum Vitae summarizes their qualifications
- o Position candidates references (3-5)

Applicants will be evaluated in accordance with the following sub-criteria which are weighted below:

a) Demonstrated capability, experience, education and qualifications of proposed Program Director (20 points)
b) Demonstrated capability, experience, education and qualifications of other key personnel, to complete the work under this Program Description. (15points)

**A.1.3 Past Performance** (total of 25 points): Past Performance for applicant will be evaluated based on the evidence of ability to comply with terms and conditions of contract or grant awards to effectively and efficiently achieve development objectives and results through innovative planning and implementation and sound business practices and relations. Applicants will be evaluated based on past performance references on relevant current programs or those completed during the past three years.

In cases where an applicant lacks relevant performance history or information on performance is not available, then the applicant will not be evaluated favorably or unfavorably on performance. The "neutral" rating assigned to any applicant lacking relevant performance history is a score commensurate with the percentage of points received vs. possible points. Prior to assigning a "neutral" past performance rating, the agreement officer may take into account a broad range of information related to an applicant's performance.

## A2. COST APPLICATION (NO POINTS)

USAID will evaluate the total cost proposed for the principal tasks identified in this RFA for task order for realism, completeness and reasonableness. Cost realism will be performed as part of the evaluation process to:

- assess the accuracy with which proposed costs represent the most probable and realistic cost of performance;
- reflect a clear understanding of the requirements; and
- are consistent with the various elements of the applicant's technical proposal.

Proposals will be evaluated by comparing the differences in the value of technical evaluation criteria with differences in cost to the Government. The importance of cost as an evaluation factor will increase with the degree of equality of the proposals in relation to the remaining evaluation factors. When the applicants are considered essentially equal in terms of technical capability, or when cost is so significantly high as to diminish the value of the technical superiority of the proposal, cost may become a determining factor for award, including possible leveraged resources that the Applicants and partners propose. Cost shares are not expected or required but will be considered favorably; for evaluation purposed, cost shares must be clearly marked as in-kind or cash contribution.

# SECTION VI – AWARD AND ADMINISTRATION INFORMATION

## A. POST-SELECTION INFORMATION

Following selection of an awardee, USAID will inform the successful applicant concerning the award. A notice of award signed by the Agreement Officer is the official authorizing document, which USAID will provide either electronically or in hard copy to the successful applicant's main point of contact.

USAID also will notify unsuccessful applicants concerning their status after selection has been made.

## B. STANDARD PROVISIONS AND DEVIATIONS

There are no standard provision deviations contemplated under this award.

## C. GENERAL INFORMATION ON REPORTING REQUIREMENTS

### C.1. FINANCIAL REPORTING

The Recipient shall submit an original and one copy. Financial Reports shall be in keeping with 22 CFR 226.52.

The recipient shall list each country included in the program and the total amount expended for each country under the award for the reporting period in the "Remarks" block on the "Financial Status Report" SF 269 or SF 269A, or on a separate sheet of paper with the "Request for Advance or Reimbursement " SF 270. Financial Reports will be required on a quarterly basis. The recipient shall submit these forms in the following manner:

1. The SF 269 shall be submitted to the Cognizant Technical Officer with one copy to the Agreement Officer.
2. The SF 272 and 272a (if necessary) will be submitted via electronic format to the US **Department of Health and Human Services (http://www.dpm.psc.gov ).** A copy of this form shall also be simultaneously submitted to the Agreement Officer and the Cognizant Technical Officer.
3. In accordance with 22 CFR 226.70-72 the original and two copies of final financial reports shall be submitted as follows: M/FM, the Agreement Officer, and the AOTR.
4. Reporting on Foreign Taxes shall be in accordance with the corresponding Supplement al Standard Provision 13 (March 2006).

