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The United States Agency for International Development (USAID) seeks applications from eligible institutions to implement one part of an activity entitled “Modernizing Agricultural Education and Training Systems Program.” The authority for this activity and RFA is found in the Foreign Assistance Act of 1961, as amended.

The successful applicant will be awarded a five-year Leader with Associates (LWA) Cooperative Agreement with responsibility for designing and implementing a worldwide program of knowledge management and agricultural education and training services development activities intended to provide results in multiple countries and/or regions. The applicant is required to submit a technical and cost application as detailed in Section IV. The Recipient will be responsible for ensuring achievement of its objectives and to coordinate and cooperate with other activities being carried out under the Modernizing Agricultural Education and Training Systems Program. Please refer to the Program Description (Section I) for a complete statement of goals and expected results.

Additional related activities may be awarded by USAID missions or other USAID offices as Associate Awards. These Associate Awards are not competed, but rather are awarded under the Leader agreement and are subject to the provisions of the Leader award. Associate awards may be either cooperative agreements or grants.

This LWA is a Title XII activity as described in that section of the Foreign Assistance Act of 1961, as amended in 2000. Eligible institutions include U.S. Land Grant Universities and Colleges having: “(1) demonstrable capacity in teaching, research, and extension (including outreach) activities in the agricultural sciences; and (2) that can contribute effectively to the attainment of the objectives” of the Title XII legislation.

The nature of the program lends itself to a consortium approach involving multiple universities with experience with agricultural extension services in conjunction with multiple NGO and/or for-profit entities with experience implementing international rural development field programs.

USAID strongly encourages applicants to include sub-awards for minority serving institutions (MSIs) and/or Minority Controlled Private Voluntary Organizations (MCPVO). Minority controlled Private Voluntary Organizations are nonprofit organizations that receive some portion of their annual revenue from the private sector, and receive voluntary contributions of money, staff time, or support from the general public. The Minority Controlled Private Voluntary Organization must be controlled by a board of directors or similar governing body with a /membership of more than 50 percent Black Americans, Hispanic Americans, Native Americans, or other economically disadvantaged minorities.

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

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

Subject to the availability of funds, USAID intends to award a five-year Leader Award for up to \$6,250,000 with up to 25 percent of this from mission and other office buy-ins. Applicants should plan for an initial obligation of approximately \$2,000,000 in year one and annual Leader Award funding levels of approximately \$1,000,000 in subsequent years. The actual annual obligation in years two through five will be based on the pipeline, proposed activities in the annual work plans, and availability of funds. Demand for services through Associate Awards will depend on Mission interest. There is no guarantee that any Associate Awards will be funded. Considering current renewed interest in agricultural development, however, there is potential for and need for capacity to implement programs through the Associate Award mechanism. The ceiling for combined Leader and Associate Award funding is \$72.25 million, not including funding for activities in USAID-designated Critical Priority Countries. 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:

- SECTION I – Funding Opportunity Description
- SECTION II – Award Information
- SECTION III – Eligibility Information
- SECTION IV – Application and Submission Information
- SECTION V – Application Review Information
- SECTION VI – Award and Administration Information
- SECTION VII – Agency Contacts
- SECTION VIII – Other Information
- Annexes

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

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

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

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

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

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

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

Any clarification questions concerning this RFA should be submitted in writing to Anne Sattgast via email at asattgast@usaid.gov, with a read receipt requested, by the date and time specified above. If there are problems in downloading the RFA off of www.grants.gov, please contact the Federal Grants Help Desk at 1.800.518.4726 or support@grants.gov for technical assistance.

Thank you for your interest.

Sincerely,

Anne Sattgast
Agreement Officer
USAID/Washington

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SECTION I – FUNDING OPPORTUNITY DESCRIPTION

A. THE PROGRAM

A.1 INTRODUCTION

The Modernizing Agricultural Education and Training Systems (MAETS) Project aims to strengthen the capacity of the full range of institutions that focus on educating the next generation of agricultural professionals: universities, technical colleges, vocational schools, secondary schools, and primary schools with agricultural course content. The program is one of several new platforms being designed currently to enable USAID Missions to readily access capacity development services across the agricultural innovation system—in such areas as research, extension, education, policy, and agribusiness.

Many developing country agricultural education and training (AET) institutions are struggling to incorporate new subject matter (biotechnology, environmental issues, ICT) into programs, support commercial agriculture, update curricula, respond to staff retirements, and link effectively with country stakeholders. The MAETS project approach includes analytical work and synthesis of lessons learned with respect to AET system reform, technical assistance and support to AET system development and improvements in AET, and developing training and dissemination programs that promote new strategies to AET development. USAID and other donors have funded few projects in support of AET system development over the past 20 years. Renewed commitment and new approaches to AET capacity development are needed. US universities and other AET organizations have potential to re-engage as global leaders in innovative work and long-term collaboration in this area. The MAETS project will collaborative with, draw on the experience of, and share outputs with other development partners, programs, and institutions working in the area of AET reform.

A.1.1 Context: Capacity Development in Feed the Future

USAID’s Bureau for Food Security (BFS) is developing a framework to guide its capacity development investments under Feed the Future (FTF). The framework addresses both human and institutional capacity issues and focuses on strengthening actors across the agricultural innovation system. Platforms are under development to enable USAID Missions to readily access training for emerging leaders and tools to strengthen public and private partners in-country. Platform elements in research and extension came on line in FY 11 and will shortly be joined by new opportunities for policy and educational strengthening. BFS is refining the framework through input from our partners in USAID Missions, other USAID bureau, USG agencies, other donors, and other important stakeholders.

Capacity is defined as the ability of people, organizations, and society as a whole to manage affairs successfully, to achieve goals, and to satisfy stakeholders’ expectations. Capacity development refers to a process of change in which people, organizations, and society as a whole improve their potential performance and unleash, strengthen, create, adapt, and maintain capacity over time. Our current view of capacity development represents a shift in paradigm from a previous understanding of capacity as something that outsiders build for others. Today, we understand capacity development as an endogenous process in which people, organizations, and societies learn and take ownership for change. Capacity development is driven by those undergoing the change and is highly adaptive and context specific, involving individual and collective learning and ways of doing. Capacity of individuals can be understood in relation to the systems in which they are embedded. Institutional capacity relies on organizational structures and linkages, the operating policy and resource environment, and human capabilities and skills within the institution.

A.1.1.1 Importance of Capacity Development in the Food and Agricultural Sector

The agricultural sector is undergoing a rapid, worldwide transformation, which has changed the context in which capacity development can be considered. Threats from drought, climate change and increasing resource scarcity are examples of new environmental challenges on the horizon. Globally, nearly one billion people suffer from chronic food insecurity, and the World Food Program reports that 25,000 people die each day from malnutrition-related causes. But there are also new opportunities—positive changes in market access, breakthrough technologies, and globalization—that are making it possible for smallholders to capture value in new ways that will have real impact on poverty and hunger. Developing capacity across the food and agricultural system will be critical to taking advantage of these new opportunities and meeting new challenges.

New capacity-development approaches can support actors across the food and agricultural system to better meet new demands in this transformed context. These new approaches include a greater responsiveness to changes in science and technology; an ability to foster coordination among differentiated institutions; a greater responsiveness to stakeholders; and a greater market orientation.

A.1.1.2 The Centrality of Capacity Development to Feed the Future and to USAID

Capacity development is at the heart of Feed the Future. A stable, competent, and well-educated workforce that effectively applies professional competencies; effective organizations (research systems, producer organizations, private sector firms, government policy units, irrigation agencies, etc.); and a more enabling operating environment are all essential to the long-term sustainability and success of FTF program interventions. In addition, capacity development is vital for building resilience in individuals, organizations, and communities so that they are better able to respond to stresses, shocks, and changing future conditions, thus reducing their vulnerability. Feed the Future includes decentralized, Mission-supported capacity development, centralized support to mainstream programs that include capacity development as a component, and specific new central platforms to facilitate Mission investment in capacity development.

The emphasis on capacity development in Feed the Future is undergirded by a strong USAID policy on human and institutional capacity development. Adopted in 2008, the policy mandates consideration of Human and Institutional Capacity Development (HICD) to improve the impact and sustainability of all agency development assistance programs.

The emphasis on capacity development in Feed the Future is further reinforced by USAID FORWARD, an ambitious reform agenda to change the way the agency does business. Within the framework of USAID Forward's Implementation and Procurement Reform Initiative, USAID seeks to increase its direct relationships with local organizations and develop local capacity to deliver sustained impact over the long term. An additional emphasis of the FORWARD reform agenda is the rebuilding of USAID's internal technical capacity. The presence of more knowledgeable technical staff in our field Missions will be a critical force in motivating Missions and their host-country partners to come up with plans for capacity development and in responding to that demand.

A.1.1.3 Principles of Capacity Development Interventions in Feed the Future

A set of overarching principles, grounded in the aid-effectiveness principles, underpins how BFS undertakes FTF capacity development investments.

