



Issuance Date: July 16, 2010  
**Closing Date: August 16, 2010**  
Closing Time: 17:00 (Brasilia time)

**Subject: Request for Applications (RFA-512-10-000004)**  
**Trilateral Cooperation – Food Security – USAID, Brazil, Mozambique**

The United States Government, as represented by the United States Agency for International Development (USAID) Mission to Brazil, intends to award a Cooperative Agreement to implement a three-year program, subject to the availability of funds, as described in the following Request for Application (RFA).

The Recipient, with USAID/Brazil's joint collaboration, will be responsible for the negotiation, coordination, development, and management of the USAID-funded portion of a trilateral cooperation agreement between USAID/Brazil and the Government of Brazil for a Food Security Program to include an agricultural (small crop) activity and a school nutrition activity to be implemented in Mozambique. Please refer to Section I, the Funding Opportunity Description, for a complete statement of goals and expected results. 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 (OMB Circular A-122 for non-profit organization, OMB Circular A-21 for universities, and the Federal Acquisition Regulation (FAR) Part 31 for-profit organizations), may be paid under the agreement when awarded.

Subject to the availability of funds, USAID intends to provide approximately \$8,000,000 in total USAID funding to be allocated over a four-year period. USAID reserves the right to fund or not the application submitted.

Award will be made to the responsible applicant whose application offers the greatest value to the U.S. Government. 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.

This RFA and any future amendments can be downloaded from <http://www.grants.gov>. Select "Find Grant Opportunities," then click on "Browse by Agency," and select the "U.S. 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 at the discretion of the Agreement Officer.

This RFA is being issued and consists of this cover letter and the following:

1. Section I – Funding Opportunity Description;
2. Section II – Award Information;
3. Section III - Eligibility Information;
4. Section IV – Application and Submission Information;
5. Section V – Application Review Information;
6. Section VI – Award and Administration Information;
7. Section VII – Agency Contacts;
8. Section VIII – Other information;

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

If it is determined that the answer to any question(s) is of sufficient importance to warrant notification to all prospective recipients, a Questions and Answer document, and/or if needed, an amendment to the RFA will be issued. We expect to receive your questions related to this RFA no later than **July 23, 2010**. Answers will be provided and distributed within five (5) business days.

Any questions concerning this RFA must be submitted in writing by email to both: Ms. Cynthia L. Shartzter, Agreement Officer, at [cshartzter@usaid.gov](mailto:cshartzter@usaid.gov); and to Ms. Ana Paula Mendes, Assistance Specialist, at [amendes@usaid.gov](mailto:amendes@usaid.gov).

Your application should be received by the closing date and time indicated at the top of this cover letter at the place designated below for receipt of application. Applicant is requested to submit both technical and cost portions of its application in separate files as an attachment to electronic mail by the closing date and time indicated at the top of this cover letter. The Technical and Cost applications should be sent by e-mail to Ms. Cynthia L. Shartzter, Agreement Officer, at [cshartzter@usaid.gov](mailto:cshartzter@usaid.gov); and to Ms. Ana Paula Mendes, Assistance Specialist, at [amendes@usaid.gov](mailto:amendes@usaid.gov). Hard copies should be sent to:

Cynthia L. Shartzter  
Agreement Officer  
USAID/Peru  
Av. La Encalada s/n, Cuadra 17  
Lima 33, Peru

Ana Paula Mendes  
Assistance Specialist  
USAID/Brazil  
SES Quadra 801 Lote 3  
Brasilia, DF, 70403-900, Brazil

Issuance of this RFA does not constitute an award commitment on the part of the Government. In addition, final award cannot be made until funds have been fully appropriated, allocated, and committed through internal USAID procedures. While it is anticipated that these procedures will be successfully completed, the potential applicant is hereby notified of these requirements and conditions for award. Application is submitted at the risk of the applicant; should circumstances prevent award of a grant, all preparation

and submission costs are at the applicant's expense.

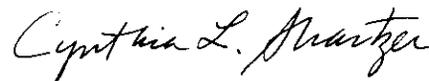
Receipt of this RFA must be confirmed by written notification (e-mail) to the USAID/Peru Agreement Officer and to the Assistance Specialist USAID/Brazil identified above. It is the responsibility of the recipient of this RFA document to ensure that it has been received in its entirety.

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 IV - Application and Submission Information;
- (b) Section I - Funding Opportunity Description;
- (c) This Cover Letter.

Thank you for your consideration of this USAID initiative.

Sincerely,



Cynthia L. Shartz  
Agreement Officer  
USAID/Peru

## **SECTION I – FUNDING OPPORTUNITY DESCRIPTION**

### **A. PURPOSE**

Trilateral Cooperation is one of the newest forms of development assistance between donors. This is a unique opportunity for a USAID implementing partner to be on the cutting-edge by assisting USAID/Brazil in developing a program with another donor country, Brazil, for an activity to benefit a third, recipient country. The model that results may eventually be replicated by USAID in cooperation with other donor countries in other beneficiary countries around the world. Creativity, innovation, technical expertise, diplomatic negotiation skills, an awareness of political sensitivities, working with other governments/government agencies, attention to detail and good communication skills are all important as is delivering real results on the ground in the recipient country. More specifically, the award recipient will partner with technical ministries of the Government of Brazil (GOB) to implement USAID/Brazil's component of a trilateral cooperation agreement between the U.S. Government (USG) and the GOB for development projects in third countries. The first phase of this program will be a Food Security program and the beneficiary country will be Mozambique.

### **B. BACKGROUND**

In March 2010, the U.S. Government (USG) and the Government of Brazil (GOB) signed a Memorandum of Understanding to promote trilateral cooperation between the two countries for assistance in third countries. By partnering with Brazil, USAID will leverage the GOB's experience and technical expertise in domestic agricultural (small crop) activity and school feeding programs and the GOB will leverage USAID's experience and technical expertise in implementing development programs internationally. Cooperation in the first year will focus on Food Security.

In FY2010, in support of the Presidential Global Hunger and Food Security Initiative, Feed the Future, it is anticipated that USAID/Brazil will receive \$2 million to partner with the Government of Brazil to implement activities to combat hunger and increase food security in Mozambique.

### **C. EXPECTED OBJECTIVES AND OUTCOMES**

The Award Recipient (USAID/Partner) will, with USAID/Brazil's joint collaboration, negotiate, plan, coordinate, and implement the USAID-funded component of a trilateral cooperation agreement between USAID/Brazil and the Government of Brazil and /or its designated representatives. While the first year of this expected 4-year program will focus on programs (Food Security) for agriculture (small crop) and school nutrition in Mozambique, future areas of cooperation may be in other development sectors and in other designated beneficiary countries/regions. The roles of various parties are outlined

below:

USAID/Brazil – will manage the trilateral cooperation agreement with the Brazilian Cooperation Agency (ABC), to determine jointly project areas and countries to receive assistance.

ABC – will manage the trilateral cooperation agreement with USAID/Brazil, to determine project areas and countries to receive assistance.

Award Recipient (USAID/Brazil Partner) – will, with USAID/Brazil’s joint collaboration, negotiate, develop, coordinate, and implement the programs determined by USAID/Brazil and ABC in specified beneficiary countries. The implementing partner will work with the GOB and/or its representatives as well as with officials/representatives of the beneficiary country in the development and implementation of the activities.

GOB and/or its designated representatives – will negotiate, develop, coordinate, and implement the programs jointly determined by USAID/Brazil and ABC in specified recipient countries. They will work with the USAID/Brazil Partner as well as with officials/representatives of the beneficiary country in the development and implementation of the activities.

Beneficiary Countries – USAID/Brazil and ABC will coordinate projects with beneficiary countries and/or their representatives. They will participate with USAID/Brazil Partner and GOB designated representatives in program development and implementation.

#### **D. ACTIVITIES**

**General – Partnering with the technical ministries of GOB to implement USAID/Brazil’s component of the trilateral cooperation agreement between the USG and the GOB. General activities are outlined below, but may be refined if they are within the general scope of the Program Description.**

- Develop programs (to include technical expertise) to meet the objectives designated by USAID/Brazil (taking into account gender equality issues).
- Negotiate (in collaboration with USAID), coordinate, develop said activities with the Government of Brazil and/or its designated representatives;
- Negotiate (in collaboration with USAID), coordinate, develop said activities with the beneficiary government and/or its designated representatives;
- Implement and administer the USAID component of the agreed to activities in the beneficiary countries;
- Coordinate and participate in agreement meetings in Washington DC; Brasilia, Brazil; and the beneficiary country.

**Results to be achieved during the first year of implementation**

**Specific activities for the 2010 Food Security Program providing assistance to Mozambique.**

- Please see attached school feeding program concept paper.
- Please see attached agricultural (small crop) program concept paper.

**Facilitate the exchange of best practices and lessons learned**

- Following one year of activities, prepare a document describing trilateral cooperation lessons learned to be published in English and Portuguese.

**MONITORING AND EVALUATION**

USAID and the GOB will oversee program implementation with semi-annual visits to the project sites to conduct program monitoring and evaluation (M&E). Additional M&E mechanisms will be tailored to each program.

**E. AWARD ADMINISTRATION**

22 CFR 226, OMB Circulars, and the Standard Provisions for Recipients will be applicable. These documents may be accessed through the world-wide-web at:

<http://www.usaid.gov/business/regulations/>

**APPLICABILITY OF 22 CFR PART 226 - MAY 2005**

a. All provisions of 22 CFR Part 226 and all Standard Provisions attached to this agreement are applicable to the recipient and to subrecipients which meet the definition of "Recipient" in Part 226, unless a section specifically excludes a subrecipient from coverage. The recipient shall assure that subrecipients have copies of all the attached standard provisions.

b. For any subawards made with Non-US subrecipients the Recipient shall include the applicable "Standard Provisions for Non-US Nongovernmental Grantees." Recipients are required to ensure compliance with monitoring procedures in accordance with OMB Circular A-133.

**[END OF SECTION I]**

## SECTION II – AWARD INFORMATION

### A. Estimate of Funds Available

Subject to the availability of funds, USAID intends to provide approximately \$8,000,000 in total USAID funding over the four-year life of the activity.

### B. Number of Awards Contemplated

USAID intends to award one Cooperative Agreement from this RFA. USAID reserves the right to fund any or none of the applications submitted.

### C. Start Date and Period of Performance

The period of performance anticipated herein is for four years, through September 30, 2014. The estimated start date is on or about September 30, 2010.

### D. Type of Award

USAID/Brazil expects to award one cooperative agreement.

