



Issuance Date: **December 14, 2010.**  
Closing Date: **January 26, 2010.**  
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**Subject: Request for Applications (RFA) Number USAID-TANZANIA-11-003-RFA**

## **Collaborative Research and Capacity Building of Sokoine University of Agriculture and the National Agricultural Research System**

The United States Agency for International Development (USAID) is seeking applications for an Assistance Agreement for funding a program for **Collaborative Research and Capacity Building of Sokoine University of Agriculture and the National Agricultural Research System**. The authority for the RFA is found in the Foreign Assistance Act of 1961, as amended.

The Recipient will be responsible for ensuring achievement of the program objective for **Collaborative Research and Capacity Building of Sokoine University of Agriculture and the National Agricultural Research System**. Please refer to the Program Description for a complete statement of goals and expected results.

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

Subject to the availability of funds, USAID intends to provide approximately **\$24,000,000** in total USAID funding to be allocated over the **five years** period. USAID reserves the right to fund any or none of the applications submitted.

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

1. Section A - Grant Application Format;
2. Section B - Selection Criteria;
3. Section C – Program Description;
4. Section D - Certifications, Assurances, and Other Statements of Applicant/Grantee;

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 you decide to submit an application, it should be received by the closing date and time indicated at the top of this cover letter at the place designated below for receipt of applications. **Five copies (one original and four copies) of applications** and modifications thereof **must** be submitted in envelopes with the name and address of the applicant and RFA # (referenced above) inscribed thereon, to:

\*(By U.S. Mail)  
Agreement Officer  
USAID/Tanzania  
2140 Dar es Salaam Place  
Washington D.C. 20521-2140

(Non U.S. Mail)  
Agreement Officer  
USAID/Tanzania  
686 Old Bagamoyo Road  
P.O. Box 9130  
Dar es Salaam, TANZANIA

Application **should also** be sent as email attachments to Kenneth P. LuePhang, Agreement Officer ([kluephang@usaid.gov](mailto:kluephang@usaid.gov)) with a copy to Samuel S. Kiranga, Acquisition Specialist ([skiranga@usaid.gov](mailto:skiranga@usaid.gov)) and to Gaitan Banzi ([gbanzi@usaid.gov](mailto:gbanzi@usaid.gov)) **OR** submitted through [www.grants.gov](http://www.grants.gov) as explained below.

The federal grant process is now web-enabled, allowing for applications to be received on-line. USAID bears no responsibility for data errors resulting from transmission or conversion processes associated with electronic submissions. Hard copy applications must be submitted. Applicants are requested to submit both technical and cost portions of their applications in separate volumes. To be eligible for award, the applicant must provide all required information in its application, including the requirements found in any attachments to the Grants.gov opportunity. Award will be made to that responsible applicant(s) whose application(s) offers the greatest value.

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

Beginning November 1, 2005, the preferred method of distribution of USAID RFA's and submission/receipt of applications is electronically via Grants.gov which provides a single source for Federal government-wide competitive grant opportunities. This RFA and any future amendments can be downloaded from the Agency Web Site. The World Wide Web Address is <http://www.grants.gov>. In order to use this method, an applicant must first register on-line with Grants.gov. If you have difficulty registering or accessing the RFA, please contact the Grants.gov Helpdesk at 1-800-518-472 or via e-mail at [support@grants.gov](mailto:support@grants.gov) for technical assistance. It is the responsibility of the recipient of the application document to ensure that it has been received from Fedgrants.gov in its entirety and USAID bears no responsibility for data errors resulting from transmission or conversion processes.

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 II - Selection Criteria;
- (b) Section I - Grant Application Format;
- (c) the Program Description;
- (d) This Cover Letter.

Any questions concerning this RFA should be submitted in writing to Kenneth P. LuePhang, Agreement Officer, ([kluephang@usaid.gov](mailto:kluephang@usaid.gov)) with a copy to Samuel S. Kiranga ([skiranga@usaid.gov](mailto:skiranga@usaid.gov)) and Gaitan Banzi ([gbanzi@usaid.gov](mailto:gbanzi@usaid.gov)). The latest date for receiving questions is **COB January 12, 2010**. Applicants should retain for their records one copy of all enclosures which accompany their application.

Sincerely,

<signed>  
Kenneth P. LuePhang  
Agreement Officer  
USAID/Tanzania

\* *The US Mail address is a **POUCH** address only and **not** a physical address.*

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## **SECTION A - GRANT APPLICATION FORMAT**

### **PREPARATION GUIDELINES**

All applications received by the deadline will be reviewed for responsiveness to the specifications outlined in these guidelines and the application format. Section II addresses the technical evaluation procedures for the applications. Applications which are submitted late or are incomplete run the risk of not being considered in the review process. "Late applications will not be considered for award" or "Late applications will be considered for award if the Agreement Officer determines it is in the Government's interest."

Applications shall be submitted in two separate parts: (a) technical and (b) cost or business application. Technical portions of applications should be submitted in original and two copies, and cost portions of applications in original and two copies.

Cost and technical proposals must reflect IEE or EA preparation costs and approaches. The recipient will be expected to comply with all conditions specified in the approved IEE and/or EA. If an IEE, as developed by the recipient and approved by USAID, includes a Positive Determination for one or more activities, the recipient will be required to develop and submit an EA addressing these activities.

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 3 of the cover letter accompanying this RFA.

### **TECHNICAL APPLICATION FORMAT**

Technical application should be specific, complete and presented concisely. The applications should demonstrate the applicant's capabilities and expertise with respect to achieving the goals of this program. The applications should take into account the technical evaluation criteria found in Section II.

The Technical Application shall contain the following sections: 1. Cover Page; 2. Executive Summary; 3. Technical Application Body; and 4. Required Annexes. The overall page limitation for the Technical Application Body, including the Executive Summary is 30 pages and shall include the following sections: a. Technical Approach; b. Management Approach; c. Key Personnel; d. Past Performance.

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

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

### **COST 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 an Grant 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 detail to address the following:

A. A copy of the program description that was detailed in the applicant's program description, on a CDROM, formatted in MS WORD, and a budget in MS EXCEL.