### C.2. MONITORING AND REPORTING PROGRAM PERFORMANCE

1. As reporting requirements for the Cooperative Agreement, the Recipient shall submit an original and two (2) copies of all performance reports to the Agreement Officer's Technical Representative (AOTR) in USAID/Washington. The performance reports are required to be submitted annually and shall present the information contained in 22 CFR 226.51(d).

2. Performance reports shall include: a) Semi-Annual Reports to be submitted in April of each year covering the period October through March; b) Annual Reports to be submitted in October of each year covering the period October through September; and Special Reports, as identified in Annual Work Plans.
3. The Semi-Annual Reports shall be concise reports that summarize the results to date and address deviations from targets approved in Annual Work Plan projections, significant problems encountered, and other issues requiring USAID attention.
4. The Annual Reports and Annual Work Plans shall be submitted in a format and on a time schedule agreed to between the AOTR and Recipient.
5. Annual Reports should include progress made toward benchmarks and result indicators of development impact, as discussed in the program description of this RFA and detailed in the Recipient's PMP. Reports shall also incorporate standard Agency Performance Reporting requirements and Special Reporting for Feed the Future Initiative.

**C.3. FINAL REPORT**

The final performance report shall contain the information contained in 22 CFR 226.51(d). The Recipient shall submit a final report that replaces the last annual report and includes: an executive summary of the recipient's accomplishments in achieving results and impact, conclusions about lessons learned, future challenges and opportunities, an overall description of the Recipient's activities and attainment of results by country, region, or theme, an assessment of progress made toward accomplishing the Objectives and expected Results, significance of these activities, and important research findings, comments and recommendations. The final report must also include a final fiscal report that describes how funds were used.

**C.4. SUBMISSION OF REPORTS**

The Recipient shall submit an original to the Washington AOTR, one copy to the Agreement Officer, and one electronic copy of the final report to the Development Experience Clearinghouse (DEC). Documents submitted to the DEC should be sent in original format via email to:

E-mail (the preferred means of submission):
docsubmit@dec.cdie.org

Please reference web site http://www.dec.org/submit_doc.cfm or contact one of the following concerning any questions your organization may have on the reporting requirements:

Development Experience Clearinghouse
E-mail: docsubmit@dec.cdie.org
Phone: (301) 562-0641

USAID/PPC/DEI
Phone (202) 712-4696

**C.5. EVALUATION**

USAID may carry out external evaluations of the AC&I Activity as deemed necessary. USAID will consult with the Recipient to the extent possible and appropriate in planning and carrying out any such external evaluations. An external evaluation would likely be required to provide input into any decision for renewal and extension of the Program for a possible second five-year award.

# SECTION VII – AGENCY CONTACTS

The point of contact for this RFA and any question during the RFA process is Christine Dwulet, Agreement Specialist:

Christine Dwulet
USAID/Washington
SA-44, Room 562-C
1300 Pennsylvania Avenue, NW
Washington, DC 20523
cdwulet@usaid.gov

Any prospective applicant desiring an explanation or interpretation of this RFA must request it in writing by the date listed on the cover letter to allow a reply to reach all prospective applicants before the submission of their applications. Oral explanations or instructions given before award of a Cooperative Agreement will not be binding. Any information given to a prospective applicant concerning this RFA will be furnished promptly to all other prospective applicants as an amendment of this RFA, if that information is necessary in submitting applications or if the lack of it would be prejudicial to any other prospective applicants.

# SECTION VIII – OTHER INFORMATION

**OTHER RELEVANT INFORMATION**

Resulting awards to U.S. Non-government Organizations will be administered in accordance with Chapter 303 of USAID's Automated Directives System (ADS 303), 22 CFR 226, applicable OMB Circulars (i.e., A-21 for Universities or A-122 for Non-Profit Organizations, and A-133), and Standard Provisions for Non-Governmental Organizations.