### E. Substantial Involvement

USAID plans to negotiate and award an assistance instrument known as Cooperative Agreement with the successful Applicant for this activity. A Cooperative Agreement implies a level of “substantial involvement” by USAID through the Agreement Officer’s Technical Representative (AOTR). The intended purpose of the AOTR involvement during the award is to assist the recipient in achieving the supported objectives of the agreement. The minimal substantial involvement elements that will apply during the award period are listed below:

- Review and approval of key personnel and changes in key personnel;
- Approval of negotiation strategies, annual work plans and performance monitoring plans;
- Agency coordination and collaboration with implementing partner:
  - Approval of partnerships, memorandums of understanding, etc. between recipient and other parties;

### F. Key Personnel

USAID will approve the personnel filing those positions considered to be essential to the successful implementation of the award. The key personnel position for this award is:

- Program Manager

This is the suggested minimum staff requirement for key personnel. If the need of additional long-term technical staff arises, the Recipient may include additional long-term technical staff upon written approval from both the Agreement Officer and the USAID Agreement Officer's Technical Representative (AOTR), following justification and description of responsibilities by the Recipient.

**[END OF SECTION II]**

### **SECTION III – ELIGIBILITY INFORMATION**

#### **A. APPLICANTS**

All eligible applicants must meet the following criteria:

- (1) U.S and Non-U.S. organizations such as non-profit organizations (or for-profit companies willing to forego profits), including private voluntary organizations, faith-based organizations, universities, research organizations, professional associations, and relevant special interest associations;
- (2) Organization must have experience implementing development projects internationally.

#### **B. COST SHARE**

Cost sharing is an important element of the USAID-recipient relationship. In addition to USAID funds, applicants are encouraged to contribute resources from its own, private or local sources for the implementation of this program. Contributions can be either cash or in kind (in accordance with OMB Circular A-110 and 22 CFR 226.23).

The USAID/Brazil requests that the recipient organization shall contribute at least **5%** of the total federal share in cost-share.

Applications that do not meet at least the minimum cost sharing requirement are not eligible for award consideration.

**[END OF SECTION III]**

## SECTION IV – APPLICATION AND SUBMISSION INFORMATION

### A. POINT OF CONTACT

Ms. Ana Paula Mendes,  
USAID Brazil – Embaixada dos Estados Unidos  
SES Av. das Nações Quadra 801 Lote 3  
Brasilia – DF – 70403-900 – Brazil

Any questions concerning this RFA must be submitted in writing both to Mrs. Cynthia L. Shartzter, Agreement Officer, via email at [cshartzter@usaid.gov](mailto:cshartzter@usaid.gov) and to Ms. Ana Paula Mendes at [amendes@usaid.gov](mailto:amendes@usaid.gov).

### B. REQUIRED FORMS

All Applicants must submit the application using the SF-424 series, which includes the:

- **SF-424, Application for Federal Assistance**
- **SF-424A, Budget Information - Nonconstruction Programs**, and
- **SF-424B, Assurances - Nonconstruction Programs**

Copies of these forms may be found through the following link:

[http://www07.grants.gov/agencies/approved\\_standard\\_forms.jsp](http://www07.grants.gov/agencies/approved_standard_forms.jsp)

### C. PRE-AWARD CERTIFICATIONS, ASSURANCES AND OTHER STATEMENTS OF THE RECIPIENT

In addition to the certifications that are included in the SF 424, organizations must provide the following certifications, assurances and other statements (except as specified below). Complete copies of these Certifications, Assurances, and Other Statements may be found as an attachment to this RFA.

- a. For U.S. organizations, a signed copy of the mandatory reference, **Assurance of Compliance with Laws and Regulations Governing Nondiscrimination in Federally Assisted Programs**;
- b. A signed copy of the certification and disclosure forms for “Restrictions on Lobbying” (see **22 CFR 227**);
- c. A signed copy of the “Prohibition on Assistance to Drug Traffickers” for covered assistance in covered countries;
- d. A signed copy of the certification regarding Terrorist Funding required by the Internal Mandatory Reference **AAPD 04-14**;
- e. A signed copy of “Key Individual Certification Narcotics Offenses and Drug

Trafficking”;

f. Survey on Ensuring Equal Opportunity for Applicants, which can be accessed by pressing Control Key and clicking on the following link: [Equal Opportunity](http://www.ed.gov/fund/grant/apply/appforms/surveyeo.pdf), which will address you to <http://www.ed.gov/fund/grant/apply/appforms/surveyeo.pdf> and

g. All applicants must provide a Data Universal Numbering System (DUNS) Number. Applicants shall do the following in order to register a DUNS number:

- access the web page: <http://www.dnb.com>;
- click on D&B D-U-N-S Number;
- click on “Are you a government contractor, vendor, or grant recipient?;
- click on “Click here to request your D-U-N-S Number via the web”;
- Follow the instructions.

#### **D. APPLICATION PREPARATION GUIDELINES**

For the purposes of this RFA, the term “applicant” is used to refer to the prime and any proposed partners.

The application received by the deadline will be reviewed for responsiveness to the specifications outlined in these guidelines and the application format. Section V addresses the technical evaluation procedures for the applications. Applications that are incomplete or not directly responsive to the terms, conditions, specifications, and clauses of this RFA may be categorized as non-responsive and eliminated from further consideration.

The application shall be submitted in two separate volumes: (a) technical and (b) cost or business application. Technical portion of the application should be submitted in original and 2 copies and cost portions of application in original and 1 copy. The copies of the technical and cost/business applications must be separately placed in sealed envelopes clearly marked on the outside with the following words "RFA-512-10-000004 - Technical or Cost/Business (as appropriate) Application". These individual envelopes must then be bundled together to be received as one complete package.

The application should be prepared according to the structural format set forth below. Applications must be submitted no later than the date and time indicated on the cover page of this RFA, to the location indicated on page two of the cover letter accompanying this RFA. Applications shall be prepared in English. Applications in any other language shall be treated as non-responsive and eliminated from further consideration.

Technical application should be specific, complete, and concise. The applications should demonstrate the applicant's capabilities and expertise with respect to achieving the goals of this program.

Applicant should retain for its records one copy of the application and all enclosures that

accompany their application. Erasures or other changes must be initialed by the person signing the application.

## **E. TECHNICAL APPLICATION FORMAT**

The Technical Application shall contain the following sections: (1) a Cover Page; (1) an Application Summary; (3) a Program Narrative; (4) an Implementation Plan; and (5) four Annexes (Resumes & Letters of Commitment). Page limitations are specified below for each section; applications must be on Letter size 8-1/2 by 11 inch paper, (210mm by 297mm paper), single-spaced, 12-point type or larger, and have at least one inch margins on the top, bottom, and both sides.

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

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

"This application includes data that shall not be disclosed outside the U.S. Government and shall not be duplicated, used, or disclosed - in whole or in part - for any purpose other than to evaluate this application. If, however, a grant is awarded to this applicant as a result of - or in connection with - the submission of this data, the U.S. Government shall have the right to duplicate, use, or disclose the data to the extent provided in the resulting grant. This restriction does not limit the U.S. Government's right to use information contained in this data if it is obtained from another source without restriction. The data subject to this restriction are contained in sheets \_\_\_\_; 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."

**E.1 Cover Page:** A single page with the names of the organizations/institutions involved in the proposed application, with the lead or primary applicant clearly identified; followed by any proposed subgrantees (hereafter referred to as "subs"), including a brief narrative describing the unique capacities/skills being brought to the program by each sub. In addition, the Cover Page should include information about a contact person for the prime applicant, including this individual's name (both typed and his/her signature), title or position with the organization/institution, address, e-mail address, and telephone and fax numbers. Also state whether the contact person is the person with authority to contract for the applicant, and if not, that person should also be listed.

**E.2. Application Summary:** A two page brief description of proposed activities, goals, purposes, and anticipated results. Briefly describe technical and managerial resources of your organization. Describe how the overall program will be managed. State

the bottom line funding request from USAID and the bottom line funding secured from other sources (state sources and amounts) for the proposed program.

**E.3. Program Narrative:** In twenty (20) pages or less, please describe your proposed strategy and approach and the experience and personnel capabilities of the Applicant, excluding bio-data and other attachments. The technical description should provide in a succinct yet comprehensive manner a clear and complete statement of proposed activities; the approaches that will be implemented to ensure achievement of results; the expected overall impacts of the activities; the monitoring and evaluation of activities and the proposed indicators used to assess progress.

The technical description should also identify partnerships with local and U.S. (if applicable) organizations, their specific involvement in the proposed activities, operational arrangements for collaboration and potential cost sharing. Governance and administrative arrangements should be clearly presented including: management approach to the overall execution of the activities; organizational structure; administrative arrangements; logistical support; key personnel involved and corresponding roles and responsibilities.

**E.4. Implementation Plan:** In up to five pages please provide a project implementation plan (chart) including main activities of the project. List on the vertical axis the activities, and on the horizontal axis the following information: (a) name of implementer(s); and (b) time frame, noting estimated dates of completion. Indicate when the proposed program will be fully operational.

**E.5. Monitoring, Evaluating and Reporting**

Monitoring is a key element of USAID programs because it allows USAID to demonstrate the impact of the activities it supports. The application should describe how the applicant plans to monitor and evaluate the effectiveness and impact of the program. Also, the application should identify sources and means of collecting data, as well as who will be responsible for gathering and assessing this information. Explain the extent to which the applicant will make data gender specific, if applicable.

The Recipient will be requested to submit quarterly reports covering both technical and financial issues. Reports must, at a minimum, evaluate program's overall performance, describe success stories, justify underachievement of targets, describe lessons learned, evaluate project sustainability, and recommend changes to the program.

At the completion date of the Grant, the grantee will be requested to undertake a close-out plan.

**E.6. Annexes:**

**The following information shall be included in annexes and will not count towards the page limit:**

### **Resumes and Letters of Commitment**

Applicant shall include in this Annex the resumes and letters of commitment for each individual who will work at least 75% of his/her time on the program. The resumes must be no more than two pages each, and the letters of commitment must not exceed a single page each.

### **COST/BUSINESS APPLICATION FORMAT**

The Cost or Business Application is to be submitted under separate cover from the technical application. Certain documents are required to be submitted by an applicant in order for the Agreement Officer to make a determination of responsibility. However, it is USAID policy not to burden applicants with undue reporting requirements if that information is readily available through other sources.

The following sections describe the documentation that applicants for Assistance award must submit to USAID prior to award. While there is no page limit for this portion, applicants are encouraged to be as concise as possible, but still provide the necessary details.