B. Include a budget with an accompanying budget narrative which provides in detail the total costs for implementation of the program your organization is proposing. The budget must be submitted using Standard Form 424 and 424A which can be downloaded from the USAID web site, <http://www.usaid.gov/forms/sf424.pdf>

- the breakdown of all costs associated with the program according to costs of, if applicable, headquarters, regional and/or country offices;

- the breakdown of all costs according to each partner organization involved in the program;

- the costs associated with external, expatriate technical assistance and those associated with local in-country technical assistance;

- the breakdown of the financial and in-kind contributions of all organizations involved in implementing this Cooperative Agreement;

- potential contributions of non-USAID or private commercial donors to this Cooperative Agreement;

- your procurement plan for commodities (note that contraceptives and other health commodities will not be provided under this Cooperative Agreement).

C. A current Negotiated Indirect Cost Rate Agreement;

D. Required certifications and representations (as attached):

E. Cost share is encouraged but not a requirement.

F. Applicants who do not currently have a Negotiated Indirect Cost Rate Agreement (NICRA) from their cognizant agency shall also submit the following information:

1. copies of the applicant's financial reports for the previous 3-year period, which have been audited by a certified public accountant or other auditor satisfactory to USAID;

2. projected budget, cash flow and organizational chart;

3. A copy of the organization's accounting manual.

G. Applicants should submit any additional evidence of responsibility deemed necessary for the Grant Officer to make a determination of responsibility. The information submitted should substantiate that the Applicant:

1. Has adequate financial resources or the ability to obtain such resources as required during the performance of the award.

2. Has the ability to comply with the award conditions, taking into account all existing and currently prospective commitments of the applicant, nongovernmental and governmental.

3. Has a satisfactory record of performance. Past relevant unsatisfactory performance is ordinarily sufficient to justify a finding of non-responsibility, unless there is clear evidence of subsequent satisfactory performance.

4. Has a satisfactory record of integrity and business ethics; and

5. Is otherwise qualified and eligible to receive a grant under applicable laws and regulations (e.g., EEO).

H. Applicants that have never received a grant, cooperative agreement or contract from the U.S. Government are required to submit a copy of their accounting manual. If a copy has already been submitted to the U.S. Government, the applicant should advise which Federal Office has a copy.

In addition to the aforementioned guidelines, the applicant is requested to take note of the following:

I. 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 art work, expensive paper and bindings, and expensive visual and other presentation aids are neither necessary nor wanted.

J. Acknowledgement of Amendments to the RFA - Applicants shall acknowledge receipt of any amendment to this RFA by signing and returning the amendment. The Government must receive the acknowledgement by the time specified for receipt of applications.

K. Receipt of Applications - Applications must be received at the place designated and by the date and time specified in the cover letter of this RFA.

L. Submission of Applications:

1. Applications and modifications thereof shall be submitted in sealed envelopes or packages, **and** by email or by electronic submission through the Grant.gov website (1) addressed to the office specified in the Cover Letter of this RFA, and (2) showing the time specified for receipt, the RFA number, and the name and address of the applicant.

2. Faxed applications will not be considered; however, applications may be modified by written or faxed notice, if that notice is received by the time specified for receipt of applications.

M. Preparation of Applications:

1. Applicants are expected to review, understand, and comply with all aspects of this RFA. Failure to do so will be at the applicant's risk.

2. Each applicant shall furnish the information required by this RFA. The applicant shall sign the application and print or type its name on the Cover Page of the technical and cost applications. Erasures or other changes must be initialed by the person signing the application. Applications signed by an agent shall be accompanied by evidence of that agent's authority, unless that evidence has been previously furnished to the issuing office.

3. Applicants who include data that they do not want disclosed to the public for any purpose or used by the 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."

N. Explanation to Prospective Applicants - Any prospective applicant desiring an explanation or interpretation of this RFA must request it in writing within three weeks of receipt of the application to allow a reply to reach all prospective applicants before the submission of their applications. Oral explanations or instructions given before award of a Grant will not be binding. Any information given to a prospective applicant concerning this RFA will be furnished promptly to all other prospective applicants as an amendment of this RFA, if that information is necessary in submitting applications or if the lack of it would be prejudicial to any other prospective applicants.

O. Grant Award:

1. The Government may award one Grant resulting from this RFA to the responsible applicant whose application conforming to this RFA offers the greatest value (see also Section II of this RFA). The Government may (a) reject any or all applications, (b) accept other than the lowest cost application, (c) accept more than one application (see Section III, Selection Criteria), (d) accept alternate applications, and (e) waive informalities and minor irregularities in applications received.

2. The Government may award one or more Grant(s) on the basis of initial applications received, without discussions. Therefore, each initial application should contain the applicant's best terms from a cost and technical standpoint.

3. Neither financial data submitted with an application nor representations concerning facilities or financing, will form a part of the resulting Grant(s).

P. Authority to Obligate the Government - The Grant Officer is the only individual who may legally commit the Government to the expenditure of public funds. No costs chargeable to the proposed Grant may be incurred before receipt of either a fully executed Grant or a specific, written authorization from the Grant Officer.

Q. The Contractor/Recipient is reminded that U.S. Executive Orders and U.S. law prohibits transactions with, and the provision of resources and support to, individuals and organizations associated with terrorism. It is the legal responsibility of the contractor/recipient to ensure compliance with these Executive Orders and laws. This provision must be included in all subcontracts/subawards issued under this contract/agreement.

R. Foreign Government Delegations to International Conferences - Funds in this [contract, agreement, amendment] 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 [CO/AO/CTO].

S. 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 landmark, 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.

T. 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 landmark, 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 produce 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, audiovisual 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 an exception.

- (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
  - (i) 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 costbeneficial 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.

## U. 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 sub-agreement.

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

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

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

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

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

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

USAID Identity (Identity) means the official marking for the United States Agency for International Development (USAID), comprised of the USAID logo or seal and new 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 sub-award with the USAID Identity, of a size and prominence equivalent to or greater than the recipient's, other donor's, or any other third party's identity or logo.