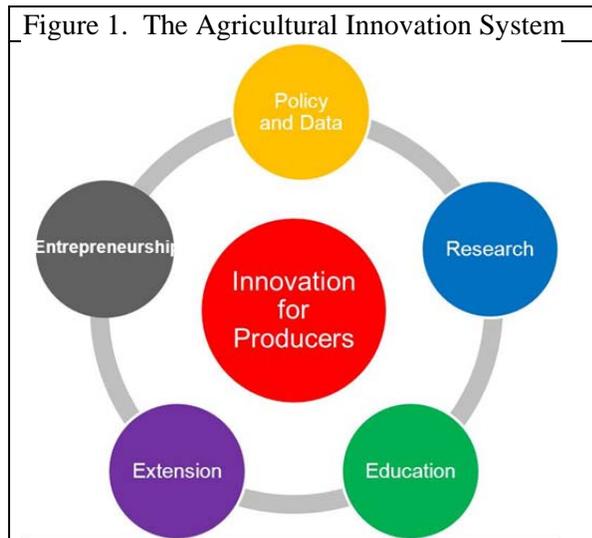
- Ensuring that capacity development interventions are demand driven and aligning interventions by these priorities.

- Documenting best practices and building in analysis of efforts to enable assessment of what is effective and to help ensure effective replication and scale-up.
- Integrating individual and group training with organization and enabling environment strengthening to ensure sustainable development and impact.
- Communicating and coordinating within USAID, with other US government agencies, and with other donors is critical to ensuring that limited resources for capacity development are used as effectively and efficiently as possible, with minimal duplication.

A.1.1.4 Feed the Future Central Investments in Capacity Development

Feed the Future is investing broadly to respond to and support a range of capacity development needs in Missions and to emphasize and suggest to Missions the importance of capacity development. Our focus is on several dedicated central investments that complement, strengthen, and enable the mainstream capacity development activities that are occurring at the Mission level.

The figure below highlights five strategic areas of central FTF capacity development investment: policy and data; research; extension and advisory services; education; and agribusiness/value chains. These five areas are elements of the agricultural innovation



system—the development and deployment of new technologies—which is key to global improvements in food and agriculture. We have focused on the innovation chain because the actors within that system—entrepreneurs, scientists, educational institutions—are the most likely high-impact levers of change and influence in food and agricultural systems.

The Modernizing Agricultural Education and Training Systems (MAETS) Project will support developing countries to build the human and institutional capital base needed for dynamic agriculture and rural development. This in-country capacity will be critical to meeting needs of the Feed the Future Program in addressing global hunger and food insecurity. It will also assist countries to mitigate and adapt to global

environmental changes, as well as promoting economic growth and broader participation in global market systems.

Development of agricultural education and training (AET) programs, systems and institutions will provide sustainable, local educational institutions for agricultural sector leadership. Participant training of individuals will provide the qualified teachers, researchers, administrators, and outreach program managers required for effective institutions in developing countries. This will involve a mix of long-term degree and non-degree training, short-term training, study tours, mentoring relationships and advisory services, and other inputs.

A.1.2 Background on Agricultural Education and Training System Capacity

Global challenges relating to food security, population growth, and climate change will require new focus on building global capacities needed to promote agricultural sector innovation and adjustment. Capacity is needed throughout the sector—on farms and in private sector firms, producer organizations, research institutions, government agencies, rural financial institutions, civil society, and other organizations. While

many investments contribute to capacity building, development of human capacity through training and education is central to this process.

Key partners in such capacity building will be agricultural education and training (AET) institutions in developing countries. These agricultural education and training institutions include the full range of university degree and non-degree programs, diploma level college/polytechnic schools, certificate level training institutions, vocational/technical schools; secondary and primary schools with agricultural course content, adult education, and participant training programs. AET refers to the full range of such formal training programs, but, as used here, does not include extension and advisory services. Developing the capabilities of AET institutions will require new approaches and a long-term commitment by funding agencies.

Most developing countries have degree-granting faculties of agriculture, often established with past USAID assistance. In recent years, the number of these universities has grown along with demand for education, but agricultural training at the secondary, vocational and certificate levels has been more varied and often not very systematic. In some respects, AET institutions have been remarkably successful—training scientists, administrators and technicians and developing the innovations that supported the dramatic growth of agriculture over the past 40 years. Despite these accomplishments, AET institutions now face severe constraints and new challenges.

Constraints on AET institutions and programs relate to their ability to adequately serve the needs of the agricultural sector and rural people in their respective countries. Some of these constraints have been with the institutions since their establishment and others are emerging with the changing environment for operation of the institutions and programs. Many AET institutions have poor linkages with stakeholder institutions within their country, use outdated curricula and poor teaching methods, rely on faculty that are inadequately prepared or nearing retirement, lack resources and/or are poorly managed, and lack sound linkages to centers of innovation. Changes in the agricultural sector have left institutions ill-prepared to provide quality training in: natural resources and environmental issues, new technologies (biotechnology and information/ communications technology), and agribusiness and marketing. AET institutions are not easy to change, but change is essential to sustainable development.

A review of AET issues, opportunities and needs provided guidance to development of the MAETS Project. The Review included a literature survey and Roundtable consultation with inputs from practitioners. The review found opportunities to: a) work with emerging AET institutions at the local and regional level (e.g., Regional University Forum for Capacity Building in Agriculture (RUFORUM)); b) engage with agricultural experts in a new generation of bright and dedicated practitioners with an entirely different skill set and mentality; c) diversify the agricultural education opportunities beyond degree programs at universities supporting technical and vocational schools that cater to the practical agricultural education needs of the sector—training technicians, entrepreneurs, and farmers; d) create an interdisciplinary understanding of agriculture to develop interdisciplinary curriculum for agriculture students that focuses not only on the more traditional aspects of farming but also business development, marketing, non-profit management, environmental concerns, bio-engineering and other technological aspects; e) create and strengthen inter-institutional connections, working through all private, public, university and NGO institutions to build capacity and sustainability; f) exploit the large demand for university opportunities after several decades of expansion of primary education; and g) make use of the significant improvements in technology in bio-engineering and ICT.

The Review also found pitfalls to be avoided in future investments. A move from a supply-driven model to a demand-driven model will require closely linking AET efforts with private sector companies and other employers that require agricultural experts. There is need for an effective narrative to ensure policy maker support to AET institutions. Training must be practical and relevant, presenting the dilemma that

AET education needs to be made attractive by emphasizing “modern” employment opportunities that do not involve low pay and drudgery, while adequately preparing graduates in practical aspects of agricultural production and rural economic and social systems. Administration and policy issues arise from serious policy constraints affecting many universities. Political pressures often lead to increasing enrollments without corresponding increases in funding. Traditions of subsidized or free education, politicized student bodies, and institutional cultures make change difficult. Brain drain remains a problem, in part because many students from urban areas have little experience with agriculture, have little interest in working in rural areas, but seek opportunities outside of agriculture or outside of their country. Increasing the appeal of agriculture at the university level is necessary to attract top quality students, a critical need as the expert base is eroding with the retirement of many qualified specialists. Investments and reforms will have to avoid a one-size-fits-all approach to AET, learning from past failures and successes to meet current day needs and challenges.

The Review identified several topics in need of further study. These include issues relating to: women in agriculture, AET investments in fragile states, harnessing potential of ICTs and distance learning, increasing private sector involvement in AET, and responding to needs for environmental training and natural resources sustainability. A synthesis report from the Review is available at: http://www.weidemannassoc.com/documents/AETSynthesisPaper_Maguire.pdf.

In Africa, with many countries threatened by food insecurity and environmental challenges, funding for agriculture has increased, guided by the Comprehensive Africa Agriculture Development Programme (CAADP), an African framework for achieving higher levels of growth in the agricultural sector and reducing poverty. There is recognition that successful implementation of the CAADP framework depends on human capacity to drive the country-level, regional, and continental processes forward and ability to produce future researchers, educators, extension agents, entrepreneurs, etc. There is movement to coordinate efforts to revitalize African AET institutions through regional efforts of RUFORUM (<http://www.ruforum.org/>) and ANAFE (<http://www.anafeafrica.org>). USAID is supporting a World Bank Trust Fund to support these efforts and to increase World Bank support to African AET institutions.

After many years of inactivity, USAID funding for AET has increased in recent years. Initial interest has centered on the need to provide trained technicians and entrepreneurs for agribusiness and market growth, with projects in Egypt and Timor Leste and smaller scale activities elsewhere. Larger projects focused on university training are underway or planned in Liberia, Afghanistan, Pakistan, Senegal, Tanzania, and Southern Sudan. USAID has also funded Higher Education for Development (HED) linkage grants for US and other universities, many of which involve AET programs. The project design draws on recent reports, evaluations and analyses listed in Annex D.

A.2 PROGRAM DESCRIPTION

The Goal for the Modernizing Agricultural Education and Training Systems (MAETS) Project is to develop the human and institutional capacity necessary for developing countries to promote rural innovation needed to achieve sustainable food security, reduce poverty, conserve natural resources and address other rural problems. This capacity must rely largely on in-country AET programs and institutions to be cost-effective, sustainable, and relevant.

The Project Objective for MAETS is to define and disseminate good practice strategies, approaches, and investments for establishing efficient, effective and financially sustainable agricultural education and training institutions and systems. The Project will support country programs for AET reform and investment.

The Project is supportive of Goal 2 of the 2011 USAID Education Strategy *Education—Opportunity through Learning*. It will improve the ability of tertiary and workforce development programs to produce workforce with relevant skills to support country development goals by 2015. It will strengthen admissions and recruitment systems of AET institutions, as part of improving overall policy and administration. It will encourage expanded involvement of universities in national agricultural research systems and aggressively promote outreach activities that tie AET institutions to the practical development needs of the sector. Vocational and technical training programs improvements will prepare workforce to compete in global and national markets.