1. The Cost/Business application must be completely separate from the applicant's technical application. The application must be submitted using SF-424 and SF-424A "Application for Federal Assistance."
2. The cost application should be for a period of up to 4 years using the budget format shown in the SF-424A. If there are any training costs to be charged to this Agreement, they must be clearly identified.
3. The budget to be presented under Cost/Business Application should relate to results while also showing the inputs (see item 10, below) for each result as well as overall. Applicant shall fill out Annex A – Matrix for Budget Preparation - for this purpose.
4. The Cost/Business Application must include a copy of the legal relationship between the prime applicant and its partners. The application document should include a full discussion of the relationship between the applicant and its partners, including identification of the applicant with which USAID will interact for purposes of Agreement administration, identity of the applicant that will have accounting responsibility, how Agreement effort will be allocated, and the express Agreement of the principals thereto to be held jointly and severally liable for the acts or omissions of the other.
5. The required Certifications listed in Part C of this Section must be included with the cost application.

6. The proposed budget should provide cost estimates for the management of the program (including program monitoring). Applicants should minimize their administrative and support costs for managing the project to maximize the funds available for project activities. Accordingly, those applications with minimal administrative costs may be deemed to offer a "greater value" than those with higher costs for program administration. Additionally, those applications with a greater proportion of cost share may be deemed to offer a "greater value."

Include a chart containing the main activities of the program. List on the vertical axis the activities, and on the horizontal axis the following information: (a) name of implementers; and (b) time frame, noting estimated dates of completion; and (c) the respective cost.

7. The cost/business portion of the application should describe headquarters and field procedures for financial reporting. Discuss the management information procedure that the Recipient will employ to ensure accountability for the use of U.S. Government funds. Describe program budgeting, financial, and related program reporting procedures.
8. To support the costs proposed, please provide detailed budget notes/narrative for all costs, explaining how the costs were derived. The following section provides guidance on line items.
9. In addition to providing summary cost data in the SF424A format noted above, applicants are required to summarize cost data using result-focused budgeting (RFB) in cost applications submitted in response to this solicitation. RFB is a customer-based, performance-driven, results-oriented budget system underpinned by outcome management. Outcome management is a management approach that focuses on the development results achieved by providing a service.

RFB involves summarizing cost data to corresponding development results/outcomes. Cost data must be summarized in both the SF424A and RFB categories. If an input serves multiple development results and program elements, the applicant must allocate the input across the corresponding results and provide a rationale in the budget narrative for the method used for each allocated input.

Cost application must also include all supporting input-based budgeting for both summary formats and comply with other instructions for cost applications (e.g., breakout of costs at the country versus headquarters level, if applicable) contained elsewhere in this solicitation.

10. Budget Notes: an accompanying budget narrative by line item which provides in detail the total costs for implementation of the program and achieving results your organization is proposing per year. Please include the breakdown of all input costs

according to each partner organization involved in the program and the breakdown of the financial and in-kind contributions of all organizations.

**Salary and Wages** - Direct salaries and wages should be proposed in accordance with the applicant's personnel policies.

**Fringe Benefits** - If the applicant has a fringe benefit rate that has been approved by an agency of the U.S. Government, such rate should be used and evidence of its approval should be provided. If a fringe benefit rate has not been so approved, the application should propose a rate and explain how the rate was determined. If the latter is used, the narrative should include a detailed breakdown comprised of all items of fringe benefits (e.g., unemployment insurance, workers compensation, health and life insurance, retirement, etc.) and the costs of each, expressed in dollars and as a percentage of salaries.

**Travel and Transportation** - The application should indicate the number of trips, domestic and international, and the estimated costs. Specify the origin and destination for each proposed trip, duration of travel, and number of individuals traveling. Per diem should be based on the applicant's normal travel policies (applicants may choose to refer to the Federal Standardized Travel Regulations for cost estimates).

**Other Direct Costs** - This includes communications, report preparation costs, passports and visas fees, medical exams and inoculations, insurance (other than insurance included in the applicant's fringe benefits), equipment (procurement plan for commodities), office rent abroad, etc. The narrative should provide a breakdown and support for all other direct costs.

**Seminars and Conferences** - The application should indicate the subject, venue, and duration of proposed conferences and seminars, and their relationship to the objectives of the program, along with estimates of costs.

**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 AOTR.

**Source and Origin Requirements** - Goods and services provided by the Recipients under this USAID-financed award shall have their source and origin in the United States of America – Code 000.

**Cost share** – the recipient shall contribute at least **5%** of total federal share.

12. Unnecessarily elaborate applications: Unnecessarily elaborate brochures or other presentations beyond those sufficient to present a complete and effective application in response to this RFA are not desired and may be construed as an indication of the applicant's lack of cost consciousness. Elaborate artwork, expensive paper and bindings, and expensive visual and other presentation aids are neither necessary nor wanted.
13. USAID Disability Policy:
  - (a) The objectives of the USAID Disability Policy are (1) to enhance the attainment of United States foreign assistance program goals by promoting the participation and equalization of opportunities of individuals with disabilities in USAID policy, country and sector strategies, activity designs and implementation; (2) to increase awareness of issues of people with disabilities both within USAID programs and in host countries; (3) to engage other U.S. government agencies, host country counterparts, governments, implementing organizations and other donors in fostering a climate of nondiscrimination against people with disabilities; and (4) to support international advocacy for people with disabilities. The full text of the policy paper can be found at the following website: <http://www.usaid.gov/about/disability/DISABPOL.FIN.html>.
  - (b) USAID therefore requires that the Recipient not discriminate against people with disabilities in the implementation of USAID-funded programs and that it make every effort to comply with the objectives of the USAID Disability Policy in performing the program under this grant or cooperative agreement. To that end and to the extent it can accomplish this goal within the scope of the program objectives, the recipient should demonstrate a comprehensive and consistent approach for including men, women, and children with disabilities.

**[END OF SECTION IV]**

## SECTION V – APPLICATION REVIEW INFORMATION

### A. EVALUATION CRITERIA

#### Overview

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

The technical applications will be evaluated in accordance with the Technical Evaluation Criteria set forth below. Thereafter, the cost application of all applicants submitting a technically acceptable application will be opened and costs will be evaluated for general cost reasonableness.

To the extent that they are necessary (if award is not made based on initial applications), USAID staff may request clarification and supplemental materials from applicants whose applications have a reasonable chance of being selected for award. The entry into discussions is to be viewed as part of the evaluation process and shall not be deemed by USAID or the applicants as indicative of a decision or commitment upon the part of USAID to make an award to the applicants with whom discussions are being held.

USAID/Brazil will convene a Technical Evaluation Committee in order to conduct a technical review of the applications received. A cost analysis of all applications will be conducted simultaneously in order to assess the cost realism and effectiveness of applications. Based on a careful review of technical, administrative, and cost-related factors, the committee will arrive at a joint decision regarding which application was most aligned with USAID's objectives that were indicated in the RFA.

Applicants are reminded that the Government is not obligated to make an award on the basis of lowest proposed cost or to the applicant with the highest technical evaluation score. After the final evaluation of applications, the Agreement Officer will make the award to the responsible applicant whose application is judged to be the most advantageous in accomplishing the objectives of the program and offer the greatest value, cost and other factors considered.

Award will be made based on the ranking of applications according to the selection criteria identified below.

#### **1. Institutional Capability and Past Performance (40 points)**

Criteria described under this item need not be met by all organizational members, but rather will be evaluated based on the adequacy of its representation within the

partnership. Applicants must demonstrate the ability to support field-based operations and to meet all USAID financial and programmatic reporting requirements.

Applicants must demonstrate a commitment to sustainable development in developing countries, and effectiveness in forming strong partnerships and working together in the field or through networks, working groups, or similar fora. Demonstrated experience working in inter-governmental cooperation is highly valued. Demonstrated experience working with a Brazilian organization (government/non-government) in Brazil or outside Brazil is highly valued. Demonstrated experience working with food security programs in Mozambique is also highly valued.

Quality and innovation of past performance will be evaluated based on demonstrated results of previous programs similar to that being proposed herein – the capacity to plan, implement, and monitor complex development programs across a broad range of activities. Applicants must demonstrate the ability to: (a) work well with non-USG governments in negotiating/coordinating activities; (b) provide high quality services and consistency in meeting goals and targets; (c) effectively solve problems and make decisions that ensure efficient and effective management; (d) control and forecast costs, budget and track financial activity, and produce accurate financial reports; and (e) adhere to implementation and reporting schedules.

## **2. Personnel Capability and Experience (30 points)**

The application should include:

- Technical and managerial experience and skills of key personnel proposed with a focus on practical experience with multidisciplinary-type bi-lateral projects.
- Demonstrated experience and ability working in Brazil.
- Demonstrated experience and ability working in Mozambique.
- Technical and managerial experience in food security programs in Africa.
- Fluency in both Portuguese and English for the technical staff will be highly considered.
- Demonstrated ability to transfer and disseminate knowledge.
- Key personnel will be evaluated based on education and experience related to the program, and on demonstrated effectiveness for program implementation and working within a multi-national team structure.

## **Program Approach, Design, and Implementation (30 points)**

The program design and implementation must show an understanding of the context, problems, and obstacles – realizing that the detailed workplan will only be prepared following the award and after negotiations with Brazilian counterparts to determine roles,

responsibilities, and activities.

The program design must identify how proposed activities will produce the expected results. Clarity in describing proposed activities, how these will be implemented, and expected results will be highly valued. Program design must be results-oriented with clear objectives and appropriately designed and focused interventions to meet those objectives.

Applicants must demonstrate the ability to rapidly initiate start-up and develop the corresponding first-year work plan following negotiations/coordination with representatives of the Government of Brazil (GOB). USAID expects the successful applicant will develop a first-year work plan and have the proposed program operational within 60 days of the date of award. A start-up meeting with the Recipients, sub-Recipients, representatives of the GOB, representatives of the benefiting country, and the AOTR will be held to formally initiate the program activities.

Program design should demonstrate how activities have been proposed within the context of (a) tapping into existing development practices; (b) integrating the stakeholders in all aspects of the program; (c) current food security program designs; and (c) addressing gender issues. Note that gender should not be considered a separate topic to be proposed in isolation. USAID's gender mainstreaming approach requires that appropriate gender analysis be applied to the activities proposed by applicants.

The program design should demonstrate sustainability in terms of inter-governmental cooperation, capacity building, proposed cost-sharing and institutional commitment, and/or government support for program or activities.

### **Cost Evaluation**

The proposed budget must be reasonable and cost-effective. Applicants should provide estimates for program management (including program monitoring). Applicants should minimize administrative and support costs for managing the project in order to maximize the funds available for project activities. Those applications with minimal administrative costs may be deemed to offer "greater value" than those with higher costs.

The budget must be consistent with the activity design and implementation. Budget aggregation must be broken down by proposed activity, prime agreement, and sub-agreements. Sufficient resources must be budgeted to comply with USAID reporting, audit, monitoring (including studies of the establishment of baselines, if needed), evaluation requirements, and close-out plan.