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

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

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

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

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

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

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

(9) Sub-recipients. To ensure that the marking requirements “flow down” to sub-recipients of sub-awards, recipients of USAID funded grants and cooperative agreements or other assistance awards will include the USAID-approved marking provision in any USAID funded sub-award, as follows: “As a condition of receipt of this sub-award, marking with the USAID Identity of a size and prominence equivalent to or greater than the recipient’s, sub-recipient’s, other donor’s or third party’s is required. In the event the recipient chooses not to require marking with its own identity or logo by the sub-recipient, USAID may, at its discretion, require marking by the sub-recipient with the USAID Identity.”

(10) Any ‘public communications’, as defined in 22 C.F.R. 226.2, funded by USAID, in which the content has not been approved by USAID, must contain the following disclaimer: “This study/report/audio/visual/other information/media product (specify) is made possible by the generous support of the American people through the United States Agency for International Development (USAID). The contents are the responsibility of [insert recipient name] and do not necessarily reflect the views of USAID or the United States Government.”

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

**(c) Implementation of marking requirements.**

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

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

- (i) A description of the program deliverables specified in paragraph (b) of this provision that the recipient will produce as a part of the grant or cooperative agreement and which will visibly bear the USAID Identity.
- (ii) the type of marking and what materials the applicant uses to mark the program deliverables with the USAID Identity,
- (iii) when in the performance period the applicant will mark the program deliverables, and where the applicant will place the marking,

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

- (i) USAID marking requirements would compromise the intrinsic independence or neutrality of a program or materials where independence or neutrality is an inherent aspect of the program and materials;
- (ii) USAID marking requirements would diminish the credibility of audits, reports, analyses, studies, or policy recommendations whose data or findings must be seen as independent;
- (iii) USAID marking requirements would undercut host-country government “ownership” of constitutions, laws, regulations, policies, studies, assessments, reports, publications, surveys or audits, public service announcements, or other communications better positioned as “by” or “from” a cooperating country ministry or government official;
- (iv) USAID marking requirements would impair the functionality of an item;
- (v) USAID marking requirements would incur substantial costs or be impractical;

- (vi) USAID marking requirements would offend local cultural or social norms, or be considered inappropriate;
- (vii) USAID marking requirements would conflict with international law.

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

**(d) Waivers.**

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

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

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

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

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

**(e) Non-retroactivity.**

The requirements of this provision do 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.

**V. USAID Disability Policy - Assistance (December 2004)**

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

**SECTION B - SELECTION CRITERIA**

Applications will be evaluated on the basis of: 1) Technical Approach; 2) Program Management (Management Approach and Key Personnel); 3) Institutional Capacity; and 4) Past Performance. These criteria will be scored as follows:

**Technical Approach****40 Points**

Applications should describe the approach and methodology for achieving results. Applicants should demonstrate an understanding of human and institutional capacity development (HICD) constraints in Tanzania, and in particular as they relate to this solicitation, and present where applicable an HICD approach focused on providing targeted interventions to address gaps within key identified organizations that are critical to supporting program success. The technical approach should describe how it will address issues of gender equity and promote positive gender norms. Consideration should be given to how best to manage all aspects and activities of the program to achieve indicator targets, work planning and timing of inputs and training, and coordination with other donors and international organizations.

It would be highly useful for applications to include a First Year's Annual Work Plan which describes specific activities to be undertaken and a timeline for sequencing activities. The Technical Approach should also provide an illustrative PMP which proposes indicator targets for program outputs and higher level indicators for achieving the overall increased human resource capacity and other important objectives of the FtF Initiative.

If a partnership or consortium arrangement is proposed with public and private sector partners, the applicant should indicate: (a) strengths and interests of the partnering institutions, in particular to support agricultural research, extension services and agricultural education at SUA and NARS; (b) the extent of institutional commitment by each partnering institution; (c) the level of cost sharing, if any, and other contributions by partnering institutions; and (d) plans for partnership sustainability.

**Program Management****30 points**

- **Management Approach (15 points):** The application should describe how the proposed management approach and the program team structure, including the home office personnel and subcontractors/sub-grantees, supports the technical approach and demonstrates a logical and efficient use of resources, including the utilization of qualified local professionals, to successfully achieve the objectives and purpose of the program. The management approach will also be evaluated based upon the clearly defined chain of authority, the roles and responsibilities of all proposed positions (key and non-key), subcontractor/sub-grantees, and how the team will be effectively and rapidly mobilized immediately after the contract award. It should explain how resources will be mobilized rapidly and the efficient establishment of administrative and technical implementation services. Finally, it should include a list of committed partners, such as sub-contractors/sub-grantees, and definition of roles and responsibilities of personnel and collaborating institutions.
- **Key Personnel (15 points):** The application should describe the extent and nature of experience of the key personnel for implementing and managing the cooperative agreement. Included should be the number of years of professional experience working in similar programs and level of education

responding to the technical needs of the program, including capacity development and in identifying and addressing gender issues. *Resumes* or *curriculum vitae* of each proposed long-term individuals should be provided. Proposals should provide, at least, three past performance references for each proposed long-term position.

**Institutional Capacity**

**20 Points**

The Applicant will be evaluated on the basis of the extent to which they have demonstrated institutional capacity, organizational knowledge, organizational systems, and competence to develop, plan, implement, manage, monitor and report on highly effective collaborative research and capacity building programs (specifically in the areas of agricultural research, extension services, and agricultural education) in low-resource African countries.

**Past Performance**

**10 Points**

The Applicant should provide up to five of the most recent contracts, grants, and cooperative agreements in which the primary Applicant (as well as any partners substantially involved in implementation) has implemented similar or related programs (particularly in the area of agricultural research, extension services and agricultural education in a developing country context). Include the following for each award listed: name and address of the organization for which the work was performed; current telephone number and e-mail address of responsible representative of the organization for which the work was performed; contract/grant name and number (if any); annual amount received for each of the last three years; term of award, i.e., beginning and ending dates; and a brief description of the program. USAID reserves the right, however, to use past performance reference from other sources other than those provided by the applicant.