The Project will work with existing public and private sector education and training institutions. Many public sector agricultural education and training institutions and programs are in severe decline, despite the fact that the public sector retains a key role in facilitating and regulating education and training institutions, financing public goods education and training services, and providing for quality control and quality enhancement of education and training services. Major issues to be addressed by the Project include the following: enhancing cost-effectiveness, cost-efficiency, and financial and institutional sustainability of agricultural education and training. There are no easy answers to these problems, but private sector involvement in education and training may offer opportunities to enhance efficiency, cost-effectiveness, client-orientation, and financial sustainability. Developing public-private partnerships is likely to be an important aspect of some activities under the Project, though this will depend in part on the nature of the country situation and partner requests for assistance.

As country capacities and needs vary widely, the key to effectively responding to demands to modernize agricultural education and training will hinge on the Project's adaptability and ability to tailor strategies and activities to the specific country and sector context. The general Project approach will be to build on existing institutions, drawing on expertise from land grant universities and other institutions to: assess the quality and productivity of various AET institutions and approaches; document and draw lessons from such experiences; disseminate an understanding of the state-of-the-art with regard to effective AET systems; and integrate good practice recommendations into developing country AET systems.

Successful implementation of this Project will likely require a mix of skills and capabilities, including: analytical and evaluation skills; education and training capability; and developing country logistical and Project implementation capacity. This is likely to require an arrangement that provides synergies of such a partnership or consortium as opposed to implementation by a single institution. However, applicants should be aware of the relatively limited funding and the need for flexibility, as work plans are developed in response to demand and interest from clients and as the Project and country development programs evolve. The ability to draw from capacities of possible consortium members must be balanced by the ability tap different sources of expertise and capacity as different needs and opportunities arise in different geographic and technical areas. Applicants should therefore ensure that management systems are flexible and able to respond to changing needs as the Project progresses and as needs and opportunities are identified.

USAID encourages applications from and including participation of minority serving institutions (MSIs) and/or Minority Controlled Private Voluntary Organizations (MCPVO). MSIs have potential to play important roles in the Project. Many MSIs have a history of implementing international development programs and can draw on this and their experience working across cultures and in promoting economic empowerment to strengthen country partner institutions through training, analytical work, curricula reform, and broader strengthening programs. Their history and experience may provide valuable insights into institutional development and sustainability. They may bring a strong commitment to vocational/technical education and to human capacity development.

The scale of activities under this Project will depend on the availability of USAID funding and the demand for assistance with the development of modernized AET service systems. The level of activity is uncertain, but expected to increase with programs to address global problems of food insecurity, global climate change, and rural poverty. Specific program activities will be defined and approved in Annual Work plans for the Project.

A.2.1 Project Approach

Human and institutional development is at the heart of the MAETS Project and re-engages USAID in a strategic and powerful aspect of agricultural and rural development. The MAETS Project must accommodate country-specific needs to avoid repeating the mistakes of past investments in agricultural institutional development. This will require innovation, experimentation and collaborative approaches to identify good practice and efficient and effective use of resources. The Project will balance its focus on long-term objectives while designing short-term performance and outcome indicators.

A World Bank study (Willett, 1998) identified key lessons that need to guide future AET investments. The study recommended a shift from limited interventions in single institutions toward an approach that promotes systemic institutional change, policy reform, and good governance throughout and interconnecting all levels of the AET system. Long-term commitment, rationalization and restructuring of AET programs and institutions, and establishment of regional centers of AET are seen as promoting efficiencies in AET investments. Greater interaction between agricultural educational institutions and other stakeholders, particularly private sector employers, along with more responsive, market-oriented, and demand-driven curricula and a broader view of agriculture are critical to developing more effective institutions.

The MAETS Project will provide a resource center of excellence (or better a network of excellence) in agricultural education and training on which USAID Missions and partners can draw to support work in this area. The Project will seek to involve multiple institutions (educational institutions, associations of educational institutions, NGOs, private sector and others) in Project activities and will disseminate findings widely. The Project will be demand-driven, responding to requests for assistance and providing an LWA mechanism for Missions to fund agricultural education and training activities. Since country capacities and needs vary widely, the Project will tailor strategies and activities to the specific country and sector context. Project activities will likely require sourcing technical expertise in AET issues from host country and global specialists.

Criteria for selecting partner institutions and activities will vary. Design work will be responsive to country Mission or other office requests for assistance, generally requiring funding or co-funding of such activities. Analytical work will also be guided by USAID Mission and other practitioner needs and interests, as reflected in funding for AET programs and in consultations on AET issues. This will often require proactive Project selection of institutions and case studies, evaluations, and analytical work to provide the best evidence relating to good practice and AET issues. Cross country and cross region comparisons will be important. The Project will seek collaboration with regional fora and institutions in carrying out activities. For work at the country level, the Project will develop criteria for targeting investments at different levels of the AET system, at different AET topics, and at different institutions.

The Project approach must address some critical issues, as summarized in Annex D. Applicants must consider these in the proposed Project implementation strategies.

A.2.2 Project Components

The MAETS Project will have three components or themes. All activities are expected to benefit a wide audience of users, including developing country policymakers and technical specialists, development

practitioners from NGOs, other donors, and consulting firms, and USAID staff and projects. Activities will be relevant to country programs responding to new challenges of enhancing food security and climate change. The Project will serve as a center of excellence and expertise to facilitate agricultural sector training and aid developing country decision-makers, AET institutions, and development practitioners improve strategies and investment planning and implementation needed to reform and strengthen AET systems.

Project activities will be inter-related but will include the following components, as described below. A logical framework for the Modernizing Agricultural Education and Training Systems (MAETS) Project is included as Annex B. (Note: Underlining emphasizes priority activities for implementation in the early phase of the Project.)

A.2.2.1 AET System Analysis and Pilot Projects—Documenting Lessons Learned and Good Practice (LEARN)

The Project will carry out a program of analytical work and synthesis of lessons learned with respect to AET system reform and strengthening in developing countries. Potential issues and themes for analytical work are listed in Annex C. The Project will work with the range of post-graduate, university, certificate, vocational/technical, secondary vocational level training. The project mandate will cover formal training, but will not include agricultural extension programs¹. Work will address administrative, policy and support functions critical to AET institutions and programs, as well as pedagogical issues. Other issues may be defined during Project implementation. The Project may begin implementation by developing a global database on agricultural AET institutions and capabilities.

The Project's work program will analyze needs in different categories of institutions and technical areas and identify policy issues and options for AET systems. The work program will include case studies, evaluations, low-cost pilot projects (e.g., for curriculum reform, course development, introduction of new teaching techniques, establishment of outreach or research programs, management improvements, etc.), and assessments of on-going AET reform programs to document experience and impacts from modernizing service delivery systems. Depending on funding availability, the Project will carry out action research and synthesis of experience on AET issues. Good practice definition will draw on work under the Technical Support and Design Component and on case studies and experience in on-going activities being implemented by the Project and partners with funding from USAID, other donors, host governments, NGOs, or others². Analytical work should draw heavily on the experience and findings from analytical and design work done under Component 2 and from implementation experience under any Associate Awards under the LWA.

Activities under this Component will be proactively designed by the implementing organization in consultation with USAID. To the extent possible, the Project will seek to orient activities under this component to the demand and needs from development practitioners and policy makers, including USAID country Missions. Some more costly activities, such as pilot projects, extensive local training, etc., will require funding or co-funding from USAID Missions or other offices.

The analytical agenda will be designed to identify good practice and pre-requisites for reform of AET programs. It will also establish an analytical base for identification and justification of potential AET investments. Case studies and small-scale pilot activities might be used to test approaches to AET program strengthening. Activities should seek better understanding of issues relating to AET program

¹ It is recognized that there is often overlap between agricultural extension and training activities.

² See for example: ANAFE and SCARDA: <http://www.anafeafrica.org/>; and BASIC: <http://www.fara-africa.org/>

sustainability, impact, and cost/ benefit. The work program will be defined and agreed upon in Annual Work Plans, which will incorporate the Project’s analytical agenda with a country stakeholder demand-driven agenda.

The Project will seek to be as inclusive as possible in involving various stakeholders and development practitioners and institutions in identifying and defining good practice in AET programs. Results and products of the Project will be shared as widely as possible.

Case studies, assessments and pilot programs under this activity should span geographic regions, cultural traditions, and production systems to provide a basis for robust and nuanced recommendations relating to training to foster agribusiness development. Development of tools for practitioner use in assessment and development of AET programs will be important outputs of the Project. The Project should create a network of practitioners working on new approaches and strategies to improve AET systems, demonstrate potential for results from AET investments, and modernize curricula and methodology for agricultural education and training. Outputs of this Component—AET assessment tools, good practice guides, training materials, evaluations, case studies, and analytical work—will feed in to work under the Technical Support and Design Component.

During year one and two, the Project will be expected to establish a network for working on and defining good practice in AET system capacity building. In defining the Project analytical agenda and work plan priorities and to document the current state-of-the-art thinking with regards to development of AET programs, the Recipient should consider convening a global learning event within the first six months of the Project. Such an event would bring together current USAID and other AET projects, stakeholders and AET specialists from within and outside the Project to share experience and views to guide Project activities.

During the first year, the recipient will start up analytical work and development of toolkits and outreach materials to address specific AET-related issues. The analytical agenda may include a series of case studies and/or evaluations related to the specific topic to guide definition of good practice. The implementing organization may justify and propose alternative issues, but proposed priorities are for developments of guidelines are listed below. Funding limitations may not allow for completion of the guidelines within the first year, but multi-year analytical activities should be proposed to produce guidelines for use as soon as is possible.