### **Cost-sharing:**

USAID endorses cost-sharing as an important principle in USAID-recipient relationships, and therefore requires that applicants to this RFA provide a minimum 5% cost share of the USAID-funded program costs. Applications with public private partnerships

contemplated will be valued. Applications that do not meet at least the minimum cost sharing requirement are not eligible for award consideration.

## **B. BRANDING STRATEGY AND MARKING PLAN**

It is a federal statutory and regulatory requirement that all USAID programs, projects, activities, public communications, and commodities that USAID partially or fully funds under a USAID grant or cooperative agreement or other assistance award or subaward, must be marked appropriately overseas with the USAID Identity. See Section 641, Foreign Assistance Act of 1961, as amended; [22 CFR 226.91](#).

Under the regulation, USAID requires the submission of a Branding Strategy and a Marking Plan, but only by the “apparent successful applicant,” as defined in the regulation. The apparent successful applicant’s proposed Marking Plan may include a request for approval of one or more exceptions to marking requirements established in [22 CFR 226.91](#). The Agreement Officer is responsible for evaluating and approving the Branding Strategy and a Marking Plan (including any request for exceptions) of the apparently successful applicant, consistent with the provisions “Branding Strategy,” “Marking Plan,” and “Marking of USAID-funded Assistance Awards” contained in [AAPD 05-11](#) and in [22 CFR 226.91](#). Please note that in contrast to “exceptions” to marking requirements, waivers based on circumstances in the host country must be approved by Mission Directors or other USAID Principal Officers, see [22 CFR 226.91\(j\)](#).

See Section VIII.

## **C. AWARD**

Award will be made to responsible applicant whose application offers the best value, cost and other factors considered. The final award decision is made, while considering the recommendations of the TEC, by the Agreement Officer.

The Agreement Officer may conduct negotiations with one or more applicants but reserves the right to make award without consultations. USAID’s objective is to award one Cooperative Agreement to the organization whose application is determined by the Agreement Officer on a best value basis to be most advantageous to the United States Government.

The Agreement Officer’s decision about the funding of an award is final and not subject to review. Any information that may impact the Agreement Officer’s decision shall be directed to the Agreement Officer.

Authority to obligate the Government: the Agreement Officer is the **only** individual who may legally commit the U.S. Government to the expenditure of public funds. No costs chargeable to the proposed Agreement may be incurred before receipt of either an Agreement signed by the Agreement Officer or a specific, written authorization from the Agreement Officer.

**[END OF SECTION V]**

## **SECTION VI – AWARD AND ADMINISTRATION INFORMATION**

Notice of Award signed by the Agreement Officer is the authorizing document, which shall be transmitted to the Recipient for countersignature to the authorized agent of the successful organization electronically, to be followed by original copies for execution.

### **A. ROLES AND RESPONSIBILITIES**

The recipient shall be responsible to USAID/Brazil for all matters related to the execution of the agreement. Specifically, the recipient shall report to the USAID Agreement Officer's Technical Representative (AOTR) located within the office of USAID/Brazil.

### **B. REPORTING**

The Recipient will be requested to submit the following plans and reports:

- **Annual work plan, performance monitoring plan and DQA:**

The first year work plan will be developed by the selected applicant with USAID/Brazil assistance and should be submitted no later than 60 days of award of the cooperative agreement. Subsequently, three additional annual work plans should be prepared and submitted to USAID/Brazil by October 15, 2011, October 15, 2012, and October 15, 2013 respectively.

The work plans should include, at a minimum:

- Proposed accomplishments and expected progress towards achieving results;
  - Timeline for implementation, including milestones and target completion dates;
  - Plan on how activities will be implemented;
  - Planned collaboration with other major partners;
  - Any equipment or commodities to be procured; and
  - Detailed budget.
- **Quarterly Progress Reports**

The recipient shall submit to the USAID AOTR a report on its quarterly performance within 15 days after the end of the period being covered. The report will cover both technical and financial issues and must, at a minimum:

1. evaluate program's overall performance;
2. describe success stories;
3. justify underachievement of targets;
4. describe lessons learned;

5. evaluate project sustainability; and
6. recommend changes to the program.

- **Financial Reporting**

(1) The recipient must submit the Federal Financial Form (SF- 425) on a quarterly basis via electronic format to the U.S. Department of Health and Human Services (<http://www.dpm.psc.gov>). The recipient must submit a copy of the FFR at the same time to the Agreement Officer's Technical Representative (AOTR).

(2) The recipient must submit the original and two copies of all final financial reports to USAID/Washington, M/CFO/CMP-LOC Unit, the Agreement Officer and the AOTR. The recipient must submit an electronic version of the final Federal Financial Form (SF-425) to the U.S. Department of Health and Human Services in accordance with paragraph (1) above.

- **Final Agreement Completion Report**

Thirty (30) days prior to the end of this award, the award recipient, in collaboration with Consortium members, will submit a draft Final Report providing a final accounting of activities, progress made, results obtained, and lessons learned. Fifteen days after submission of the draft, the USAID AOTR will provide the applicant with comments.

The recipient shall prepare and submit three copies of a final/completion report to the AOTR which summarizes the accomplishments of this agreement, methods of work used, budget and disbursement activity, and recommendations regarding unfinished work and/or program continuation. The final/completion report shall also contain an index of all reports and information products produced under this agreement. The final report shall be submitted no later than 90 days after the estimated completion date of this agreement.

**[END OF SECTION VI]**

## **SECTION VII – AGENCY CONTACTS**

### **The Agreement Officer for this Award is:**

Ms. Cynthia L. Shartzter  
Agreement Officer  
USAID/Peru  
Av. La Encalada s/n, cdra. 17  
Monterrico, Lima 33  
Peru

Tel: 51-1-618-1435  
Fax: 51-1-618-1354  
cshartzter@usaid.gov

### **The A&A Specialist for this Award is:**

Ms. Ana Paula Mendes  
USAID/Brazil  
Embaixada dos Estados Unidos  
SES Av. das Nações Qd. 801 Lote 03  
Brasilia – DF - 70403-900  
Brazil

Tel: 55-61-3312.7233  
Fax: 55-51-3312.7648  
amendes@usaid.gov

### **The AOTR for the planned Award is:**

TBD (to be determined)  
USAID/Brazil  
Embaixada dos Estados Unidos  
SES Av. das Nações Qd. 801 Lote 03  
Brasilia – DF - 70403-900  
Brazil

**[END OF SECTION VII]**

## SECTION VIII – OTHER INFORMATION

### **BRANDING STRATEGY - ASSISTANCE (December 2005)**

#### (a) Definitions

*Branding Strategy* means a strategy that is submitted at the specific request of a USAID Agreement Officer by an Apparently Successful Applicant after evaluation of an application for USAID funding, describing how the program, project, or activity is named and positioned, and how it is promoted and communicated to beneficiaries and host country citizens. It identifies all donors and explains how they will be acknowledged.

*Apparently Successful Applicant(s)* means the applicant(s) for USAID funding recommended for an award after evaluation, but who has not yet been awarded a grant, cooperative agreement or other assistance award by the Agreement Officer. The Agreement Officer will request that the Apparently Successful Applicants submit a Branding Strategy and Marking Plan. Apparently Successful Applicant status confers no right and constitutes no USAID commitment to an award.

*USAID Identity (Identity)* means the official marking for the Agency, comprised of the USAID logo and new brandmark, which clearly communicates that our assistance is from the American people. The USAID Identity is available on the USAID website and is provided without royalty, license, or other fee to recipients of USAID-funded grants or cooperative agreements or other assistance awards or subawards.

(b) Submission. The Apparently Successful Applicant, upon request of the Agreement Officer, will submit and negotiate a Branding Strategy. The Branding Strategy will be included in and made a part of the resulting grant or cooperative agreement. The Branding Strategy will be negotiated within the time that the Agreement Officer specifies. Failure to submit and negotiate a Branding Strategy will make the applicant ineligible for award of a grant or cooperative agreement. The Apparently Successful Applicant must include all estimated costs associated with branding and marking USAID programs, such as plaques, stickers, banners, press events and materials, and the like.

#### (c) Submission Requirements

At a minimum, the Apparently Successful Applicant's Branding Strategy will address the following:

##### (1) Positioning

*What is the intended name of this program, project, or activity?*

Guidelines: USAID prefers to have the USAID Identity included as part of the program or project name, such as a "title sponsor," if possible and appropriate. It is acceptable to "co-brand" the title with USAID's and the Apparently Successful Applicant's identities.

For example: "The USAID and [Apparently Successful Applicant] Health Center."

If it would be inappropriate or is not possible to "brand" the project this way, such as when rehabilitating a structure that already exists or if there are multiple donors, please explain and indicate how you intend to showcase USAID's involvement in publicizing the program or project. *For example: School #123, rehabilitated by USAID and [Apparently Successful Applicant]/ [other donors].* Note: the Agency prefers "made possible by (or with) the generous support of the American People" next to the USAID Identity in acknowledging our contribution, instead of the phrase "funded by." USAID prefers local language translations.

*Will a program logo be developed and used consistently to identify this program? If yes, please attach a copy of the proposed program logo.*

Note: USAID prefers to fund projects that do NOT have a separate logo or identity that competes with the USAID Identity.

## (2) Program Communications and Publicity

*Who are the primary and secondary audiences for this project or program?*

Guidelines: Please include direct beneficiaries and any special target segments or influencers. *For Example: Primary audience: schoolgirls age 8-12, Secondary audience: teachers and parents—specifically mothers.*

*What communications or program materials will be used to explain or market the program to beneficiaries?*

Guidelines: These include training materials, posters, pamphlets, Public Service Announcements, billboards, websites, and so forth.

*What is the main program message(s)?*

Guidelines: *For example: "Be tested for HIV-AIDS" or "Have your child inoculated."* Please indicate if you also plan to incorporate USAID's primary message – this aid is "from the American people" – into the narrative of program materials. This is optional; however, marking with the USAID Identity is required.

*Will the recipient announce and promote publicly this program or project to host country citizens? If yes, what press and promotional activities are planned?*

Guidelines: These may include media releases, press conferences, public events, and so forth. Note: incorporating the message, "USAID from the American People", and the USAID Identity is required.

*Please provide any additional ideas about how to increase awareness that the American*

*people support this project or program.*

Guidelines: One of our goals is to ensure that both beneficiaries and host-country citizens know that the aid the Agency is providing is "from the American people." Please provide any initial ideas on how to further this goal.

(3) Acknowledgements

*Will there be any direct involvement from a host-country government ministry? If yes, please indicate which one or ones. Will the recipient acknowledge the ministry as an additional co-sponsor?*

Note: it is perfectly acceptable and often encouraged for USAID to "co-brand" programs with government ministries.

*Please indicate if there are any other groups whose logo or identity the recipient will use on program materials and related communications.*

Guidelines: Please indicate if they are also a donor or why they will be visibly acknowledged, and if they will receive the same prominence as USAID.