**Grand Total**

**100 Points**

## SECTION C - PROGRAM DESCRIPTION

### COLLABORATIVE RESEARCH AND CAPACITY BUILDING OF SOKOINE UNIVERSITY OF AGRICULTURE AND THE NATIONAL AGRICULTURAL RESEARCH SYSTEM

#### 1. Introduction

USAID/Tanzania is seeking applications for a cooperative agreement relationship for the implementation of an array of programs for human and institutional capacity building of Tanzania's main agricultural university and the country's national agricultural research system. This will be a key intervention of USAID/Tanzania's *Feed the Future* Initiative. *Feed the Future* (FtF) is a major U.S. Government initiative that aims to address the root causes of global hunger by sustainably increasing agricultural productivity to meet the demand for food, supporting and facilitating farmer access to strong markets, increasing incomes of the poor by bringing them into the development process, and reducing undernutrition. (Further information on the FtF Initiative can be found at [www.feedthefuture.gov](http://www.feedthefuture.gov).)

Tanzania has been designated a priority country for the FtF Initiative. As a result, USAID/Tanzania is in the process of developing a comprehensive program in agricultural development and food security in several areas of FtF emphasis, including the development of important commodity value chains, improvements in rural infrastructure, expansion of value added through agro-processing, and policy analysis and reform. Also, Tanzania recently completed its Comprehensive Africa Agricultural Development Program (CAADP) Compact, which lays out a strategy and investment plan for agricultural sector growth (see [www.caadp.net](http://www.caadp.net)). The goals and objectives of the FtF align with the major components of the Compact, and USAID, through the FtF Initiative, will be a partner in moving the CAADP process forward. An important emphasis of both CAADP and FtF is human and institutional capacity development to ensure the required long-term technical, managerial, and intellectual leadership skills are in place to manage sector interventions and guide agricultural sector growth.

#### 2. Background

Agriculture is the foundation of the Tanzanian economy. It accounts for about half of the national income, three quarters of exports, and is the principal source of food and provides employment opportunities to about 80 percent of Tanzanians. It has linkages with the non-farm sector through agro-processing, consumption and export, and provides raw materials to industries. Agriculture in Tanzania is dominated by smallholder farmers cultivating an average of about 2 hectares. Most production is rain-fed, and about 70 percent of crops are cultivated by hand. Food crop production dominates the agricultural economy with 5.1 million hectares cultivated annually in food crops. Women constitute a major part of the labor force. The major constraints facing the agricultural sector include decreasing labor and land productivity due to the lack of advanced technologies and dependence on unreliable and irregular rainfall. Both crops and livestock are affected by periodic droughts.

Agricultural GDP has grown at 3.3 percent per years since 1985 with the main food crops growing at 3.5 and export crops at 5.4 percent annually. In order for Tanzania to reach the Millennium

Development Goal of halving hunger and poverty by 2015 and meeting the growth objectives of CAADP, agriculture's contribution to GDP must reach the 6-7 percent range. Certain macroeconomic reforms initiated by the Government of Tanzania (GoT) are beginning to have an impact on the agricultural sector. These reforms have encouraged private sector investment in production and processing, input distribution, and marketing of agricultural products. These reforms are a promising beginning, but more needs to be done to encourage the investments required to achieve increased growth.

The GoT recognizes the important role of the agricultural sector both in terms of economic growth and poverty reduction. Through the CAADP and the recently announced Agricultural Development Support Program (ADSP), the GoT intends to further prioritize agriculture as the driver of growth with several priority actions including: continued policy reforms to encourage private investments; supporting farmer organizations, NGOs, and private traders in input supply and credit; supporting investments in the value-added industries such as agro-processing; reforming land rights to encourage larger-scale investments in production capacity; and increasing budget allocations for agricultural training, research and extension.

The lack of human and institutional capacity constrains development in most sectors in Tanzania. Improving human capacity must go hand in hand in improving the key institutions, both public and non-state actors, for development to succeed and be sustainable. The goal of capacity development is institutional performance improvement. USAID is committed to support lasting economic, social and political progress through transforming institutions, economic structures, and human capacity so that Tanzania can independently sustain economic and social progress on its own. Although USAID/Tanzania has shown much success in building both human capacity and in strengthening institutions, it is focusing on a more systematic approach to identifying key institutions, analyzing their performance and focusing on tangible, measurable performance improvement results. This holistic approach will help strengthen host country organizations' abilities to more effectively perform for their constituents, will increase the effectiveness of ongoing technical assistance provided by USAID and other donors, and ultimately lead to a reducing dependency on foreign aid.

### **3. Purpose**

The purpose of this program will be to strengthen the training and research capacities of Sokoine University of Agriculture (SUA) and the Tanzanian National Agricultural Research System (NARS). This program is intended to draw from successful development approaches utilized to support research, extension and education around agriculture; in particular, to build on the work of U.S. Land Grant Universities in Tanzania.

Agricultural, including nutrition, training and research are strong areas of emphasis of both FtF and CAADP as the ability of Tanzania to generate a stream of improved, productivity increasing technologies and practices is fundamental to improving food production and increasing competitiveness in regional agricultural markets. Also, developing and strengthening the institutions that support research and the training of the cadre of scientists, teachers, extension agents, and agribusinesses needed to drive development is required to sustain sector growth. Addressing this fundamental need will be central to the implementation of FtF and for Tanzania to meet its CAADP commitments. Given this priority need, USAID will include support to agricultural and nutrition research and training as an important component of the FtF program. USAID hopes to access the

expertise and excellence offered by institutions with experience in agricultural research, extension services, and agricultural education (i.e. U.S. land-grant model).

### **3.1. Sokoine University of Agriculture**

Sokoine University of Agriculture (SUA) was created as an independent institution out of the agricultural faculty at the University of Dar es Salaam in 1984. The University has four faculties: 1) Agriculture; 2) Forestry and Nature Conservation; 3) Veterinary Medicine; and 4) Science. Food Science and Human Nutrition is a department within the Faculty of Agriculture, and this is where the majority of Tanzanian undergraduate-level nutritionists are trained at present. Each faculty offers undergraduate and postgraduate programs to the doctorate level. The university houses the National Agricultural Library, the Center for Sustainable Rural Development, and the Pest Management Center. The SUA offers postgraduate training leading to degrees of Master of Science and PhD in the fields of Agriculture, Agricultural Economics and Agribusiness, Food Science, Human Nutrition, Forestry, Management of Natural Resources and Sustainable Agriculture, Veterinary Medicine, and Rural Development.