- diagnosing and addressing gender issues in AET programs and institutions and means of enhancing equity in agricultural education;
- analyzing needs and potential for investments in agricultural vocational/technical training, including secondary level vocational training;
- addressing AET needs for agribusiness development and agricultural commercialization, identifying priorities for support necessary to promote private sector development, commercialization of small farm systems, and increase in agricultural trade; and
- country level assessment and prioritization of support to different levels of AET (secondary, vocational/technical, university, or post-graduate) and of support to different institutions.

A.2.2.2 Technical Support and Design—Mainstreaming Effective Approaches to Quality and Relevant AET (DESIGN AND DEVELOPMENT)

The Project will provide technical assistance and support to AET system development and improvements in education and training for the agricultural sector. This Technical Support and Design Component will promote and facilitate the design of effective investment programs and reform plans for AET systems and institutions. This should address all levels of agricultural education needs and address issues such as those

listed in Annex C. This Component will provide technical assistance and other services to assist AET programs and institutions with reform and redesign to strengthen impacts on national development objectives. This Component will also support analytical work, human resource needs assessments, and investment design for USAID and other funding initiatives. Assistance will be largely demand-driven, responding to requests from USAID Missions, often requiring funding from the requesting Mission.

The Project will develop and share appropriate sets of tools and guidelines for development practitioners working with AET systems. These may address needs for various levels and types of AET programs—both formal and non-formal—and will support assessment, development and evaluation of AET programs. Analytical work and project-developed tools will support reforms of administrative, policy and support functions critical to AET institutions and programs.

The Project will be expected to provide technical assistance to selected host country organizations—public and private—for the design, evaluation and reform of AET systems and institutions. Such services will draw on analytical work done under the Project and use tools developed by the Project to introduce reforms and innovation needed for efficient, effective, and sustainable AET programs and systems. Technical assistance may address a specific issue relevant to an agricultural education and training institution or may assist with development of strategies and plans for the overall system. In conjunction with the technical assistance services, the Project may fund small-scale projects through small grants or direct assistance for specific AET institutional strengthening activities or to introduce new innovations in AET institutions.

As part of the technical assistance program, the Project should establish a mechanism to support faculty exchange and visiting professorships on a volunteer basis to assist AET institutions with: curricula reform; teaching; outreach and research activities; administrative reform; and other needs. The Project should emphasize this voluntary technical assistance and exchange to maximize cost-effectiveness in the Project. Linking US professionals, especially those early in their careers, with AET institutional development activities will promote better institutional understanding and foster a commitment to international work throughout the individuals' careers.

The Project should seek active collaboration and coordination with World Bank Multi-Donor Trust Fund-supported activities of the African Network for Agriculture, Agroforestry and Natural Resources Education (ANAFE) and the Regional Universities Forum for Capacity Building in Agriculture (RUFORUM) to promote enhanced support and reform in African AET institutions in order to support CAADP implementation (“TEAM” Africa).

In assisting countries with planning for AET program development and agricultural sector training, the Project should seek to promote appropriate participation of U.S. AET institutions and their partners in international programs, but must avoid potential conflicts of interest in future procurements for implementing projects. AET program design work will not be exclusively for preparation of projects for USAID funding, but may serve broader country needs for AET sector analytical, design and knowledge management needs.

USAID Missions will assist in identifying opportunities for assistance. Analyses and design work will be coordinated with USAID Mission interests in funding food security and nutrition programs.

Applicants should include provision for carrying out country AET systems assessments and developing program design recommendations for selected USAID Feed the Future target countries during the first year or two of the Project. Specific countries will be defined in collaboration with USAID. Additional assessments may be carried out if Mission resources become available. The Project will network and collaborate with regional initiatives and associations supporting AET development.

A.2.2.3 Training—Direct Investment in Human Development (TRAIN)

The Project will develop user-friendly materials for dissemination and training programs that promote new strategies and approaches to agricultural education and training program and institution development. Initially, these will likely include a state-of-the-art training module targeting development practitioners (including USAID staff and implementation partners) involved with planning and implementing AET programs; courses on agricultural education and training system development options for host country officials and development practitioners; and short technical notes on various aspects of good practice relating to AET issues. Courses and materials will be integrated into core USAID sector training programs, as appropriate, and will be presented in developing countries in response to Mission demand.

The Project will draw on linkages with and knowledge of AET institutions to plan and implement participant training programs for the agricultural sector. This will focus on training developing country AET personnel on AET related issues. The Project may develop and present, as requested and funded through buy-ins, short courses to improve performance of administrative, policy and support functions critical to AET institutions and programs.

The initial priority will be development of a core AET orientation presentation (one hour) and a state-of-the-art short course (one day). These should be useful to support country-level analytical and design work and for presentation to USAID and partners staff and other development practitioners, when opportunities arise.

The Project may also, with buy-ins from USAID Missions, fund training in technical disciplines: short courses on specific technical topics (bio-technology, integrated soil fertility management, climate change adaptation, dairy policy, etc.) and degree training at various levels. The Recipient must have the capability to manage agricultural participant training programs in the US, in host countries, or in third countries, though this is not expected to be an element of the Project.

The requirement for participant training is expected to be limited to specialized short courses relating to AET institution and program improvements and some Mission buy-ins for targeted training for AET institution faculty and staff. The training program strategy should – to the extent possible – seek to develop and test new ways of managing participant training to increase cost-efficiency and program relevance and effectiveness. The strategy should exploit host country and third country training opportunities, as appropriate.

The Project should maintain an inventory of training opportunities, training resources, fellowship programs and other training resources relevant to AET institution and capacity development and to broader training needs of the agriculture sector. These should include emphasis on training relevant to food security programs, global climate change mitigation and adaptation, nutrition, and other priority needs as identified by Project clients. This database should include both US and non-US training opportunities. Practitioners may be expected to draw on the information in this database for planning training for sector capacity development. Missions or other offices may fund such training through Associate Awards targeting specific human and institutional capacity needs.

During the first year, the Project will be expected to develop, as needed and in consultation with USAID, core training materials for USAID and country partner staff to promote understanding of opportunities and needs for AET program support and activities to encourage innovative approaches by US universities and other AET program partners in supporting the strengthening of developing country institutions. These may build on other training materials available with USAID.

A.2.3 Management of Activities Across Components

The Project will integrate activities to the extent possible for synergies between the components. Analytical work and pilot activities should feed program design and support work and training to disseminate good practice in AET program and institutional development. Knowledge of AET institutions and systems should help with identification of training institutions and managing participant training programs.

Allocation of funding by Component may be: Component One (Learn) – 40%; Component Two (Design) – 50%; and Component Three (Train) – 10%. Please note that the above numbers are purely illustrative and not confining; the actual allocation will be determined in the implementing organization's application.

The Recipient will submit annual work plan for USAID approval of the specific activities to be undertaken and the balance in allocation of resources to the various activities. BFS will fund core analytical work and training. **Missions will fund country specific investments, generally through buy-ins to the Leader Award for small scale activities (i.e., <\$250,000) and through Associate Awards for more comprehensive development activities. Associate Awards are the preferred "field support" mechanism and will be encouraged. Total buy-ins will be limited to no more than 25 percent of the amount of the Leader Award amount.** The ceiling for the leader Award and all Associate Awards will be \$72.25 million, not including funding for activities in USAID-designated Critical Priority Countries.

The project will be demand-driven, requiring a high degree of flexibility in work planning. Applicants must submit an illustrative Work Plan. Over the initial four months of the Project, the implementing organization in consultation with USAID and other stakeholders will develop a final Work Plan for project activities. The Final Work Plan shall include a Final Project Performance Monitoring Plan (PMP) (See below.).

A.3 ASSOCIATE AWARDS

Associate Awards under the LWA may or may not be funded, depending on USAID Mission and other Office funding for agriculture and rural development and Mission strategies for providing assistance. Three types of Associate Awards may be especially relevant to USAID programs:

- 1) Design of AET programs to be funded by USAID Missions and Offices. This would build on and expand the services available under the Leader Award and might include analytical work, strategy development, technical assistance, and initial training and capacity building investments required for rapid and efficient development or reform of AET programs or institutions.
- 2) Implementation of targeted projects to develop institutional capacity in specific AET programs (e.g., agribusiness, food and nutrition, biotechnology, agricultural economics, etc.) or institutions in a given country or region.
- 3) Implementation programs for comprehensive AET institution or system reform and/or development in a country to support rural development, food security, resource conservation, local capacity building or other specific national development objectives.

Any Associate Awards will be designed and managed by country Missions, conforming to country policy, program, and procurement strategies and conditions. Any Associate Awards will build capacity of AET institutions to deliver effective training and implement development projects with funding from USAID or other sources. Country conditions vary enormously from countries with AET institutions with little capacity to undertake direct contracts and grant (perhaps Southern Sudan, Liberia) to many with emerging

capacity (perhaps Bangladesh, Rwanda) to those with substantial capacity (perhaps Kenya, South Africa). Strategies underlying Associate Awards may include:

- Establishment of long term collaborative relationships between US and developing country institutions to effectively address country human and institutional capacity needs;
- Relatively short two to three year projects to build technical and administrative capacity of local AET institutions to implement direct contracts or grants;
- Initiation of agricultural projects in partnership with local AET institutions with the LWA phasing out over the implementation period, transitioning to full direct implementation by the local AET institution;
- Design and development of programs suited to direct contracting with local AET institutions;
- Development of new institutional capacity for graduate level training, vocational/technical training, or basic agricultural education and training in post-conflict situations;
- Establishment or comprehensive reform of agricultural universities or vocational/technical training programs;
- Establishment of new programs or departments for specific disciplinary training (e.g., nutrition, biotechnology, agribusiness, etc.); or
- Establishment of in-service training capacity to complement work of agricultural sector institutions critical to food security and sound environment management.