(d) Award Criteria. The Agreement Officer will review the Branding Strategy for adequacy, ensuring that it contains the required information on naming and positioning the USAID-funded program, project, or activity, and promoting and communicating it to cooperating country beneficiaries and citizens. The Agreement Officer also will evaluate this information to ensure that it is consistent with the stated objectives of the award; with the Apparently Successful

Applicant's cost data submissions; with the Apparently Successful Applicant's project, activity, or program performance plan; and with the regulatory requirements set out in 22 CFR 226.91. The Agreement Officer may obtain advice and recommendations from technical experts while performing the evaluation.

MARKING PLAN – ASSISTANCE (December 2005)

(a) Definitions

*Marking Plan* means a plan that the Apparently Successful Applicant submits at the specific request of a USAID Agreement Officer after evaluation of an application for USAID funding, detailing the public communications, commodities, and program materials and other items that will visibly bear the USAID Identity. Recipients may request approval of Presumptive Exceptions to marking requirements in the Marking Plan.

*Apparently Successful Applicant(s)* means the applicant(s) for USAID funding recommended for an award after evaluation, but who has not yet been awarded a grant, cooperative agreement or other assistance award by the Agreement Officer. The Agreement Officer will request that Apparently Successful Applicants submit a Branding

Strategy and Marking Plan. Apparently Successful Applicant status confers no right and constitutes no USAID commitment to an award, which the Agreement Officer must still obligate.

*USAID Identity (Identity)* means the official marking for the Agency, comprised of the USAID logo and new brandmark, which clearly communicates that our assistance is from the American people. The USAID Identity is available on the USAID website and USAID provides it without royalty, license, or other fee to recipients of USAID funded grants, cooperative agreements, or other assistance awards or subawards.

A *Presumptive Exception* exempts the applicant from the general marking requirements for a *particular* USAID-funded public communication, commodity, program material or other deliverable, or a *category* of USAID-funded public communications, commodities, program materials or other deliverables that would otherwise be required to visibly bear the USAID Identity. The Presumptive Exceptions are:

Presumptive Exception (i). USAID marking requirements may not apply if they would compromise the intrinsic independence or neutrality of a program or materials where independence or neutrality is an inherent aspect of the program and materials, such as election monitoring or ballots, and voter information literature; political party support or public policy advocacy or reform; independent media, such as television and radio broadcasts, newspaper articles and editorials; and public service announcements or public opinion polls and surveys (22 C.F.R. 226.91(h)(1)).

Presumptive Exception (ii). USAID marking requirements may not apply if they would diminish the credibility of audits, reports, analyses, studies, or policy recommendations whose data or findings must be seen as independent (22 C.F.R. 226.91(h)(2)).

Presumptive Exception (iii). USAID marking requirements may not apply if they would undercut host-country government “ownership” of constitutions, laws, regulations, policies, studies, assessments, reports, publications, surveys or audits, public service announcements, or other communications better positioned as “by” or “from” a cooperating country ministry or government official (22 C.F.R. 226.91(h)(3)).

Presumptive Exception (iv). USAID marking requirements may not apply if they would impair the functionality of an item, such as sterilized equipment or spare parts (22 C.F.R. 226.91(h)(4)).

Presumptive Exception (v). USAID marking requirements may not apply if they would incur substantial costs or be impractical, such as items too small or otherwise unsuited for individual marking, such as food in bulk (22 C.F.R. 226.91(h)(5)).

Presumptive Exception (vi). USAID marking requirements may not apply if they would offend local cultural or social norms, or be considered inappropriate on such items as condoms, toilets, bed pans, or similar commodities (22 C.F.R. 226.91(h)(6)).

Presumptive Exception (vii). USAID marking requirements may not apply if they would conflict with international law (22 C.F.R. 226.91(h)(7)).

(b) Submission. The Apparently Successful Applicant, upon the request of the Agreement Officer, will submit and negotiate a Marking Plan that addresses the details of the public communications, commodities, program materials that will visibly bear the USAID Identity. The marking plan will be customized for the particular program, project, or activity under the resultant grant or cooperative agreement. The plan will be included in and made a part of the resulting grant or cooperative agreement. USAID and the Apparently Successful Applicant will negotiate the Marking Plan within the time specified by the Agreement Officer. Failure to submit and negotiate a Marking Plan will make the applicant ineligible for award of a grant or cooperative agreement. The applicant must include an estimate of all costs associated with branding and marking USAID programs, such as plaques, labels, banners, press events, promotional materials, and so forth in the budget portion of its application. These costs are subject to revision and negotiation with the Agreement Officer upon submission of the Marking Plan and will be incorporated into the Total Estimated Amount of the grant, cooperative agreement or other assistance instrument.

(c) Submission Requirements. The Marking Plan will include the following:

(1) A description of the public communications, commodities, and program materials that the recipient will be produced as a part of the grant or cooperative agreement and which will visibly bear the USAID Identity. These include:

(i) program, project, or activity sites funded by USAID, including visible infrastructure projects or other programs, projects, or activities that are physical in nature;

(ii) technical assistance, studies, reports, papers, publications, audio-visual productions, public service announcements, Web sites/Internet activities and other promotional, informational, media, or communications products funded by USAID;

(iii) events financed by USAID, such as training courses, conferences, seminars, exhibitions, fairs, workshops, press conferences, and other public activities; and (iv) all commodities financed by USAID, including commodities or equipment provided under humanitarian assistance or disaster relief programs, and all other equipment, supplies and other materials funded by USAID, and their export packaging.

(2) A table specifying:

(i) the program deliverables that the recipient will mark with the USAID Identity,

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

(iii) when in the performance period the applicant will mark the program deliverables,

and where the applicant will place the marking.

(3) A table specifying:

(i) what program deliverables will not be marked with the USAID Identity, and

(ii) the rationale for not marking these program deliverables.

(d) Presumptive Exceptions.

(1) The Apparently Successful Applicant may request a Presumptive Exception as part of the overall Marking Plan submission. To request a Presumptive Exception, the Apparently Successful Applicant must identify which Presumptive Exception applies, and state why, in light of the Apparently Successful Applicant's technical proposal and in the context of the program description or program statement in the USAID Request For Application or Annual Program Statement, marking requirements should not be required.

(2) Specific guidelines for addressing each Presumptive Exception are:

(i) For Presumptive Exception (i), identify the USAID Strategic Objective, Interim Result, or program goal furthered by an appearance of neutrality, or state why the program, project, activity, commodity, or communication is 'intrinsically neutral.' Identify, by category or deliverable item, examples of program materials funded under the award for which you are seeking exception 1.

(ii) For Presumptive Exception (ii), state what data, studies, or other deliverables will be produced under the USAID funded award, and explain why the data, studies, or deliverables must be seen as credible.

(iii) For Presumptive Exception (iii), identify the item or media product produced under the USAID funded award, and explain why each item or product, or category of item and product, is better positioned as an item or product produced by the cooperating country government.

(iv) For Presumptive Exception (iv), identify the item or commodity to be marked, or categories of items or commodities, and explain how marking would impair the item's or commodity's functionality.

(v) For Presumptive Exception (v), explain why marking would not be cost-beneficial or practical.

(vi) For Presumptive Exception (vi), identify the relevant cultural or social norm, and explain why marking would violate that norm or otherwise be inappropriate.

(vii) For Presumptive Exception (vii), identify the applicable international law violated by marking.

(3) The Agreement Officer will review the request for adequacy and reasonableness. In consultation with the Cognizant Technical Officer and other agency personnel as necessary, the Agreement Officer will approve or disapprove the requested Presumptive Exception. Approved exceptions will be made part of the approved Marking Plan, and will apply for the term of the award, unless provided otherwise.

(e) Award Criteria: The Agreement Officer will review the Marking Plan for adequacy and reasonableness, ensuring that it contains sufficient detail and information concerning public communications, commodities, and program materials that will visibly bear the USAID Identity. The Agreement Officer will evaluate the plan to ensure that it is consistent with the stated objectives of the award; with the applicant's cost data submissions; with the applicant's actual project, activity, or program performance plan; and with the regulatory requirements of 22 C.F.R. 226.91. The Agreement Officer will approve or disapprove any requested Presumptive Exceptions (see paragraph (d)) on the basis of adequacy and reasonableness. The Agreement Officer may obtain advice and recommendations from technical experts while performing the evaluation.

MARKING UNDER USAID-FUNDED ASSISTANCE INSTRUMENTS (December 2005)

(a) Definitions

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

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

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

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

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

*Subrecipient* means any person or government (including cooperating country government) department, agency, establishment, or for profit or nonprofit organization that receives a USAID subaward, as defined in 22 C.F.R. 226.2.

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

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

(b) Marking of Program Deliverables

- (1) All recipients must mark appropriately all overseas programs, projects, activities, public communications, and commodities partially or fully funded by a USAID grant or cooperative agreement or other assistance award or subaward with the USAID Identity, of a size and prominence equivalent to or greater than the recipient's, other donor's, or any other third party's identity or logo.
- (2) The Recipient will mark all program, project, or activity sites funded by USAID, including visible infrastructure projects (for example, roads, bridges, buildings) or other programs, projects, or activities that are physical in nature (for example, agriculture, forestry, water management) with the USAID Identity. The Recipient should erect temporary signs or plaques early in the construction or implementation phase. When construction or implementation is complete, the Recipient must install a permanent, durable sign, plaque or other marking.
- (3) The Recipient will mark technical assistance, studies, reports, papers, publications, audio-visual productions, public service announcements, Web sites/Internet activities and other promotional, informational, media, or

communications products funded by USAID with the USAID Identity.

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

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

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

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

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

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

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

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

*"This study/report/audio/visual/other information/media product (specify) is made possible by the generous support of the American people through the United States Agency for International Development (USAID). The contents are the responsibility*

*of [insert recipient name] and do not necessarily reflect the views of USAID or the United States Government.”*

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

(c) Implementation of marking requirements.