Research is also a mission of the SUA. The university conducts basic and applied research in the fields of land use, crop and livestock production, fisheries, natural resources and allied sciences, nutrition, and mechanical arts and technology. The university promotes the integration of research programs and findings with training and agricultural extension services. Currently, the university has 175 researchers trained at the PhD level in all fields of agriculture, forestry, and veterinary medicine. Research programs use students as an integral part of the research process, and the university has various collaborative research agreements with a number of international research institutions.

The SUA is also active in agricultural extension. The SUA attempts to prepare students to work with farmers in agriculture, nutrition, wildlife, livestock, and other areas for the dissemination of new approaches and technologies to improve Tanzanian agriculture. The Institute of Continuing Education and the Center for Sustainable Rural Development are arms of the SUA responsible for coordinating and promoting the provision of extension services to farmers and to the public in general. These two centers are responsible for organizing short-term training, workshops, and seminars for trainers. The entry point for collaboration is through the Faculty of Agriculture.

### **3.2. National Agricultural Research System (NARS)**

Agricultural research in Tanzania is conducted largely through public sector funding, although the private sector has recently increased its efforts in research. The Ministry of Agriculture and Food Security (MAFS) is the dominant organization involved in agricultural research. The Directorate of Research and Development (DRD) in the MAFS makes all planning and decisions on research policy and executes public-sector funded research. It also disseminates research findings by providing extension services with research results and other relevant information. The DRD operates through a network of research institutions, centers, and sub-stations that covers the main areas of crop research. There are seven zonal research and training centers located in the seven major agro-ecological zones of Tanzania, which are responsible for applied and location-specific research.

Some groups of farmers, especially the large-scale and commercial farmers, can influence funding and research policy that serves their interests. This group includes the associations for major cash crops such as the Tanganyika Coffee Growers Association, cooperative unions in coffee growing areas, and tea and sisal growers associations. To this end, the Tanzania Coffee Research Institute and the Tea

Research Institute of Tanzania, previously under the mandate of the DRD, were established in 1997 and 2000 respectively with mostly private funding. Coffee and tea growers now direct and manage the coffee and tea research institutes.

The National Agricultural Research Council (NARC) was established in 1990 to oversee the coordination of agricultural research of both the public and private sector agencies and to ensure the research agenda meets national agricultural development objectives. However, the NARC has not been able to effectively perform its duties because it lacks statutory powers and has no national budget provisions for its operations. In reality, this coordination function is carried out by the Research and Development Committee on Agriculture and Natural Resources under the Commission of Science and Technology within the Ministry of Higher Education.

The extension services in Tanzania, however, have been traditionally the object of much debate and criticism among farmers as not being very responsive to their needs. In Tanzania, as in much of Africa, extension is inadequately funded; extension agents are poorly trained and lack operational resources to cover large areas, and are usually caught in a dysfunctional institutional relationship with research services. These weak links between research and extension and farmers are widely recognized. It is also acknowledged that this is one of the main reasons why the agricultural research system in Tanzania is currently perceived as ineffective and inefficient. The capacity of extension agents to also provide support for farmers and their families on nutrition is also very weak at present. Strengthening the capacity of extension agents to provide agriculture-related nutrition education will be an area of programming and research emphasis under the nutrition and research components of FTF.

The NARS has benefited from collaboration with several international agricultural research centers and this is beginning to strengthen its ability to better respond to farmer needs. The International Maize and Wheat Improvement Center (CIMMYT), the International Rice Research Institute (IRRI), the International Center for Tropical Agriculture (IITA), and the International Crop Research Institute for the Semi-Arid Tropics (ICRISAT) are currently conducting research in Tanzania. Other major NARS member institutions include SUA, Tropical Pesticides Research Institute (TPRI), Tanzania Forestry Research Institute (TAFORI), and Tanzania Fisheries Research Institute (TAFIRI). The research institutions have bolstered the capacity of the NARS to be responsive to farmer needs with the development of technologies adapted to local conditions and have worked with the extension services for more effective transfer of technologies. For nutrition, the main institutions carrying out research are SUA, Muhimbili University of Health and Allied Sciences and the Tanzania Food and Nutrition Centre.

#### **4. Program Components**

The Collaborative Research and Capacity Building program will address several areas of weakness in the current system of higher education in agriculture, nutrition and the NARS. The program should look to explore new and innovative approaches for the way training and research are conducted in Tanzania and how their interactions with extension services can be improved. Important areas of focus should include such areas as institutional innovations to bring training, research, and extension into stronger and more functional relationships, the design of long-term training programs for Tanzanian students, promoting careers in agribusiness, nutrition, developing public-private partnerships to leverage private sector support, and seeking South-South university collaboration.

Four general areas of support are described below. While specific tasks are identified under each area of support, it is understood that the four areas are not mutually exclusive and there is considerable overlap among the areas. Applicants should understand that a comprehensive program of support will be important in proposal evaluation. Similarly, the applicant's in-kind commitment of faculty and other university resources, and ability to leverage public private partnerships, will be important considerations in proposal evaluations. The tasks identified under these areas are illustrative of the types of interventions and support sought.

#### **4.1. Support for Collaborative Research**

The major task here is to establish a program of collaborative agricultural research with faculty and students of Sokoine University of Agriculture and the NARS. The following aspects of the program should be considered:

- a. While the program should include all topics of research interests, efforts should be made to give special attention to rice, maize and horticulture and other areas of FtF emphasis such as production, nutrition, agro-processing, agribusiness, climate change adaptation in agriculture, and gender barriers and opportunities to equitable participation in profitable agricultural enterprises.
- b. Related to above, introduce into the university curricula state-of-the-art techniques in research methodology, design, data collection, and management.
- c. Similarly, establish a program of collaborative research with the NARS with particular attention to the rice, maize, and horticulture programs.
- d. Strengthen the linkages and working relationships between the SUA, NARS, the Tanzania Food and Nutrition Centre (TFNC) and extension services and identify ways for increasing collaboration in research, including participatory research methods, that both engage farmers and disseminate results and information tools and new technology opportunities to farmers.
- e. Related to above, establish modes of collaboration for supporting long-term participant training through the design of field research as part of a student's "sandwich" program of in-country research. Special emphasis should be made to ensure equitable participation of women in the agricultural and nutritional sciences.
- f. Seek areas of collaboration with the IARCs active in Tanzania and Collaborative Research Support Programs (CRSPs) of the Land Grant system.