- ADS 303 is available at: http://www.usaid.gov/policy/ads/300/303maa.pdf.
- 22 CFR 226 is available at: http://www.access.gpo.gov/nara/cfr/waisidx_06/22cfr226_06.html.
- Applicable OMB Circulars are available at: http://www.whitehouse.gov/OMB/circulars/index.html.
- Standard Provisions for U.S. Non-Governmental Organizations are available at: http://www.usaid.gov/policy/ads/300/303maa.pdf.

Resulting award to Public International Organizations (PIOs, or IOs) will be administered in accordance with Chapter 308 of USAID's ADS including the Standard Provisions set forth in ADS-308.5.15.

Potential for-profit applicants should note that USAID policy prohibits the payment of fee/profit to the prime recipient under grants and cooperative agreements. However, if a prime recipient has a subcontract with a for-profit organization for the acquisition of goods or services (i.e., if a buyer-seller relationship is created), fee/profit for the subcontractor is authorized.

Standard Provisions for Non-U.S. Non-Governmental Organizations are available at: http://www.usaid.gov/policy/ads/300/303mab.pdf .

The USAID Inspector-General's "Guidelines for Financial Audits Contracted by Foreign Recipients" is available at: http://www.usaid.gov/oig/legal/audauth/rcapguid.pdf.

# ANNEXES

## ANNEX A. ACRONYMS AND DEFINITIONS

The following acronyms are particular to this Request for Application:

AC&I – Agriculture Commercialization and Innovation Program

AOTR – Agreement Officer's Technical Representative. A USAID employee designated by the Agreement Officer to oversee a grant or cooperative agreement on behalf of USAID

BFS/MPI – Bureau for Food Security, Office of Markets, Partnerships and Innovations

CIB – Contract Information Bulletin

FtF – Feed the Future Initiative

Mission - A formally organized USAID operating unit in a host country led by a Mission Director or a Country Representative

MSI – Minority Serving Institutions

RFA - Request for Application

USAID - United States Agency for International Development

USAID/W – USAID/Washington headquarters of the United States Agency for International Development

## ANNEX B: STANDARD FORMS 424 AND 424A

FORMS AVAILABLE AT: www.grants.gov

The following object class categories are those required on USAID Form 424A:

Personnel

The category includes the salary of each long-term and short-term, paid position for the total estimated life-of-project, except consultants, and the projected cost-of-living or bonus/merit increase for each position.

Fringe Benefits

This category includes the amount and percentage of fringe benefits for each headquarters and field personnel identified above. Include here all allowances such as housing, schooling, leave benefits and other items.

Travel

This category includes all projected travel, per diem and other related costs for personnel except consultants. Include the method by which airfare costs were determined; i.e. quotes for coach and if per diems are based on established policies.

Equipment

In accordance with 22 CFR 226, 'equipment' means tangible non-expendable personal property, including exempt property charged directly to the award having a useful life of more than one year and an acquisition cost of $5,000 or more per unit. Information should be included in the application on how pricing was determined for each piece of the equipment.

There are statutory constraints relating to the purchase of agricultural commodities, motor vehicles, pharmaceuticals, pesticides, rubber compounding chemicals and plasticizers, used equipment and fertilizer with USAID project funds. Applicants may obtain specific information on these regulations on USAID Web Site at http://www.usaid.gov/pubs/ads.

Supplies

In accordance with 22 CFR 226, 'supplies' means all personal property excluding equipment, intangible property, debt instruments and interventions.

Contractual Services

This category is for all subcontractors with organizations, which will provide services to the project and any short- or long-term consultant cost including fees, travel and per diem. This category is not to be used for sub-grant, which should be included in other.

Construction

N/A

Other

Applicants are to identify all costs associated with training of project personnel.

Applicants planning to use USAID funds to send project staff or local counterparts for training in the US or a country other than the host country, will be required to follow the guidance on USAID Participant Training Regulations, which may be found on the USAID Web Site http://www.usaid.gov/pubs/ads.