As part of the Technical Application (see Section IV), applicants should describe their proposed arrangements and strategies for responding to and promoting Requests for Applications for Associate Awards (RFAAs).

A.4 PERFORMANCE MONITORING PLAN

The Project shall operate with a focus on achieving developmental results and impacts. A Performance Monitoring Plan (PMP) will be completed as part of the Life-of-Project Work plan and will provide for routine monitoring and reporting focusing on program performance and impact. Specific performance and results indicators will be built into all Project activities. The Project will report on indicators, such as are summarized in the following illustrative example for a Project funded at \$6.25 million over five years. Illustrative indicators and targets for the Project implementation (assuming full funding) are presented below.

Illustrative Indicator	Illustrative Five Year Target
Case studies completed	12
AET program evaluations	12
AET Strategies, approaches, & methodologies developed	3
Pilot programs implemented	1
Technical notes & good practice papers disseminated	5
AET reform and investment plans designed	18
Consultancies and exchanges for curricula development, linkages, & other AET support completed	80
AET seminars & training courses developed	4
Policy Makers Trained	200
Development practitioners trained in AETS	200
Institutional linkages established	40
AET reform and investment plans implemented	12
AETS program investment impact improved	\$200 million

AET institutions strengthened	30
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The Project will establish a management information system (MIS) adequate to inform program management decisions and report routinely on inputs, activities and outputs and – when possible -- on outcomes. The management information system will define beneficiaries and benefits and include indicators, procedures, and reporting systems needed to track program performance and impact. Since the Project will work with monitoring and evaluating of the performance of AET programs, this capacity for monitoring and evaluation should inform the development and operation of the Project’s own M&E system.

The management information systems with its component indicators and data collection systems must be robust enough to serve to monitor diverse activities in different country situation with differing objectives, strategies, and timeframes. Additional information available from World Bank sources may be of use: http://www-wds.worldbank.org/external/default/WDSContentServer/WDSP/IB/2005/06/17/000012009_20050617110919/Rendered/PDF/319230rev.pdf and http://siteresources.worldbank.org/INTARD/Resources/ARD_DP20.pdf.

The Project PMP may be simpler than the field level indicators used in tracking performance of specific AET programs or institutions. However, the Project PMP with performance and impact indicators shall provide the basis to track and report on changes along the cause and effect pathway of the program’s development hypothesis—from inputs and activities to outputs, outcomes (results) and impacts. To the extent possible, the PMP shall gather data and report against applicable Foreign Assistance Framework and Feed the Future Program standard indicators.

End of Project Evaluation: USAID may undertake an evaluation of the MAETS Project at the end of the second year of implementation to determine whether adjustments are required to the Project design and implementation approach. There will be a final evaluation during year five of the Project. The evaluation in year two will assess performance in delivery of inputs and outputs from the Project. Both evaluations, though most substantively the year five evaluation, will assess validity and achievements at the output-to-purpose level of the logical framework.

B. KEY PERSONNEL

The one Key Personnel position for the Program will be the MAETS Program Director. The Program Director shall have over-all responsibility for the implementation of the MAETS Program and shall be the principal point of contact for USAID for issues in regarding program planning and implementation. The Program Director will be responsible for activity coordination, planning, Work plan development, program reporting, over-all program monitoring and evaluation, and coordination and representation of the Program with USAID and other stakeholders. The Program Director’s minimum qualifications include: a university degree in a subject relevant to international agricultural development (technical agriculture, business administration, international development, economics, rural sociology, etc.), experience with extension and advisory services, program management experience, and at least five years’ experience in international development.

The Program Director, as Key Personnel under the Leader Award Cooperative Agreement, need not be assigned full-time to the Program, as cost considerations and program needs may not require full time assignment. The Recipient shall justify its proposed level-of-effort for the Key Personnel position and obtain USAID AOTR approval for time allocation of any position not assigned full-time to the Recipient Program.

C. AUTHORIZING LEGISLATION

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

D. ADMINISTRATION

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

22 CFR 226 - http://www.access.gpo.gov/nara/cfr/waisidx_06/22cfr226_06.html

OMB Circulars - <http://www.whitehouse.gov/omb/circulars/>

Standard Provisions – see Annex F to this document

SECTION II – AWARD INFORMATION

A. ESTIMATED FUNDING LEVEL

Subject to the availability of funds, satisfactory performance and continued demand for agricultural education and training system development, USAID intends to award a five-year Leader Award for up to \$6,250,000. Considering current budgetary constraints the applicant should use an initial (Year 1) obligation of approximately \$2,000,000, with annual obligations of approximately \$1,000,000 for subsequent fiscal years.

The limit on the total of the Leader award and all Associate Awards is \$72.25 million not including Associate Awards in USAID-designated Critical Countries. Any increase in this ceiling is subject to future USAID approval and is unlikely to go beyond \$75 million. All funding is subject to the availability of funds and USAID Mission priorities and availability of fund.

USAID intends to award without discussions. Therefore, each application should contain the applicant's best terms from a technical and cost standpoint. However, USAID reserves the right to hold discussions if deemed necessary. Neither financial data submitted with an application nor representations concerning facilities or financing will form a part of the resulting Cooperative Agreement.

B. ANTICIPATED START DATE AND PERFORMANCE PERIOD

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

C. AWARD TYPE AND SUBSTANTIAL INVOLVEMENT

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

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

Substantial involvement will be limited to:

1. Review and approval of annual implementation plans for the Leader Award
2. Approval of specified key personnel—Program Director
3. Review and approval of Scopes of Work for proposed Associate Awards
4. Approve the recipient's monitoring and evaluation plan

Specific substantial involvement provisions for Associate Awards will be identified for each award. These provisions may include (a) Approval of recipient's implementation plans; (b) Approval of specified key personnel; and (c) Agency and recipient collaboration, joint participation or approvals. The Mission or other office/bureau commissioning activities through an Associate Award will propose terms for substantive involvement, but terms for the Associate Awards should be consistent with the Leader Award.

SECTION III – ELIGIBILITY INFORMATION

A. TYPES OF ENTITIES THAT MAY APPLY

This LWA is a Title XII activity. As such, eligible institutions are U.S. universities as described in Title XII of the Foreign Assistance Act of 1961, as amended in 2000. Partners including non-governmental and private/voluntary organizations and for-profit firms may be included in the application. The nature of the program lends itself to a consortium approach involving multiple universities with experience with training and agricultural sector analytical and policy work in conjunction with multiple NGO and/or for-profit entities with experience implementing international rural development field programs.

Applicants must: (1) demonstrate an established capacity to provide the technical services and expertise described; (2) have a proven track record in managing programs promoting agricultural education and training and agricultural education and training program development; (3) be legally registered in the United States; and (4) be able to manage USAID financial management standards to ensure funds accountability. Moreover, Applicants must have had within the past five years a minimum of three years' experience in planning, managing, monitoring and reporting on international agricultural development programs. For-profit businesses must waive profits and/or fees to be eligible to submit an application.

Section 269(d) of Title XII of the Foreign Assistance Act, as amended, defines an eligible university or college as:

“... those colleges or universities in each State, territory, or possession of the United States, or the District of Columbia, now receiving, or which may hereafter receive, benefits under the Act of July 2, 1862 (known as the First Morrill Act) or the Act of August 30, 1890 (known as the Second Morrill Act), which are commonly known as ‘land-grant’ universities; institutions now designated or which may hereafter be designated as sea-grant colleges under the Act of October 5, 1966 (known as the National Sea Grant College and Program Act), which are commonly known as sea-grant colleges; Native American land-grant colleges as authorized under the Equity in Educational Land-Grant Status Act of 1994 (7 U.S.C. 301 note); and other United States colleges and universities which – (1) have demonstrable capacity in teaching, research, and extension (including outreach) activities in the agricultural sciences; and (2) can contribute effectively to the attainment of the objectives of this title.”

B. USAID ENCOURAGES APPLICATION FROM POTENTIAL NEW PARTNERS

USAID strongly encourages applications from potential new partners. Arrangements for appropriate participation of partners from developing countries, especially in any Associate Awards, is also encouraged in order to support implementation of USAID Forward policies.

C. COST SHARING

There is no mandatory level of cost share requirement for this program but participation is strongly encouraged. See 22 CFR 226.23 for additional information on cost sharing.

D. OTHER MINIMUM QUALIFICATION REQUIREMENTS

In keeping with USAID's intent to encourage broad-based participation among universities, US and host country institutions and the respective private sectors, applications that clearly demonstrate a plan to promote the broad participation of US universities, including Minority Serving Institutions (MSI), and the cooperating institutions noted will receive favorable consideration.

SECTION IV – APPLICATION AND SUBMISSION INFORMATION

A. APPLICATION FORMAT AVAILABILITY

All application materials are contained in or referenced in this RFA and available on www.grants.gov. If there are problems in downloading the RFA from www.grants.gov, please contact the Federal Grants Help Desk at 1-800-518-4726 or support@grants.gov for technical assistance.

B. FORM OF APPLICATION SUBMISSION

The chart below lists each element required for submission of a complete application.