- (1) When the grant or cooperative agreement contains an approved Marking Plan, the recipient will implement the requirements of this provision following the approved Marking Plan.
- (2) When the grant or cooperative agreement does not contain an approved Marking Plan, the recipient will propose and submit a plan for implementing the requirements of this provision within 60 days after the effective date of this provision. The plan will include:
  - (i) A description of the program deliverables specified in paragraph (b) of this provision that the recipient will produce as a part of the grant or cooperative agreement and which will visibly bear the USAID Identity.
  - (ii) the type of marking and what materials the applicant uses to mark the program deliverables with the USAID Identity,
  - (iii) when in the performance period the applicant will mark the program deliverables, and where the applicant will place the marking,
- (3) The recipient may request program deliverables not be marked with the USAID Identity by identifying the program deliverables and providing a rationale for not marking these program deliverables. Program deliverables may be exempted from USAID marking requirements when:
  - (i) USAID marking requirements would compromise the intrinsic independence or neutrality of a program or materials where independence or neutrality is an inherent aspect of the program and materials;
  - (ii) USAID marking requirements would diminish the credibility of audits, reports, analyses, studies, or policy recommendations whose data or findings must be seen as independent;
  - (iii) USAID marking requirements would undercut host-country government “ownership”

- of constitutions, laws, regulations, policies, studies, assessments, reports, publications, surveys or audits, public service announcements, or other communications better positioned as “by” or “from” a cooperating country ministry or government official;
- (iv) USAID marking requirements would impair the functionality of an item;
  - (v) USAID marking requirements would incur substantial costs or be impractical;
  - (vi) USAID marking requirements would offend local cultural or social norms, or be considered inappropriate;
  - (vii) USAID marking requirements would conflict with international law.
- (4) The proposed plan for implementing the requirements of this provision, including any proposed exemptions, will be negotiated within the time specified by the Agreement Officer after receipt of the proposed plan. Failure to negotiate an approved plan with the time specified by the Agreement Officer may be considered as noncompliance with the requirements is provision.
- (d) Waivers.
- (1) The recipient may request a waiver of the Marking Plan or of the marking requirements of this provision, in whole or in part, for each program, project, activity, public communication or commodity, or, in exceptional circumstances, for a region or country, when USAID required marking would pose compelling political, safety, or security concerns, or when marking would have an adverse impact in the cooperating country. The recipient will submit the request through the Cognizant Technical Officer (CTO), currently known as the Agreement Officer’s Technical Representative (AOTR). The Principal Officer is responsible for approvals or disapprovals of waiver requests.
  - (2) The request will describe the compelling political, safety, security concerns, or adverse impact that require a waiver, detail the circumstances and rationale for the waiver, detail the specific requirements to be waived, the specific portion of the Marking Plan to be waived, or specific marking to be waived, and include a description of how program materials will be marked (if at all) if the USAID Identity is removed. The request should also provide a rationale for any use of recipient’s own identity/logo or that of a third party on materials that will be subject to the waiver.
  - (3) Approved waivers are not limited in duration but are subject to Principal Officer review at any time, due to changed circumstances.
  - (4) Approved waivers “flow down” to recipients of subawards unless specified otherwise. The waiver may also include the removal of USAID markings already

affixed, if circumstances warrant.

- (5) Determinations regarding waiver requests are subject to appeal to the Principal Officer's cognizant Assistant Administrator. The recipient may appeal by submitting a written request to reconsider the Principal Officer's waiver determination to the cognizant Assistant Administrator.
  
- (e) Non-retroactivity. The requirements of this provision do not apply to any materials, events, or commodities produced prior to January 2, 2006. The requirements of this provision do not apply to program, project, or activity sites funded by USAID, including visible infrastructure projects (for example, roads, bridges, buildings) or other programs, projects, or activities that are physical in nature (for example, agriculture, forestry, water management) where the construction and implementation of these are complete prior to January 2, 2006 and the period of the grant does not extend past January 2, 2006.

**[END OF SECTION VIII]**

**ATTACHMENTS AND ANNEXES**

- ANNEX A - Matrix for Budget Preparation
- ANNEX B - School feeding program concept paper
- ANNEX C - Agricultural (small crop) program concept paper
- Certifications, Assurances, and Other Statements of the Recipient (May 2006)

**[END OF RFA-512-10-000004]**

**ANNEX A – MATRIX FOR BUDGET PREPARATION**

<b>PROGRAM ELEMENTS 3.1.9 – NUTRITION AND 4.5.2 AGRICULTURAL SECTOR CAPACITY</b>	<b>Year 1</b>	<b>Year 2</b>	<b>Year 3</b>	<b>Year 4</b>	<b>TOTAL</b>
<b>Negotiate, plan, coordinate, and implement the USAID-funded portion of a trilateral cooperation agreement between USAID/Brazil and the Government of Brazil</b>					
<b>TOTAL</b>					

<b>Input Categories</b>	<b>Total</b>
1. Personnel	
<i>1.a.Salaries</i>	
<i>1.b.Consultants</i>	
2. Fringe Benefits	
3. Travel and Transportation	
4. Meetings and Workshops	
5. Equipment and Supplies	
7. Monitoring & Audit	
8.Other Direct Costs	
<b>TOTAL</b>	

\* The above mentioned input categories are “illustrative” only. Each input category must include a breakdown of all input costs.

**ANNEX B - School feeding program concept paper**

**TECHNICAL COOPERATION AMONG  
DEVELOPING COUNTRIES**

**DRAFT**

**B R A S I L**



**ABC** Agência Brasileira  
de Cooperação

MINISTÉRIO DAS RELAÇÕES EXTERIORES

**BRA/USA/MOZAMBIQUE**

**BRAZIL-USA-MOZAMBIQUE TECHNICAL COOPERATION PROJECT ON SCHOOL FEEDING:**

**DRAFT**

## **I. THE PROJECT**

### **1. PROJECT IDENTIFICATION:**

- 1.1 Title:** BRAZIL-USA-MOZAMBIQUE TECHNICAL COOPERATION PROJECT ON SCHOOL FEEDING
- 1.2 Validity:** 12 MONTHS

### **2. JUSTIFICATION:**

#### **2.1 Food and Nutritional Security**

Food and Nutritional Security encompass the fulfillment of rights that provide regular and permanent access to quality food, sufficiently available, without disregard to the satisfaction of other needs and based on food practices that promote health, respect cultural diversity and are both socioeconomically and environmentally sustainable.

Food and nutritional insecurity can be verified when different problems arise, such as hunger, obesity, diseases related to malnutrition, the consumption of low quality or unhealthy (and potentially harmful) food, an environmentally harmful food production system, outrageous prices of food or essential goods, and the imposition of food patterns disrespecting cultural diversity.

Two concepts are strongly related to that of Food and Nutritional Security: the Human Right to Food and Food Sovereignty. The former is comprised within the fundamental human rights, established through a worldwide agreement. These rights refer to a set of conditions, both necessary and essential, for all human beings, equally and without distinction, to exist, develop their capacities and have full and dignified participation in social life. Each country, in turn, has the right to determine their own sustainable policies and strategies for the production, distribution and consumption of food, guaranteeing the whole population the right to food (food sovereignty) and preserving the multiple cultural characteristics of the peoples.

#### **2.2 Food Supply**

Food supply concerns the conditions in which various segments of population have access to food. It is one of the key elements in Food and Nutritional Security and should be addressed from two different perspectives. The first and more comprehensive one concerns the fact that food supply serves the purpose of providing all segments of society with access to food in terms of quantity, price and quality, greatly affecting the consumption habits of families. The second one, regarding the relationship between food supply and Food and Security policies, is the food supply capacity to foster food production and distribution through social equity, environmental sustainability and cultural adaptability.

#### **2.3 Food and Nutrition Education in Schools**

The Brazilian National School Feeding Program (PNAE), launched in 1955, guarantees, through the transfer of funding resources, the provision of school feeding to basic education students (Pre school, primary school, high school and adult literacy program) enrolled in public, philanthropic and community schools. The Program aims at coping with the nutritional needs of students during the time they spend in

classroom, thus contributing to their growth, biopsychosocial development, learning process and school performance, as well as stimulating healthy eating habits.

Having more than 50 years of experience in implementing school feeding programs, Brazil has obtained relevant results that can be useful to Mozambique. FNDE's work, as an institution providing support for the Brazilian education, is very significant in regards to school feeding, which in turn benefits around 47 million basic, youth and adults education students from public schools. In addition to school feeding, FNDE also provides support for the Direct Provision of Money in Schools Program (*Programa Dinheiro Direto na Escola*), the National Program of Text Books – (*Programa Nacional do Livro Didático – PNLD*), the National Program of School Health (*Programa Nacional de Saúde Escolar*), the National Program of School Transport (*Programa Nacional de Transporte Escolar*), and others. In short, the Brazilian experience can offer enormous contributions to the development of technical capacities in the implementation of the National Program of School Feeding (PNAE) in Mozambique, within the scope of the "Alive School" Project.

### **3. Project:**

#### **a) Project Description**

This project, "Establishment of Alive Schools", allows for knowledge transfer and technical support with the purpose of providing means for the Mozambican government to implement "Alive Schools" Experimental Projects, benefiting schools within an area affected by natural disasters. The project will be carried out in 6 general phases:

1. Analysis of local conditions, concerning areas threatened by disasters, existing school feeding programs and family farming programs, supply, markets, means to allow governmental purchase of food, infrastructure (water supply, electrification, sanitation);
2. Hiring international and national consultants to carry out and supervise onsite activities with parties involved in the project;
3. Planning and implementation of experimental projects (suggestion: 8 schools);
4. Monitoring of the implementation of experimental projects;
5. Assessment of impacts caused by the implementation of experiments;
6. Formulation of a replicaton plan based on the experimental projects.

#### **b) Results to be achieved at the end of the Project**

School feeding is a powerful instrument for the fulfillment of the human right to adequate food, for the fight against hunger suffered by children and their families, and for the biopsychosocial development of students. Few social programs provide so many multi-sectorial benefits – education, gender equality, food security, poverty reduction, nutrition and health – in a single intervention. Likewise, school feeding programs represent sustainable alternatives to reconstruct societies affected by natural disasters, since they incentive direct purchase from local family farming, fostering the development of local economy, thus creating in a virtuous circle.

The implementation of "Alive School" Projects, which encompass a set of activities based on

school, may contribute to promote a virtuous circle of development, focused on the development of local economy and the participation of main parties related to education. "Alive Schools" must be dedicated to supplying healthy food to students through actions concerning food and nutritional security, besides developing pedagogic projects related to good eating habits, such as school vegetable garden. Similarly, it is also expected that local family farming be strengthened and developed through the creation of a governmental market (school feeding programs) and through the use of new agricultural techniques, and price and supply policies.

### **3. OBJECTIVE OF DEVELOPMENT:**

To provide support for the conception of sustainable development strategies regarding areas affected by natural disasters through the implementation of "Alive School" Projects.

### **4. SPECIFIC OBJECTIVES:**

1. To provide support for local development of capacities regarding production and purchase of family farming produce as supply for school feeding programs.
2. To carry out analysis of local conditions of selected areas in terms of humanitarian aid, school feeding, supply, sanitation, school vegetable gardens, family farming, and social participation.
3. To implement "Alive School" experimental projects in 08 schools in areas affected by natural disasters.
4. To monitor the implementation of experimental projects.
5. To assess the impacts of the implementation of experimental projects.