The Applicant should provide information on any costs attributed to the project not associated above; i.e., communications, facilitate, fuel vehicles, repair, maintenance and insurance.

Include in this budget class category all sub-grants.

Indirect Charges

Include a copy of the Applicant's most recent negotiated indirect cost rate agreement (NICRA) from the cognizant audit agency showing the overhead and/or general administrative rate. In the absence of a NICRA all costs must be charged as direct costs.

USAID Form 424A, Section C should reflect the Applicant's and other sources' cash contribution to this program, if applicable. A cash match means that funds are used to support the budget elements discussed above. The cash value of donated equipment or supplies must be documental.

A narrative that justifies the costs as appropriate and necessary for the successful completion of the program should be attached to USAID Form 424. The narrative must provide clear explanations for cost reasonableness, particularly when proposed costs exceed market rates.

The Cooperative Agreement Budget generally has four (4) different categories called Budget Cost Elements: Program, Training, Procurement, and Indirect Costs. A sample Agreement Budget is included below. On Standard Form 424A, Section B-Budget Categories, all eleven Object Class Categories have a footnote number next to them. The footnote numbers next to the Object Class Categories correspond to one of the four Cost Elements of the Cooperative Agreement Budget. The 11 Object Class Categories fit within the four Cost Elements of the Cooperative Agreement Budget. For this application, submit only the Standard Form 424 and 424A, with the corresponding eleven (11) Object Class Categories, supported by a detailed narrative.

SAMPLE COOPERATIVE AGREEMENT BUDGET

SF 424, Sec. B, Item 6

| Budget Cost Element | Object Class Category | Budget Amount |
|---|---|---|
| Program | Line a, b, c, & h | $__________ |
| Procurement | Line d, e and f | $ __________ |
| Training | Line h | $ __________ |
| Indirect Costs | Line j | $ __________ |
| Program's Total Budget | | $ __________ |
| Funding arrangement: | | |
| Total USAID Amount | | $ __________ |
| Recipient's Cost Share, if applicable | | $ __________ |
| Total Program Funding | | $ __________ |

## ANNEX C - CERTIFICATIONS, ASSURANCES, AND OTHER STATEMENTS OF THE RECIPIENT (MAY 2006)

### PART I - CERTIFICATIONS AND ASSURANCES

#### 1. ASSURANCE OF COMPLIANCE WITH LAWS AND REGULATIONS GOVERNING NON-DISCRIMINATION IN FEDERALLY ASSISTED PROGRAMS

*Note: This certification applies to Non-U.S. organizations if any part of the program will be undertaken in the United States.*

(a) The recipient hereby assures that no person in the United States shall, on the bases set forth below, be excluded from participation in, be denied the benefits of, or be otherwise subjected to discrimination under, any program or activity receiving financial assistance from USAID, and that with respect to the Cooperative Agreement for which application is being made, it will comply with the requirements of:

(1) Title VI of the Civil Rights Act of 1964 (Pub. L. 88-352, 42 U.S.C. 2000-d), which prohibits discrimination on the basis of race, color or national origin, in programs and activities receiving Federal financial assistance;

(2) Section 504 of the Rehabilitation Act of 1973 (29 U.S.C. 794), which prohibits discrimination on the basis of handicap in programs and activities receiving Federal financial assistance;

(3) The Age Discrimination Act of 1975, as amended (Pub. L. 95-478), which prohibits discrimination based on age in the delivery of services and benefits supported with Federal funds;

(4) Title IX of the Education Amendments of 1972 (20 U.S.C. 1681, et seq.), which prohibits discrimination on the basis of sex in education programs and activities receiving Federal financial assistance (whether or not the programs or activities are offered or sponsored by an educational institution); and

(5) USAID regulations implementing the above nondiscrimination laws, set forth in Chapter II of Title 22 of the Code of Federal Regulations.