What To Submit	Required Content	Required Form or Format
1. Application for Federal Assistance	Per required form, as described in Section IV.C.3	SF-424
2. Technical Application	Narrative as described in Section IV.C.1,2, 4	Word
3. Cost Application <ul style="list-style-type: none"> • Budget Information – Non Construction Programs • Cost spreadsheets • Budget narrative • Supporting Documentation 	Per required form, as described in Section IV.C.5.a As described in Section IV.C.5.b As described in Section IV.C.5.c As described in Section IV.C.5.d	SF-424A Excel Word
4. Certifications, Assurances, and Other Statements of the Recipient <ul style="list-style-type: none"> • Assurances – Non Construction Programs • Certifications, Assurances, and Other Statements of the Recipient (May 2006) 	Per required form, as described in Section IV.C.6.a As described in Section IV.C.6.b	SF-424B See Annex I

C. THE REQUIRED FORMAT FOR THE APPLICATION

C.1 PREPARATION AND SUBMISSION GUIDELINES

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

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

Page Limits: The application must address all items requested under the sections listed below. The technical application must **not exceed thirty (30) pages**. Both the overall page limit and the individual section page limit must be adhered to. Pages in excess of stated limitation will not be considered. However, the list of items with no page limits below is not included in either count.

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

Technical Application (30 pages)

- a) Cover Page (1 page)
- b) Executive Summary (1 page)
- c) Program Strategy (4 pages)
- d) Program Work Plan (10 pages)
- e) Institutional Capability/Management Approach (8 pages)
- f) Staffing and Key Personnel (3 pages)
- g) Past Performance (3 pages)

There are no page limits (either for individual sections or overall) for the items listed below:

- Table of Contents
- Dividers
- Past Performance References
- Appendix: Curriculum Vitae (CV) for the proposed Director any proposed Component Leaders, and other available specialists (Curriculum Vitae (CVs) for available specialists other than the proposed Project Director and any proposed Component Leaders should be no longer than two pages each; not to exceed 9 CVs total)

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

Cost Application (No page limit)

C.2 OTHER INSTRUCTIONS

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

C.3 APPLICATION FOR FEDERAL ASSISTANCE

The applicant must complete SF-424, Application for Federal Assistance, as indicated by the form. The form will be posted with the RFA at www.grants.gov.

C.4 TECHNICAL APPLICATION FORMAT

C.4.1 Cover Page: The cover page shall include the name of the lead applicant applying for the award. If any partner organizations are included in the proposal, they shall be listed separately, and indicated as subordinate to the principal organization. A summary table shall be included that lists the prime applicant and all partner organizations as well as the percentage of overall program activities that each partner will contribute. The cover page shall also identify a point of contact, hereafter referred to as the “agent,” with the authority to negotiate and sign on behalf of the applicant. The individual's name (both typed and his/her signature), title or position in the organization, email and postal addresses, telephone and fax numbers shall be included.

C.4.2 Executive Summary: This section shall provide a concise summary of the applicant’s proposed program description, program methodology and expected results.

C.4.3 Technical Application: Applicants are expected to use their relevant expertise and capacities to promote modernization agricultural education and training systems to address constraints or opportunities related to rural and agriculture development, food security, poverty reduction, and environmental conservation in target developing countries and regions. Within the proposal, applicants shall describe the proposed program and how it will effectively address existing constraints and opportunities. The Technical Application shall include the following sections:

C.4.3.1 Program Strategy: The Application shall present a strategy for achieving long-term development impacts to achieve the Program objective (See Section I.A). The application should demonstrate an understanding of good practice in development and operation of agricultural education and training systems based on diverse institutionally pluralistic systems involving public, private and/or civil society organizations. The application should incorporate a program strategy that engages and influences USAID field Missions and bureaus, host-country policy makers and practitioners, as well as other development and donor organizations through analytical work and definition of good practice, planning for program and institutional development and reform, and training to disseminate knowledge on effective agricultural education and training systems design and operation. The applicant should describe an overall vision for a portfolio of high quality, innovative activities to promote agricultural education and training systems development to promote food security, poverty alleviation and economic growth, environmental conservation and equitable long-term development impact on host country beneficiaries. The application should demonstrate how the program will draw on lessons learned and capabilities of other programs and institutions.

C.4.3.2 Program Work Plan: The Application shall present an illustrative five year, life-of-program work plan and a more detailed illustrative work plan for activities in year one. The work plan should cover activities relating to agricultural education and training system development, including: a) analytical work for definition of good practice and documentation of experience relating to specific topics and issues; b) support to institutional and program reform and/or design for activities in specific countries, especially as may relate to food security or global climate change development; and c) training and dissemination of materials and training courses targeting specific AET issues. The work plans should include a timeline for major tasks and a Performance Monitoring Plan with indicators, a plan and schedule to establish a baseline for the indicators and targets for monitoring performance and impacts. The Year One Work Plan shall include priority activities, as noted in the Program Description to: a) define good practice in promoting gender equity in AET programs, analysis of opportunities for agricultural vocational and technical training, country assessment of needs at different AET levels, and

assessment of AET needs to promote commercial agriculture and agribusiness development; b) carry out country AET systems assessments and program design recommendations in 5-6 Feed-the-Future target countries; and c) develop core training materials for USAID and country partner staff to promote understanding of opportunities and needs for AET program support. The work plan shall include provisions for development of a set of meaningful progress indicators and baseline to measure impact and should show how planning, reporting, and analysis will be efficiently managed across activities. The work plan should show how the Program will respond to client demand for knowledge management services and to USAID Office or Mission Requests for Associate Awards Applications (RFAAAs). [Note: After award, the Recipient will prepare final LOP and Year One Work Plans in consultation with USAID and other partners and obtain AOTR approval of this finalized Work Plan.]

C.4.3.3 Institutional Capabilities/Management Approach: The Application shall propose an efficient and flexible management structure for the Program. The management structure should demonstrate a balance between the needs to minimize administrative costs and the needs for extensive capacity to carry out diverse activities and respond to, and implement programs under, Requests for Applications for Associate Awards for agricultural education and training programs and system development. The Application should describe capacities for AET related analytical, planning and design, and training and good practice dissemination work in support of program objectives. The Application should describe processes for promoting, developing, and implementing Associate Awards and the capacity to implement Associate Awards. The Application should demonstrate institutional capabilities relevant to training, analysis and action research and those relevant to implementation of agricultural education and training programs and program development and capability to provide specialist services from host countries and global networks of specialists. The Application must show an organizational structure, including proposed lines of responsibility, authority and communication, and procedures to ensure productivity as well as cost and quality control. The Application should describe how the Program may involve Minority Serving Institutions (MSI), minority-controlled private and voluntary organizations and/or minority owned businesses.

C.4.3.4 Staffing and Key Personnel: The Application shall propose a Program Director, describe his/her role and responsibilities for Program leadership and implementations, describe the individual's qualifications for this position, and include a full CV of the proposed director as an appendix (See Section I.E.). The Application shall identify other staff for administration, management and implementation of the Program, explain their roles and responsibilities, and explain the time allocation of any staff that is less than full time. The Applicant should describe how the Project will expand the numbers of AET development specialists by involving new professionals in international AET work. The Applicant should also describe the proposed approaches and strategies to provide volunteer specialists or other options for cost-effective engagement in technical personnel to work with host country AET institutions. The Application shall describe plans for expansion of Program activities if associate awards become numerous and also how possible attrition of staffing (in particular, replacement of director) will be addressed. Applications should identify and provide brief CVs for extension and advisory services experts (up to a maximum of 8) that would be potentially available to work on the Program. The Application should identify specific individual(s) – which might be, or include, the Program Director – to undertake work during Year One to: a) define good practice in promoting gender equity in AET programs, analysis of opportunities for agricultural vocational and technical training, country assessment of needs at different AET levels, and assessment of AET needs to promote commercial agriculture and agribusiness development; b) carry out country AET systems assessments and program design recommendations in 5-6 Feed-the-Future target countries; and c) develop core training materials for USAID and country partner staff to promote understanding of opportunities and needs for AET program support..

The Application shall list at least four references for the proposed candidate for Program Director with **current** phone numbers and email addresses. These shall be listed in an appendix along with references

for organizational institutional past performance. As part of this review, USAID may contact some of the references. [Note: In addition to the references provided by the applicant, USAID may also contact other individuals knowledgeable about the proposed individual's performance, technical qualifications, and leadership abilities and may draw on information from other sources, including, but not limited to other government agencies, published media, and electronic data bases.]

C.4.3.5 Past Performance: Past performance is the degree to which the applicant completed related work successfully, satisfied its customers/sponsors under past agreements, and complied with relevant laws and regulations. The Application shall include description of past or current work undertaken by the Applicant and major sub-contractors or sub-grantees (responsible for 30 percent or more of the total budget) relevant to the proposed Program, with past performance references on those programs. For the Applicant and sub-awardees, as required, the past performance work descriptions and references shall include six (6) current programs or those recently completed, preferably completed within the past five years, but, if necessary, including programs completed during the past ten years. The applicant should use the past performance references to demonstrate capacity for creativity and leadership, to deliver high-impact results, and to effectively partner with other organizations (may include USAID), especially as relates to agricultural education and training system development.

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

Please use Annex H to assist with Past Performance Information.

C.5 COST APPLICATION FORMAT

The cost application is to be submitted under separate cover from the technical application and shall include specific cost information for this program and additional required information from the applicant. Certain documents are required to be submitted by an applicant in order for an Agreement Officer to make a determination of responsibility.