### **5. RESULTS TO BE ACHIEVED BY THE PROJECT**

- R1. Mozambican technicians from the ministries involved in the project trained in onsite production and purchase of family farming produce as supply for school feeding programs.
- R2. Technical Analysis of the selected area regarding the implementation of experimental projects carried out.
- R3. Experimental projects implemented according to the technical analysis previously carried out and validated.
- R4. Implementation of "Alive School" experimental projects monitored.
- R5. Assessment of impacts carried out and validated.

### **6. ACTIVITIES**

1. Mozambican technicians from the ministries involved in the project trained in onsite production and purchase of family farming produce as supply for school feeding programs.
2. Providing support for local capacity building.
3. Technical Analysis of the selected area regarding the implementation of experimental projects carried out.
4. Carrying out technical analysis about nutritional aspects concerning current school feeding program.
5. "Alive Schools" experimental projects implemented.
6. Building capacity of and monitoring local actors in the implementation of school vegetable gardens during a 6-month period in the selected region.
7. Purchasing locally produced food supplies to be used for school feeding within the scope of the experimental projects.
8. Purchasing materials, equipment, utensils to be used in the experimental projects and to repair infrastructure (kitchen, food storage room, classroom – if necessary).
9. Purchasing tools, materials, inputs, agricultural utensils and instruments, and seeds to be used in planting a school vegetable garden in the experimental projects.
10. Purchase of 8 cisterns to be installed in "Alive School" Projects
11. Building capacity of human resources engaged in the execution of experimental projects in Mozambique (NUTRITION, MANAGEMENT, SOCIAL CONTROL, AGRICULTURE, SUPPLY, CISTERNS, SCHOOL VEGETABLE GARDENS).
12. Preparation of didactic material to be used in capacity building actions geared to technicians acting as multipliers of the "Alive School" Project.
13. Carrying out workshop on supply and marketing techniques of family farming produce in the selected region, with emphasis on the calculation of reference price.
14. Carrying out workshop on the acquisition of family farming produce in the selected region.

- 15. Preparing progress reports and final report on the implementation of experimental projects.**
- 16. Implementation of “Alive School” experimental projects monitored.**
- 17. Monitoring the implementation of “Alive Schools” experimental projects.**
- 18. Assessment of impacts caused by experimental projects carried out and validated.**
- 19. Carrying out assessment of experimental projects, in which shall be included recommendations on the implementation of “Alive Schools” Projects.**
- 20. Preparing progress reports and final report on the implementation of experimental projects.**
- 21. Preparing proposal of plan concerning the replication of experimental projects by the Mozambican Government.**

[END OF ANNEX B]

**ANNEX C - Agricultural (small crop) program concept paper**

**BRAZILIAN COOPERATION AGENCY  
TECHNICAL COOPERATION BETWEEN DEVELOPING COUNTRIES**

**B R A S I L**



**ABC** Agência Brasileira  
de Cooperação  
MINISTÉRIO DAS RELAÇÕES EXTERIORES

**TRILATERAL COOPERATION BRAZIL–USA–MOZAMBIQUE**

**DRAFT**

**TECHNICAL SUPPORT PROJECT TO AGRICULTURE PROGRAM IN  
MOZAMBIQUE**



## **I. PROJECT IDENTIFICATION**

- a) **Title:** Technical Support Project to Nutrition and Food Security Programs in Mozambique.
- b) **Target Area:** the entire national territory
- c) **Scope:** strengthening the strategic production and distribution of agricultural food products capacities in Mozambique, in support to food security and nutrition programs developed under GHFSI - Global Hunger and Food Security Initiative.

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## **II. IDENTIFICATION OF THE INSTITUTIONS**

### **1. EXECUTING INSTITUTION**

**Name:**

### **2. JUSTIFICATION**

The strengthening of Brazil's relations in the South-South axis is ensured by technical cooperation initiatives with African countries, a scenario in which the Brazilian government has kept an outstanding and marked presence as regional leader, especially by participating in several cooperation programs, with a significant presence in the field of agricultural development.

Brazil is a regular partner in development cooperation in a wide range of areas, such as agriculture and health. Besides, Brazilian partnership is particularly relevant in the field of food security, namely due to the country's expertise in agricultural research for the production of nutritious foods.

Through its Zero Hunger program, the Brazilian Government has managed to reduce in 73% the levels of malnutrition among the poorest in the country. The school feeding programs have helped in creating markets for local products, in addition to promoting the access of small farmers to formal market. However, the success of such initiatives can only be pursued when based on two pillars: technological development and strengthening of strategic interdisciplinary competences and organization of production and processing of agricultural food products.

In this sense, the governments of Brazil and the United States signed on 03.03.2010, a Memorandum of Understanding for the Development of Trilateral Cooperation, establishing guidelines for the performance of joint activities. Under this Memorandum, the Brazilian Cooperation Agency and the United States Agency for International Development are implementing the Mozambique's Agricultural Innovation Platform Support, aimed at the institutional strengthening of agricultural research with a priority to increasing the production of staple food and consumption of nutritious foods.

In Mozambique, 44% of children under 5 years of age were diagnosed with chronic malnutrition. Also, even in rural areas, malnutrition is responsible for 46% of children with stunted growth and 27% of children considered underweight. In this context, food security remains a huge challenge for the Mozambican people.

Nutrition programs developed and implemented in Brazil, both by the Brazilian government and the NGO's of the sector, have shown significant potential for replication in Mozambique. In the scope of the National Food and Nutrition Policy, Brazil has been implementing decentralized and interdisciplinary activities, thus meeting the different nutritional needs, combining the transfer of direct resources, community programs, school nutrition programs, popular and community restaurants, public-private partnerships and incentives to family agriculture. Still, in order to have a successful and sustainable implementation of such programs, we must produce food on a scale capable of promoting the necessary balance between the supply of agricultural produce and the huge increase in demand for food products resulting from these programs.

Nonetheless, available technical information and literature point that the main problem in the sector of agricultural production in Mozambique lies on the lack of technology dissemination and the difficult access to credit and agricultural inputs. As an example, only 5.0% of the 3.3 million producers use improved seeds and fertilizers. Furthermore, family agriculture operates in a disorderly manner in the exploitation of small areas of subsistence agriculture cultivation, the agro-processing sector is inefficient and the market lacks an information system that facilitates the movement of goods.

Thus, the desire to ensure a sustainable increase in agricultural production and achieve self-sufficiency in staple foods in rural areas, as well as agricultural surpluses for urban supply, requires the immediate and integrated intervention in the main segments of the value chain (agricultural production, semi-processing or processing and distribution), specifically on innovation and technology transfer.

## **2.1. The vulnerability of the agri-food production and consumption in Mozambique**

Located in southeastern Africa, Mozambique has an area of 799,390 km<sup>2</sup> geopolitically divided into 10 provinces (Maputo, Gaza, Inhambane, Sofala, Manica, Zambezia, Nampula, Tete, Niassa and Cabo Delgado). Current data show a population of about 20.4 million inhabitants, of whom 14.3 million (70%) are concentrated in the rural area. From an estimated total of 8.4 million, only 11.0% of the economically active population is pursuing activities in the formal economy, and at least 90.0% of these work in the rural sector.

As the food provider sector, source of employment and income, the Mozambican agricultural sector has an important economic and social relevance. Agriculture greatly determines territorial occupation and its participation in 2007 GDP was around 24.0%. Family farming is the ground base of the productive system, occupying about 97.0% of the nearly 6.0 million cultivated hectares in the country. The use of technology by this group of producers is almost zero, which explains the low agricultural yields observed over the years and the extremely low levels of food consumption.

With the exception of corn and cassava, per capita consumption of food resulting from the use of main products in Mozambique is 20.0% lower than that of other African countries. As a result, per capita calorie consumption is of 2,081kcal per day, a level which is 20.0% lower than the average level of calorie intake from other African countries, around 2,436 kcal/person/day.

At least 75.0% of the sources of calorie intake come from a diet based on the consumption of cassava and corn. This fact aggravates the exceedingly low level of calorie intake in kcal/person/day if compared to the level of consumption defined by the WHO as the minimum intake, which stands at 2,800 kcal/person/day.

Therefore, a change of habits and diet of Mozambican families is of fundamental importance: if the consumption of a basket of vegetables (exemplified in Table 01 below) was added to the daily diet of Mozambicans, this change alone would reflect an increase in consumption of around 880 kcal/person/day, which would lead the population to the minimum consumption advocated by the WHO.

Table 01 – Protein and calorie intake through vegetable consumption

Vegetables	Calories [Kcal]	Proteins [g]	Carbohydrates [g]	Fat [g]
<b>Pumpkin</b>				
200G (Raw)	80.00	2.40	17.60	0.60
200G (Cooked)	40.00	1.82	8.64	0.62
<b>Lettuce</b>				
200G	30.00	2.60	5.80	0.40

<b>Sweet potatoes</b>				
200G (Raw)	232.00	2.60	57.20	0.60
200G (Cooked)	206.00	2.20	48.00	0.60
<b>Potatoes</b>				
200G (Raw)	158.00	4.16	36.00	0.20
200G (Cooked)	174.00	3.76	40.20	0.20
<b>Arracacha</b>				
200G (Raw)	252.00	3.00	59.40	0.60
200G (Cooked)	268.00	3.16	32.40	0.64
<b>Carrots</b>				
200G (Raw)	86.00	2.08	20.20	0.38
200G (Cooked)	90.00	2.20	19.40	0.40
<b>Tomatoes</b>				
200G (Raw)	42.00	1.70	9.30	0.66

## 2.2. Governmental Plans

In order to face the food issue, the Mozambican government has implemented the PROAGRI I. The program aimed at reducing poverty and promoting food security. In productive terms, PROAGRI I was oriented to promote profitable crops such as tobacco, cotton, sugarcane and cashew nuts. As a continuation, PROAGRI II has been designed to support actions to change the agricultural production of subsistence farming into a market-oriented one, putting aside small-scale food agriculture.

In 2008, the Plan of Action for Food Production - PAPA was established with the intention of reducing dependence on food imports, seeking to increase production and productivity of major agricultural products used for nutritional purposes: corn, rice, wheat, potatoes and cassava, sunflower and soybean for the production of edible oils.

In 2010, and in effect until 2019, the Strategic Plan for the Development of the Agricultural Sector (PEDSA) will be implemented to build a sustainable agricultural sector, with the following priority areas: food security and enhancement of nutritional status, competitiveness of domestic production and increase of farmers' income; and the sustainable use of natural resources and environmental preservation.

In terms of agricultural production, the PEDSA comprises five strategic goals: increasing food production; increasing market-oriented production; increasing farmers' competitiveness; sustainable use of soil, water and forests; and development of the institutional capacity of the agrarian sector. These are the cases for which technical support to the production of fruit and vegetables applies.