(b) If the recipient is an institution of higher education, the Assurances given herein extend to admission practices and to all other practices relating to the treatment of students or clients of the institution, or relating to the opportunity to participate in the provision of services or other benefits to such individuals, and shall be applicable to the entire institution unless the recipient establishes to the satisfaction of the USAID Administrator that the institution's practices in designated parts or programs of the institution will in no way affect its practices in the program of the institution for which financial assistance is sought, or the beneficiaries of, or participants in, such programs.

(c) This assurance is given in consideration of and for the purpose of obtaining any and all

Federal grants, loans, contracts, property, discounts, or other Federal financial assistance extended after the date hereof to the recipient by the Agency, including installment payments after such date on account of applications for Federal financial assistance which was approved before such date. The recipient recognizes and agrees that such Federal financial assistance will be extended in reliance on the representations and agreements made in this Assurance, and that the United States shall have the right to seek judicial enforcement of this Assurance. This Assurance is binding on the recipient, its successors, transferees, and assignees, and the person or persons whose signatures appear below are authorized to sign this Assurance on behalf of the recipient.

**2. 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.

**3. 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.

**4. 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.

### 5. 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/APS No. _________________________________

Application No. _______________________________

Date of Application _______________________________

Name of Recipient _______________________________

Typed Name and Title ___________________________________

Signature ______________________________________

Date ________________

## PART II - 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.

## PART III - 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.

**PART IV - CERTIFICATION OF COMPLIANCE WITH THE STANDARD PROVISIONS ENTITLED "CONDOMS" AND "PROHIBITION ON THE PROMOTION OR ADVOCACY OF THE LEGALIZATION OR PRACTICE OF PROSTITUTION OR SEX TRAFFICKING."**

*Applicability: This certification requirement only applies to the prime recipient. Before a U.S. or non-U.S. non-governmental organization receives FY04-FY08 HIV/AIDS funds under a grant or cooperative agreement, such recipient must provide to the Agreement Officer a certification substantially as follows*:

"[Recipient's name] certifies compliance as applicable with the standard provisions entitled "Condoms" and "Prohibition on the Promotion or Advocacy of the Legalization or Practice of Prostitution or Sex Trafficking" included in the referenced agreement."

RFA/APS No. ________________________________

Application No. ________________________________

Date of Application ________________________________

Name of Applicant/Subgrantee ________________________________

Typed Name and Title ________________________________

________________________________

Signature ________________________________

**PART V - SURVEY ON ENSURING EQUAL OPPORTUNITY FOR APPLICANTS**

*Applicability: All RFA's must include the attached Survey on Ensuring Equal Opportunity for Applicants as an attachment to the RFA package. Applicants under unsolicited applications are also to be provided the survey. ( While inclusion of the survey by Agreement Officers in RFA packages is required, the applicant's completion of the survey is voluntary, and must not be a requirement of the RFA. The absence of a completed survey in an application may not be a basis upon which the application is determined incomplete or non-responsive. Applicants who* *volunteer to complete and submit the survey under a competitive or non-competitive action are instructed within the text of the survey to submit it as part of the application process.)*

## PART VI - 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. | Facsimile 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 subgrant or subagreement) to a subgrantee 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 |
|---|---|---|

(d) Source, Origin, and Componentry 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 percent componentry, which are not at least 50 percent 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 percent 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, a 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 QUANTITY ESTIMATED GOODS PROBABLE GOODS PROBABLE
(Generic) UNIT COST COMPONENTS SOURCE COMPONENTS ORIGIN

(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 QUANTITY ESTIMATED PROBABLE INTENDED USE
(Generic) UNIT COST SOURCE ORIGIN

(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 QUANTITY ESTIMATED PROBABLE SLUPPIER NATIONALITY RATIONALE
(Generic) UNIT COST (Non-US Only) for NON-US

(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 percent 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

### 6. PAST PERFORMANCE REFERENCES

On a continuation page, please provide past performance information requested in the RFA.

### 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 loc al 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.