The cost application must cover the budget for all core funds. While the yearly funding levels are unknown, the five-year budget can use indicative levels and correspondingly should identify any illustrative activities. The application will be assessed for cost effectiveness, and applications that minimize management costs in order to maximize research, outreach, and capacity building activities will generally be considered a better value.

The cost application must include the following:

- a. SF-424A, Budget Information – Non Construction Programs. The applicant must complete the SF-424A in its entirety for the Leader award budget only. (See Section II.A for the Government Estimate of funding available for the Leader Award.) The Associate Award budgets should not be proposed at this time; the Government estimate for the Associate awards is provided so that the recipients understand the magnitude of the program. This form will be posted with the RFA at www.grants.gov.

- b. **Cost Spreadsheets.** Cost spreadsheets must be prepared in Excel and detail the breakdown of each line item captured in the SF-424A. The Excel spreadsheets must be submitted electronically and be text accessible. Spreadsheets must include the following detail:
- i. Separate costs for the applicant, each proposed assistance subrecipient, and each proposed procurement contractor involved in the program;
 - ii. The name, annual salary, fringe benefits, and expected level of effort for each person to be directly charged to the program, including regular personnel and consultants;
 - iii. A breakdown of the financial and in-kind cost share contributions, converted to dollar value, of all organizations involved in implementing the Cooperative Agreement. Indicate clearly if the cost share will be in-kind or cash in the budget and budget narrative;
 - iv. Allowances by type and by person;
 - v. Travel and per diem costs must be detailed according to the number of trips, destination, number of per diem days, and applicable per diem rate;
 - vi. Each type of “other direct costs” must be listed as a separate line item (including but not limited to passports, visas, equipment, and facility costs) indicating quantity and per unit cost.
- c. **Budget Narrative.** Narrative cost notes must be provided containing detailed explanation regarding each cost proposed. The budget narrative must be written in third person. Detail must be adequate for USAID to evaluate the necessity, reasonableness, allocability, and allowability in accordance with applicable cost principles of each cost element. The budget narrative must include the following detail:
- i. If not included in an indirect cost rate agreement with the U.S. Government, specify the applicable fringe benefit rates for each category of employee, and all benefits covered by the rate;
 - ii. Explanation regarding the proposed cost share: The applicant should determine and propose the appropriate cost share and the sources for meeting this cost share within the overall program. The cost share must consist of non-federally funded contributions (in cash or in-kind) that meet all the criteria detailed in 22 CFR 226.23, and must be discussed in detail within the budget narrative. The recipient is responsible for meeting the proposed cost share commitment regardless of intended sources. The applicant should determine the appropriate cost share and the sources for meeting this cost share within the overall program. Cost share, once accepted, becomes a condition of payment of the federal share;
 - iii. An explanation of the basis for budgeted allowances. All allowances must be in accordance with the U.S. Department of State’s policies on Allowances and Differentials and consistent with the applicant’s written personnel and compensation policies;
 - iv. Travel, per diem, and other transportation expenses must be fully described including departure and destination locations, the reason for the proposed trip, the source(s) of airline quotations, the number of per diem days, and the source and rate of the per diem rate used; and
 - v. The basis for proposed other direct costs, including the source of any estimate. If equipment is proposed, an equipment list must be provided detailing the budgeted cost of each item and the source of the estimate.
- d. **Supporting Documentation.** An annex to the budget narrative must contain the following supporting documents and information.

- i. A current Negotiated Indirect Cost Rate Agreement (NICRA) with USAID, an Indirect Rate Agreement with another federal agency, or financial statements as described below for the Management Office and proposed partner organizations must be submitted.
- ii. Applicants that do **not** currently have a Negotiated Indirect Cost Rate Agreement (NICRA) from their cognizant agency shall also submit the following information:
 1. Copies of the applicant's financial reports for the previous 3-year period, which have been audited by a certified public accountant or other auditor satisfactory to USAID;
 2. Projected budget, cash flow and organizational chart; and
 3. Copies of applicable policies and procedures, including those related to accounting, purchasing, property management, and personnel.
- iii. Applicants must submit any additional evidence of responsibility so that the Agreement Officer may make a determination of responsibility. The information submitted must be provided in third-person and substantiate that the Applicant:
 1. Has adequate financial resources or the ability to obtain such resources as required during the performance of the award;
 2. Has the ability to comply with the award conditions, taking into account all existing and currently prospective commitments of the applicant - nongovernmental and governmental;
 3. Has a satisfactory record of performance. Past relevant unsatisfactory performance is ordinarily sufficient to justify a finding of non-responsibility, unless there is clear evidence of subsequent satisfactory performance;
 4. Has a satisfactory record of integrity and business ethics; and
 5. Is otherwise qualified and eligible to receive a grant under applicable laws and regulations (e.g., EEO).
- iv. Applicants that have never received a grant, cooperative agreement, or contract from the US Government are required to submit a copy of their accounting manual and personnel and policy manual. If a copy has already been submitted to the US Government, the applicant must advise which Federal Office has a copy, and provide a point of contact with contact information (i.e., phone number).

C.6 CERTIFICATIONS, ASSURANCES, AND OTHER STATEMENTS OF THE RECIPIENT

The following certifications are required:

- a) Assurances-Non Construction Programs. Applicants must complete the SF-424B, Assurances – Non Construction Programs, as indicated on the form. This form will be posted with the RFA at www.grants.gov.
- b) The required certifications and assurances, as established at ADS 303.3.8, which can be found in Annex I of this RFA:
 1. Assurance of Compliance with Laws and Regulations Governing Nondiscrimination in Federally Assisted Programs;

2. Restrictions of Lobbying (See 22 CFR 227);
3. Prohibition on Assistance to Drug Traffickers (See ADS 206).
4. Certification Regarding Terrorist Financing in accordance with AAPD 04-14. (Please note that this certification requires the applicant to ensure that recipients of subcontracts and grants are not listed as Specially Designated Nationals and Blocked Persons by the U.S. Treasury's Office of Foreign Assets Control.);
5. Key Individual & Participant Certification Narcotics Offenses and Drug Trafficking (see ADS 206)
6. Survey on Ensuring Equal Opportunity for Applicants; and
7. Other Statements of the Recipient

D. THE DEADLINE FOR SUBMISSION OF APPLICATION

Applications must be submitted via www.grants.gov following the instructions on the website and be received by the closing date and time indicated at the top of the RFA cover letter. In the event of technical difficulties preventing submission through www.grants.gov, the application may be submitted via e-mail to Anne Sattgast (asattgast@usaid.gov). The date and time the e-mailed submission is received by the USAID contact person indicated below will be used as a measure of timeliness.

In addition, the original, two hard copies, and one CD-ROM version must be submitted. The CD-ROM version must contain the files that were prepared in Word and Excel in a text accessible format (MS Office 2003 compatible) and all signed pages must be submitted as a pdf file. The original must include original signatures. The technical and cost applications shall be submitted in a single volume three ring binder with a divider separating the two. Hard copies must be submitted in a package with the name and address of the applicant and RFA number inscribed, to:

Via US Postal Service/UPS/ FedEx:

US Agency for International Development
 SA-44 Room 567-D
 1300 Pennsylvania Avenue N.W.
 Washington, DC 20523
 Attention: Anne Sattgast

Hand-carried:

US Agency for International Development
 301 4th Street, SW
 Washington, DC 20547
 From lobby call ext. 75094
 Attention: Anne Sattgast

Applicants should retain for their records one copy of the application and all enclosures which accompany their application. Erasures or other changes must be initialed by the person signing the application. If there is a conflict between the hard copy of the application and the electronic version of the application, the hard copy version will be used as the official application. Applications which are incomplete may not be considered in the review process.

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

E. FUNDING RESTRICTIONS

- a) Funding for the Modernizing Extension and Advisory Services Program may be affected by future budget levels. Any and all funding is subject to the availability of funds to USAID.
- b) Authority to Obligate the Government. The Agreement Officer is the only individual who may legally bind the Government for the expenditure of public funds. No costs chargeable to the proposed Cooperative Agreement may be incurred before receipt of either a fully executed Cooperative Agreement or a specific, written authorization from the Agreement Officer.
- c) The Applicant is reminded that US Executive Orders and US law prohibits transactions with, and the provision of resources and support to, individuals and organizations associated with terrorism. It is the legal responsibility of the Applicant/Recipient to ensure compliance with these Executive Orders and laws. This provision must be included in all subcontracts/subawards issued under this contract/agreement.
- d) Foreign Government Delegations to International Conferences - Funds in this agreement may not be used to finance the travel, per diem, hotel expenses, meals, conference fees or other conference costs for any member of a foreign government's delegation to an international conference sponsored by a public international organization, except as provided in ADS Mandatory Reference "Guidance on Funding Foreign Government Delegations to International Conferences or as approved by the AO <http://www.usaid.gov/policy/ads/300/350maa.pdf>.