#### **4.2. Foster Leadership in Training and Research through Long-term Training in Agriculture**

The essential task of this component is to establish a long-term graduate training program for Tanzanians in agriculture. The following aspects for the program should be considered:

- a. Conduct a training needs assessment of SUA, NARS, and other institutions supporting the agricultural sector, including nutrition to ensure that training is closely linked to institutional and sector needs
- b. Based on the assessment, design a training plan with the goal of enrolling 100 participants in M.S. and 20 participants in Ph.D. programs over the life of the agreement, with equitable gender participation.
- c. Identify candidates for long-term training who will return to drive development and sustain growth in the agriculture sector, including nutrition (i.e. participants employed

- by Tanzanian research institutions committed to food security and nutrition where participants return to their positions).
- d. Facilitate placement, monitor students, and be responsible for all aspects of the long term participant training process. Applicants should be aware of what will be required to undertake recruitment and selection of participants, in accordance with the requirements laid out in this RFA and in the USAID Automated Directives System (ADS). The Recipient will also be responsible for the delivery of administrative and logistical assistance, including J-1 security clearances, visa processing, enrollment in the USAID health and accident insurance program, data reporting in the TraiNet system, travel arrangements, and monitoring and evaluation of scholars.
  - e. Based on enrollment, provide faculty supervisors to assist in designing academic, research, management and leadership programs; and provide counseling as may be required.
  - f. Similarly, identify regional or third country (South-South) institutions capable of training students to the M.S. and PhD level and program participants as appropriate.
  - g. Utilize cost-efficient and effective approaches to graduate training such as: the “sandwich” approach, to the extent feasible, with students conducting solid relevant field research in Tanzania; or mixed delivery models involving distance learning.
  - h. Design and implement a reintegration phase to include: structured mentoring arrangements; incentives (and if necessary some kind of a contract) to ensure returned graduates serve their institutions for a minimum of two years; seed grants for returning researchers to compete for in order to continue their research program; and/or researcher fund to attend a professional/scientific meeting to maintain networks.

#### **4.3. Strengthen the Capacity of Sokoine University of Agriculture**

Strengthening the institutional capacity of SUA to provide world class degree training in agriculture and introducing institutional innovations are major objectives of this program. The following aspects for the program should be considered:

- a. Conduct an institutional assessment to determine the priority needs and entry points for providing assistance in areas such as curricula development, faculty training, training and research linkages, and promoting stronger links with the private sector. Ensure SUA participation in all aspects of the capacity building effort (i.e. ad hoc committee or other mechanism).
- b. Develop a program of faculty exchange between SUA and U.S. agricultural colleges and universities to give faculty greater exposure to new approaches to teaching, curricula, research methodologies, student interaction and counseling, and institutional innovation. Provide capacity building deliverables for US faculty at SUA such as lectures, coaching other researchers, or conducting joint projects with local researchers.
- c. Explore possibilities for providing local scholarships for study in fields where there are critical human resource shortages such as irrigation engineering, women’s enrollment, agricultural led nutrition research, computer sciences, etc. Consider how scholarship recipients could be engaged to inspire students, particularly women, at the higher secondary level to build the necessary pipeline of students in key technical areas; or targeted interventions linking higher secondary schools to SUA.
- d. Promote increased public-private partnerships in areas of priority concerns for private investment in agribusiness. For instance use of electronic vouchers to improve efficiency in

- fertilizer and seeds voucher scheme or use of M-PESA in enhancing rural transactions in agribusiness.
- e. Related to above, design and implement a program intended to foster entrepreneurship and careers in agribusiness. Possible interventions could include internships with local and/or international agribusinesses, competitive start-up grants to recent graduates for enterprise development, and leveraging private resources for assisting new agro-entrepreneurs.
  - f. Activities intended to bolster secondary school students' interest in, and ability to pursue, agricultural sciences and nutrition at institutes and universities should be seriously considered as a key intervention to grow the nation's future agricultural and nutrition leaders. Consider use of organizations such as 4H and Junior Achievement to foster entrepreneurship and agronomic sciences in youth.
  - g. Introduce innovative approaches for using information technologies for disseminating SUA promotional materials and research findings, interactive faculty exchanges, transmitting market information, and executing market transactions.
  - h. Explore and foster institutional relationships between U.S. agricultural research institutions and SUA to build institutional capacity at SUA that can lead to sustainable performance improvement.

#### **4.4. Promote Tripartite SUA - U.S. University - South-South University Cooperation**

Facilitating linkages between SUA and leading universities in countries with emerging economies offer the potential for the SUA to build off their experiences and take advantage of resources offered by these institutions in training and research. To this end, the following aspects of the program should be considered:

- a. Facilitate the establishment of collaborative relationships between SUA and appropriate universities in countries such as China, India, Brazil, Thailand, Vietnam, South Africa and Indonesia as a means to collaborate on research for priority FtF crops and as a venue for training programs. Leverage resources from a third country in South-South cooperation.
- b. Promote faculty exchanges and other institutional collaboration in university programs.
- c. Discern the important lessons-learned and key innovations in terms of institutional development from the partner universities and ensure that these aspects are incorporated into SUA's program.