Concerning agro-processing, the situations can be grouped as follows: i) about 90% of manufacturing industry consists of units of small and micro enterprises, concentrated in urban and suburban areas, ii) there is an abundance of products and natural resources in rural areas that are underutilized due to lack of conditions for processing; and ii) the establishment of agri-food processing industries in some regions depends on preexisting infrastructure: water, energy and roads.

Hence, two components are politically feasible to set up plans and programs aimed at food and nutritional security in Mozambique:

- the strengthening of the production of fruit and vegetables for fresh or processed consumption, as a means of increasing food supply in the scope of family farms and as a means of diversifying the diet of families in Mozambique; and
- the strengthening of the following interdisciplinary initiatives for promotion of rural industrialization: promote the modernization of the current fleet of small agro-processing companies, including machinery and equipment, ensure the deployment and operation of Demonstration Units in order to qualify, build capacity and disseminate agro-processing technologies suitable for rural areas; and stimulate small and medium enterprises to invest in mobile manufacturing units, whose goal would be to bring knowledge about good practices of agro-processing to family farming communities, and enable and promote investments in selection, classification and product packaging (packing-houses).

This is the background in which this project is comprised. The primary purpose of this project is to contribute to improving production and productivity of the agri-food sector, through local actions aimed at institutional strengthening of agricultural research in fruit and vegetables and the strengthening of the current agri-food processing entrepreneurial model.

### **3. DEVELOPMENT GOAL**

To strengthen the capacity of innovation and technology transfer systems in strategic areas related to production and consumption of vegetables along with food agro-processing as a strategy to promote food and nutritional security in Mozambique.

### **4. SPECIFIC GOALS**

4.1. Support for Production, Post-Harvest and Processing of Vegetables - Preparatory Studies to gather knowledge on the peculiarities of production and

consumption of vegetables in Mozambique. Also, to assess technologies, products and processes to be used in order to strengthen the sector.

4.2. Strengthening of Production Systems, Post-harvest and Processing of Vegetables, aiming to increase quantitatively and qualitatively the production, packaging, storing and processing of vegetable products, as an instrument of considerable protein and calorie intake and diversification of Mozambican diet.

4.3. Strengthening of the Potential of Agri-food Processing Systems, so as to structure and operate Agri-food Processing Collective Units as a tool to reinforce comprehensive models of agricultural production, post harvest and processing of strategic commodities to support food security and nutrition programs.

4.4. Support for Institutional Strengthening of the Regulatory bodies and organisms for the Promotion of Agricultural and Agri-food Production, so as to establish new forms of governance to strengthen the entities involved in the chains of production and in the trade of natural or processed vegetables.

4.5. Training and capacity building of Technicians and Producers in Brazil and Mozambique, in order to establish technical knowledge database on production systems, post harvest and processing of vegetables, in addition to management of collective units of production and processing of agricultural food products.

4.6. Management, Supervision and Monitoring System in order to evaluate active and “ex-post” programmed activities, aimed at gathering knowledge that will allow - through the evaluation of the results - the redesign or expansion of criteria and processes to be used.

## **5. RESULTS TO BE ACHIEVED**

R.1. Preparatory studies completed and recommendations adopted.

R.2. Systems of Production, Post-harvest and Processing of Vegetables strengthened.

R.3. Capacities of agri-food processing systems established.

R.4. Organisms regulating and fostering agricultural and agri-food production strengthened.

R.5. Mozambican technicians and producers trained and enabled.

R.6. Management, follow-up and monitoring systems developed and implemented.

## 6. ACTIVITIES

### R.1. Preparatory studies completed and recommendations adopted.

6.1. Identification and evaluation of existing capacities and socioeconomic and technical particularities of current food production, as well as systems of post-harvest handling and processing of food products in Mozambique.

6.3. Identification of feeding habits and local culinary practices with the purpose of implementing processing technologies as a support for programs providing nutritious food.

6.2. Obtainment of data and social information aiming at identifying possibilities to introduce new agricultural crops with the purpose of supporting programs of urban and rural dietary diversification.

6.4. Prospective studies to assess consumer acceptance of new agricultural species to be consumed fresh or processed.

6.5. Studies in cooperation with institutions of technical assistance and rural extension service to identify, assess and define target areas and communities.

### R.2. Systems of Production, Post-harvest and Processing of Vegetables strengthened.

6.6. Definition of needs, adaptive research methodologies, and necessary inputs concerning the validation of materials and the implementation plan of demonstration units.

6.7. Cooperative planning for conception and establishment of 10 Collective Units of Vegetable Production.

6.8. Conception and implementation of 20 Demonstration Units in different areas of vegetable, fruit and poultry production.

6.9. Technical support for preparation and implementation of comprehensive projects on production, processing and distribution of organic products.

6.10. Assessment of green manure species and definition of methodologies of research, identification and assessment of green manure species aiming at establishing collective units to produce and process green manure.

6.11. Technical support for production of organic and biologically active composts, as well as biofertilizers, including identification and assessment of existing inputs for compost production.

6.12. Technical support for conception and establishment of collective units to produce conventional organic composts, biologically active composts and biofertilizers.

6.13. Assessment and publicity of results obtained by using organic and biologically active composts, as well as biofertilizers, at vegetables demonstration units.

R.3. Capacities of agri-food processing systems established.

6.14. Support for introduction and adaptation of technologies concerning products and agronomic processes of materials adapted to agri-food processing.

6.15. Support for introduction of technologies to reduce losses during post-harvest handling and/or agri-food processing.

6.16. Technical support for conception of a preliminary project of agriculture industry according to particularities, purposes and processing techniques required by each species, also including definition and layout of equipments.

6.17. Technical support for establishment and operations of 10 Agri-Food Processing Collective Units.

6.18. Technical support during construction works, purchase and installation of equipment, and processing tests.

R.4. Organisms regulating and fostering agricultural and agri-food production strengthened.

6.19. Identification and analysis of legislation regulating production, agri-food processing, and trade of vegetables and processed food in Mozambique.

6.20. Support for formulation of a substitute text aiming at modernizing the legislation and taking into consideration proposals of adjustments recommended according to the Brazilian experience.

6.21. Workshop to discuss and validate final text and support for preparation of preamble containing justification, with the aim of providing means for governmental approval and subsequent entry into force.

6.22. Conception, implementation and assesment of educational campaigns to stimulate the consumption of vegetables and their by-products.

R.5. Mozambican technicians and producers trained and enabled.

6.23. Technical support for studies to identify demands for training and capacity building, as well as support for preparation of training programs for technicians in technical assistance and rural extension service, and leading producers in Brazil.

6.24. Technical support for studies to identify demands for training and capacity building, as well as support for preparation of training programs for technicians in technical assistance and rural extension service, and leading producers in Mozambique.

6.25. Support for studies to formulate Projects, aiming at expanding, adapting, renovating or building agricultural processing schools, equipped to train technicians in systems of production, post-harvest handling and agri-food processing.

6.26. Training in Brazil of Mozambican technicians and leading producers in production, post-harvest, storage, packaging and/or processing of vegetables, aiming at forming a group of local multipliers.

6.27. Training in Brazil of Mozambican technicians in packaging, agricultural processing, and agri-food technologies, as well as in thermal treatment, drying and the production of flour, with the aim of forming a group of local multipliers.

6.28. Development, in cooperation with local multipliers, of programs and didactic materials according to particularities of products and socioeconomic conditions of target communities.

6.29. Support for local production or adaptation of Brazilian bibliographical material, encompassing production systems and booklets for target communities, concerning topics and products defined in cooperation with Mozambican multipliers.

6.30. Support for planning and implementation of regional libraries with outposts (*microlibraries*) in target communities, with emphasis on video collections.

6.31. Training courses in management of production and operations of Vegetable Production Collective Units and Agri-Food Processing Collective Units.

R.6. System of management, follow-up and monitoring developed and implemented.

6.32. Conception of methodology and medium-term and “ex-post” assessment processes of socioeconomic and environmental impacts caused by the project.

6.33. Monitoring and assessment of socioeconomic and environmental impacts caused by progress in the implementation of Vegetable Production Collective Units.

6.34. Monitoring and assessment of socioeconomic and environmental impacts caused by progress in the implementation of Agri-Food Processing Collective Units.

6.35. Monitoring and assessment of socioeconomic and environmental impacts caused by progress in the implementation of Inputs Production Collective Units dedicated to organic vegetable farming.

6.36. Monitoring and assessment of socioeconomic and environmental impacts caused by progress in the implementation of Demonstration Units of vegetable farming and production management.

[END OF ANNEX C]

## **PART I - CERTIFICATIONS AND ASSURANCES**

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

(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 grant 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 were 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 grant, 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 sub awards at all tiers (including subcontracts, sub grants, and contracts under grants, loans, and cooperative agreements) and that all sub recipients 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/Contract], to demand a refund or take other appropriate measures if the [Grantee/ Contractor] 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 certification is required for Key Individuals or Covered Participants.

If there are COVERED PARTICIPANTS: USAID reserves the right to terminate assistance to, or take 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.

Application No. \_\_\_\_\_

Date of Application \_\_\_\_\_

Name of Recipient \_\_\_\_\_

Typed Name and Title \_\_\_\_\_

Signature \_\_\_\_\_ Date \_\_\_\_\_

**PART II - 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 III - OTHER STATEMENTS OF RECIPIENT**

**1. AUTHORIZED INDIVIDUALS**

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

Name	Title	Telephone No.	Email address.
_____			
_____			

**2. TAX PAYER 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. CONTRACTOR IDENTIFICATION NUMBER - 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](mailto:globalinfo@dbisma.com).

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

DUNS: \_\_\_\_\_

<https://eupdate.dnb.com/requestoptions.html>

**4. LETTER OF CREDIT (LOC) NUMBER**

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

LOC: \_\_\_\_\_

**5. PROCUREMENT INFORMATION**

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

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

\$ \_\_\_\_\_

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

TYPE/DESCRIPTION (Generic)	QUANTITY	ESTIMATED UNIT COST
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(d) Source, Origin, and Componentry of Goods. If the recipient plans to purchase any goods/commodities which are not of U.S. source and/or U.S. 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. "Source" means the country from which a commodity is shipped to the cooperating country or the cooperating country itself if the commodity is located therein at the time of purchase. However, where a commodity is shipped from a free port or bonded warehouse in the form in which received therein, "source" means the country from which the commodity was shipped to the free port or bonded warehouse. Any commodity whose source is a non-Free World country is ineligible for USAID financing. The "origin" of a commodity

is the country or area in which a commodity is mined, grown, or produced. A commodity is produced when, through manufacturing, processing, or substantial and major assembling of components, commercially recognized new commodity results, which is substantially different in basic characteristics or in purpose or utility from its components. Merely packaging various items together for a particular procurement or relieving 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 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 SUPPLIER
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% 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. TYPE OF ORGANIZATION

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

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

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