### **5. Gender Considerations**

Gender issues, in particular cultural, economic and legal gender inequalities, are a critical underlying factor in making progress in all development sectors in Tanzania. There is a serious gender disparity in female students' enrollment in higher education, in particular, for the science disciplines. Addressing gender in all USAID solicitations is a mandatory requirement, and USAID/Tanzania has identified gender as a cross-cutting theme that is built into all USAID/Tanzania programs through the strategy development process. Applicants should describe how the program will adequately address gender issues and demonstrate an integrated understanding of gender concerns in the activities being proposed. The application and all activities should fully subscribe to the USAID Gender Policy and ADS 201.3.11.6, which requires a description of how gender relations will affect the achievement of sustainable results, and how the proposed results will affect the relative status of men and women. Applicants should address relevant and important gender issues and disparities, and the necessary human skills, material and financial resources, and time needed to address identified gender issues.

The performance management plan (PMP) must also include indicators and benchmarks to monitor progress.

## **6. Reporting Requirements**

All programs falling within the FtF Initiative for Tanzania will be expected to develop rigorous monitoring and evaluation systems. To the extent possible, examples of participatory methodologies built into program implementation, to engage beneficiaries in knowledge sharing, learning, and potential behavior change opportunities is encouraged. In addition to the standard reporting requirements, the Recipient may also be required to participate in developing and undertaking baseline and other survey/assessment work to contribute to the larger monitoring and evaluation framework under FtF. The Recipient will be expected to designate a full time monitoring and evaluation specialist with the requisite experience and educational qualifications to appropriately monitor progress and engage in reporting systems for FtF as they are developed, and who can work to ensure that program results are jointly monitored with the Agriculture Sector Development Program and the National Nutrition Strategy and fed into their reporting systems. The Recipient will participate annually in the expanded Strategic Objective Team (SO Team) meetings which include all implementing partners for FtF, USAID staff, and Government of Tanzania representatives from relevant ministries.

The Recipient is expected to participate in the USAID/Tanzania Implementing Partner Reporting System (IPRS). IPRS is a web application developed to manage and control data gathered and reported by USAID/Tanzania Implementing Partners. Implementing partners report quarterly, semi-annually and annually on indicators in this system.

The Recipient will be required to provide USAID/Tanzania with the following reports:

### **6.1. Performance Management Plan**

The Recipient will be expected to make contributions to the achievement of the goals and objectives of the FtF Initiative and USAID/Tanzania's Economic Growth Strategic Objective. The PMP will be the fundamental document used to measure the program's contribution to overall program impact. The PMP will propose outcome indicator targets for activities. Indicators should be identified at the program level, but it will also be equally important that indicators be proposed to capture higher level sectoral impacts and goals of the FtF Initiative such as improved agricultural productivity, increased market access, increased human resource capacity, increased employment and income and reductions in child stunting and underweight. The PMP should be both a performance measurement tool and a learning tool for all partners and stakeholders involved in the implementation effort.

### **6.2. Annual Work Plans**

Implementation will be guided by Annual Work Plans. The Recipient will develop Annual Work plans to be approved by the Agreement Officer's Technical Representative (AOTR). The Annual Work Plans should include the following;

- An abstract stating the program's purpose, objectives, expected results, indicators, and result targets.
- A detailed description of activities to be carried out over the coming year, including implementation schedule and timeline; and specific deliverables.
- Annual targets for each performance indicator.

- Budget request for the year.
- A discussion of previous year's progress, constraints, key achievements, and results.

The Annual Work Plans should also describe in narrative form the program rationale (i.e. the development hypothesis) and expected outcomes. It should include a discussion of the relationship of activities performed by others, including other donors. The Work Plans will establish program results indicators that will be tracked throughout the life of the agreement. The result indicators will also be used by USAID as part of its overall performance monitoring, submitted in the USAID/Tanzania mission-wide reporting system, and be part of the overall reporting requirements under the FtF Initiative.

The Annual Work Plans will be required to be submitted for approval by the AOTR on or before October 1 of every year of the agreement period.

### **6.3. Quarterly Performance Reports**

Quarterly Performance Reports will document progress toward achievement of indicator targets established in the Annual Work Plans. They should emphasize accomplishments, discuss problems encountered and a description of actions taken to rectify problems, and outline the work to be performed during the succeeding period. These reports should also have, as annexes, any report or key documents produced during the reporting period. Quarterly Performance Reports should be concise (no more than 20-30 pages), with summaries of program implementation and contain updated financial information, including accrued expenditures. These reports should be submitted to the USAID AOTR no later than 30 days following the end of the quarter.

### **6.4. Annual Performance Reports**

The Annual Performance Report should give a broader perspective of the program with a comprehensive discussion of the year's activities, how the entire program is performing, and the overall likelihood of achieving life-of-award targets. The report should include a succinct description of the program's purpose, objectives, results achieved against planned indicator targets, and proposed indicator targets for the coming year. An updated, end-of-year expenditure report should be included. Implementation problems and issues requiring additional attention should be described in detail. Likewise, key achievements, success stories, and lessons learned should be highlighted. These reports should be no longer than 50-60 pages and should be submitted to the USAID AOTR no later than October 10 of each calendar year.

### **6.5. Final Program Report**

No later than ninety days following the contract completion date, the Awardee will submit a Final Report to the USAID AOTR that will summarize tasks performed, achievements, results/impacts, implementation constraints and related issues, assessment of the sustainability of activities, and recommendations for the future.

## **7. Roles and Responsibilities**

The Recipient will be responsible for the overall implementation and management of the cooperative agreement. The Recipient will designate a principal contact to interact regularly with the AOTR for

the implementation of the cooperative agreement. The nature of the long- and short-term technical assistance required for the implementation of the program should be clearly delineated in the applicant's proposals. The USAID AOTR will provide management supervision and oversight for the cooperative agreement.

## **8. Environmental Examination**

All USAID funded activities require an environmental review through an Initial Environmental Examination (IEE) or a request for a Categorical Exclusion in accordance with Title 22 of the Code of Federal Regulations, Part 216, commonly known as 22 CFR 216, or "Reg 216." An IEE makes a recommendation as to whether a proposed activity will have a significant impact on the environment.

IEEs are prepared in the field by USAID staff and approved by the field mission and the Regional Environmental Advisor (REA). They are then forwarded to the Bureau Environmental Officer (BEO) in Washington and form the basis for the BEO's Environmental Threshold Decision. IEEs or requests for Categorical Exclusions and subsequent Threshold Decisions are prerequisites for the obligation of funds.

This activity is obligated under Strategic Objective 12 (SO12), with funds covered by an approved IEE (May 25, 2005) and compliant with 22 CFR 216

([http://www.encapafrika.org/documents/iee/35Tanzania3\\_SO12\\_Ag\\_IEE.pdf](http://www.encapafrika.org/documents/iee/35Tanzania3_SO12_Ag_IEE.pdf)). This IEE is under revision to incorporate Feed the Future activities. A categorical exclusion from environmental examination is recommended for the following activities, except to the extent that the activities directly affect the environment: education training, technical assistance or training programs; controlled experimentation exclusively for the purpose of research and field evaluation which are confined to small areas and carefully monitored; analyses, studies, academic or research workshops and meetings; document and information transfers; and studies, projects or programs intended to develop the capability of recipient countries and organizations to engage in development planning. An updated link will be provided once it is available.

Cost and technical proposals must reflect Initial Environmental Examination (IEE) or Environmental Assessment (EA) preparation costs and approaches. The Recipient will be expected to comply with all conditions specified in the approved IEE and/or EA. If an IEE, as developed by the Recipient and approved by USAID, includes a Positive Determination for one or more activities, the Recipient will be required to develop and submit an EA addressing these activities. No activity funded under this cooperative agreement will be implemented unless an environmental threshold determination, as defined by 22 CFR 216, has been reached for that activity, as documented in a Request for Categorical Exclusion (RCE), Initial Environmental Examination (IEE), or Environmental Assessment (EA) duly signed by the Bureau Environmental Officer (BEO). (Hereinafter, such documents are described as "approved Regulation 216 environmental documentation.")

*Environmental Compliance.* The program shall design, plan, implement, monitor and commission all its activities in a way that is fully compliant with the Agency's environmental compliance regulations (22CFR216). Specifically, prior to commencement of implementation, all activities shall be subjected to the environmental screening procedures as required the SO12 IEE. Pursuant to the IEE all activities that have actual or potential impact on the physical environment shall be identified and any negative impacts mitigated in compliance with USAID and Tanzanian environmental regulations

## **SECTION D**

U.S. AGENCY FOR INTERNATIONAL DEVELOPMENT

CERTIFICATIONS, ASSURANCES, AND OTHER STATEMENTS OF RECIPIENT [1][2]

Please, fill-in the provided certifications which have been uploaded separately. Part IV of the Certification is no longer applicable as provided in AAPD 05-04 Amendment 3.

# Survey on Ensuring Equal Opportunity for Applicants

**Purpose:** The Federal government is committed to ensuring that all qualified applicants, small or large, non-religious or faith-based, have an equal opportunity to compete for Federal funding. In order for us to better understand the population of applicants for Federal funds, we are asking nonprofit private organizations (not including private universities) to fill out this survey.

Upon receipt, the survey will be separated from the application. Information on the survey will not be considered in any way in making funding decisions and will not be included in the Federal grants database. While your help in this data collection process is greatly appreciated, completion of this survey is voluntary.

**Instructions for Submitting the Survey:** If you are applying using a hard copy application, please place the completed survey in an envelope labeled "Applicant Survey." Seal the envelope and include it along with your application package. If you are applying electronically, please submit this survey along with your application.

**Applicant's (Organization) Name:** \_\_\_\_\_

**Applicant's DUNS Number:** \_\_\_\_\_

**Grant Name:** \_\_\_\_\_ **CFDA Number:** \_\_\_\_\_

1. Does the applicant have 501(c)(3) status?

- Yes                       No

2. How many full-time equivalent employees does the applicant have? (Check only one box).

- 3 or Fewer               15-50  
 4-5                               51-100  
 6-12                               over 100

3. What is the size of the applicant's annual budget? (Check only one box.)

- Less than \$150,000  
 \$150,000 - \$299,999  
 \$300,000 - \$499,999  
 \$500,000 - \$999,999  
 \$1,000,000 - \$4,999,999  
 \$5,000,000 or more

4. Is the applicant a faith-based/religious organization?

- Yes                       No

5. Is the applicant a non-religious community based organization?

- Yes                       No

6. Is the applicant an intermediary that will manage the grant on behalf of other organizations?

- Yes                       No

7. Has the applicant ever received a government grant or contract (Federal, State, or local)?

- Yes                       No

8. Is the applicant a local affiliate of a national organization?

- Yes                       No

## Survey Instructions on Ensuring Equal Opportunity for Applicants

**Provide the applicant's (organization) name and DUNS number and the grant name and CFDA number.**

1. 501(c)(3) status is a legal designation provided on application to the Internal Revenue Service by eligible organizations. Some grant programs may require nonprofit applicants to have 501(c)(3) status. Other grant programs do not.
2. For example, two part-time employees who each work half-time equal one full-time equivalent employee. If the applicant is a local affiliate of a national organization, the responses to survey questions 2 and 3 should reflect the staff and budget size of the local affiliate.
3. Annual budget means the amount of money our organization spends each year on all of its activities.
4. Self-identify.
5. An organization is considered a community-based organization if its headquarters/service location shares the same zip code as the clients you serve.
6. An "intermediary" is an organization that enables a group of small organizations to receive and manage government funds by administering the grant on their behalf.
7. Self-explanatory.
8. Self-explanatory.

### **Paperwork Burden Statement**

According to the Paperwork Reduction Act of 1995, no persons are required to respond to a collection of information unless such collection displays a valid OMB control number. The valid OMB control number for this information collection is 1890-0014. The time required to complete this information collection is estimated to average five (5) minutes per response, including the time to review instructions, search existing data resources, gather the data needed, and complete and review the information collection. **If you have any comments concerning the accuracy of the time estimate(s) or suggestions for improving this form, please write to:** U.S. Department of Education, Washington, D.C. 20202-4651.

**If you have comments or concerns regarding the status of your individual submission of this form, write directly to:** Joyce I. Mays, Application Control Center, U.S. Department of Education, 7th and D Streets, SW, ROB-3, Room 3671, Washington, D.C. 20202-4725.