F. OTHER IMPORTANT INFORMATION

- a) Acknowledgement of Amendments to the RFA. By submitting an application in response to this RFA, applicants acknowledge receipt of any amendments to the RFA.
- b) Preparation of Applications:
 - 1. Applicants are expected to review, understand, and comply with all aspects of this RFA. Failure to do so will be at the applicant's risk.
 - 2. Each applicant shall furnish the information required by this RFA. The applicant shall sign the application and print or type its name on the Cover Page of the technical and cost applications. Erasures or other changes must be initialed by the person signing the application. Applications signed by an agent shall be accompanied by evidence of that agent's authority, unless that evidence has been previously furnished to the issuing office.
 - 3. Applicants who include data that they do not want disclosed to the public for any purpose or used by the US Government except for evaluation purposes, should:
 - (a) Mark the title page with the following legend:

"This application includes data that shall not be disclosed outside the US Government and shall not be duplicated, used, or disclosed - in whole or in part - for any purpose other than to evaluate this application. If, however, a cooperative agreement is awarded to this applicant as a result of, or in connection with, the submission of this data, the US Government shall have the right to duplicate, use, or disclose the data to the extent provided in the resulting cooperative agreement. This restriction does not limit the US Government's right to use information contained in this data if it is obtained from another source without restriction. The data subject to this restriction are contained in sheets marked: "; and
 - (b) Mark each sheet of data it wishes to restrict with the following legend:

"Use or disclosure of data contained on this sheet is subject to the restriction on the title page of this application."

- c) Explanation to Prospective Applicants. Any prospective applicant desiring an explanation or interpretation of this RFA must request it in writing by the date listed on the cover letter to allow a reply to reach all prospective applicants before the submission of their applications. Oral explanations or instructions given before award of a Cooperative Agreement will not be binding. Any information given to a prospective applicant concerning this RFA will be furnished promptly to all other prospective applicants as an amendment of this RFA, if that information is necessary in submitting applications or if the lack of it would be prejudicial to any other prospective applicants.
- d) Branding and Marking Requirements. Per ADS 320. In an effort to more accurately credit the American people for the foreign assistance they finance, USAID has engaged in a branding campaign. Effective January 2, 2006, all USAID-sponsored assistance awards are required to adhere to branding policies and revised marking requirements for grants and cooperative agreements in accordance with AAPD 05-11. This includes visibly displaying the USAID Standard Graphic Identity that clearly communicates assistance is, "From the American people" on all programs, projects, activities, publications, public communications, and commodities provided or supported through USAID assistance awards. AAPD 05-11 requires that, after the evaluation of the applications, the USAID Agreement Officer will request the Apparently Successful Applicant to submit a Branding Strategy that describes how the program, project, or activity is named and positioned, how it is promoted and communicated to beneficiaries and cooperating country citizens, and identifies all donors and explains how they will be acknowledged. USAID will not competitively evaluate the proposed Branding Strategy.

<http://www.usaid.gov/policy/ads/300/320.pdf>

http://www.usaid.gov/business/business_opportunities/cib/pdf/aapd05_11.pdf

- e) LWA Assistance Mechanism. This RFA is issued for a Leader with Associates Cooperative Agreement. The Leader Award will be issued to the successful applicant and will provide for the management of a worldwide program to carry out specific rural extension and advisory services systems development activities. USAID Missions, or other USAID operational units, may fund additional work through Associate Awards. These Associate Awards will each have their own activity description, but must fall within the overall scope of the Leader program description (as outlined in the Leader Award agreement), and will otherwise be considered to be covered by the terms and conditions of the Leader Award. The successful applicant will be the recipient of all funds for this Agreement, including for any Associate Awards. Responsibility for the core program under the Leader Award and any Associate Awards remains with the management office even though it may make sub-awards for implementation.

After the Leader Cooperative Agreement is awarded, a copy of the award will be sent to all Missions along with any necessary guidance or instructions regarding issuance of Associate Awards.

1. Issuance of Associate Awards. Prior to issuance of an Associate Award, the requesting office in the Mission (or USAID/W) shall consult with the Agreement Officer's technical Representative (AOTR) in EGAT. After receiving EGAT AOTR concurrence, the appropriate Mission personnel shall request the Recipient to provide an Application for Associate Award (specific Program Description and budget) to the Mission. The Application shall be reviewed by the appropriate technical personnel, and the Cognizant Agreement Officer shall be

responsible for cost review and negotiation of the Associate Award. The Mission has the discretion to decide whether or not to award the Associate Award. The cognizant Mission Agreement Officer and Mission AOTR are responsible for the administration of the Associate Award.

2. Grant vs. Cooperative Agreement. Regardless of whether the Leader instrument is a grant or cooperative agreement, Missions may issue an associate instrument as either a grant or cooperative agreement.
 3. Competition. Once a recipient is selected pursuant to this LWA RFA, no further competition or waiver of competition is required for any Associate grants awarded within the terms of the RFA. The competition under this RFA covers the initial Leader award, which will provide leadership for regional and/or worldwide activities and for subsequent Associate Awards providing support to missions and offices. In this manner, Missions and USAID/Washington bureaus may fund specific activities of the recipient that fit within the RFA/Leader program description through Associate Awards without further competition.
 4. Period of Performance. The Leader award will be issued for a period of five years. Associate awards may be issued until the Leader award expires and can be for a period of performance up to five years past the expiration date of the Leader award.
 5. Certifications. The required certifications, including validation of the umbrella organization as a single entity with a single accounting system, shall be obtained from the applicant prior to award of the Leader cooperative agreement. Prior to award of an associate grant, the recipient must affirm that those certifications remain valid, or provide new certifications.
 6. Reporting Requirements. Reporting on both financial and performance for Associate Awards will be submitted directly to the Mission or Office that issues the Associate Award. The reporting frequency (i.e. semi annually or annually), content, and format will be established in the Associate Award schedule. Copies of this reporting must be provided to the BRS AOTR for the Leader Award for the MAETS Program.
 7. For more information on Leader with Associates Awards, applicants are referred to CIB 99-10 http://www.usaid.gov/business/business_opportunities/cib/pdf/cib9910.pdf.
- f) Geographic Codes. In accordance with the limitations on USAID's ability to procure goods and services outside of the United States (see the Foreign Assistance Act of 1961 and 22 CFR 228), source of goods and nationality of suppliers of goods and services under the project will be from the United States, Geographic Code 937. Some local procurement is also allowed.

Code 937 - the United States, the recipient country, and developing countries other than advanced developing countries, but excluding any country that is a prohibited source. See ADS 310 for additional information.

- J. Initial Environmental Examination (IEE). The MATS Program will involve largely technical assistance and training relating to modernizing extension and advisory services. For such activities a Categorical Exclusion is appropriate. The Leader Award core program will also involve some pilot projects in extension and advisory service delivery. Again, for such field activities a Categorical Exclusion would be appropriate, except for those activities with potential environmental impacts. These would include changes in land use, use of pesticides, or use of genetically modified organisms. It has therefore been determined that a negative environmental threshold determination with conditions is appropriate to the Leader Award. These conditions relate to the use of pesticides, GMOs, and changes in land use.

Most activities would qualify for Categorical Exclusions, per 22 CFR 216.2(c). However a negative threshold determination with conditions provides for review of all subsequent Associate Awards and for activities that may involve the procurement or use, or recommendation for the procurement or use, or research on pesticides or genetically modified organisms. The conditions recommended are:

- No pesticides may be procured or used, or recommended for procurement or use without first completing an amendment to this Initial Environmental Examination that addresses the requirements of 22 CFR 216.3(b) including a Pesticide Evaluation Report/Safe Use Action Plan which must be approved in writing by the EGAT Bureau Environmental Officer. This includes pesticides used in research that may eventually be recommended for use.
- No Genetically Modified Organisms (GMOs) are procured, used or created, or recommended for procurement or use without first completing the required USAID biosafety review and using the resulting information as part of the basis for undertaking an amendment to this IEE which must be approved in writing by the EGAT Bureau Environmental Officer. This includes research on GMOs or building partner country capacity to research GMOs.
- Any subsequent Associates Awards shall be required to complete a separate Initial Environmental Examination and be approved in writing jointly by the funding Bureau's Bureau Environmental Officer and the EGAT Bureau Environmental Officer prior to being approved as an Associate Award. The Recipient may use funds from the Program prior to such approval only to pay for the cost of undertaking such IEE amendments. Separate IEEs shall be required for any subsequent Associate Awards that involve implementation of extension and advisory services programs. Those IEEs will be prepared by the USAID operating unit that issues the Associate Award.

SECTION V – APPLICATION REVIEW INFORMATION

A. EVALUATION CRITERIA

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

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

A.1 TECHNICAL EVALUATION CRITERIA

The Technical Evaluation Committee will evaluate the applications' relative strengths and weaknesses against the evaluation criteria listed below.

A.1.1 Program Strategy (25 points): Evidence of an innovative, coherent, and comprehensive strategy for the applicant's program, reflecting an understanding of the constraints to and potential development impacts to be derived from modernization of agricultural education and training systems.

A.1.2 Program Work Plan (25 points): Evidence of the applicant's ability to plan for implementation of a program of activities to promote development of efficient, effective and sustainable agricultural education and training systems based on recognized good practice, as reflected in a draft life-of-programs work plan that includes a clear, practical and comprehensive Program Performance Monitoring Plan.

A.1.3 Institutional Capabilities (25 points): Evidence of the applicant's ability to establish a sound management system that draws on appropriate and diverse institutional capacity (including relationships with any key partners/sub-contractors, arrangements for accessing sources of expertise from global AET specialists, and/or procedures for ensuring local inputs to responding to Requests for Application for Associate Awards) to implement diverse activities across countries, geographic regions and thematic areas to define, promote and establish sound agricultural education and training systems utilizing resources of public, private and civil society.

A.1.4 Staffing and Key Personnel (20 points): Evidence of the applicant's ability to provide: a) key personnel with appropriate experience and leadership ability and support staff to manage and organize program resources, and provide quality control for proposed program work and b) additional specialists with qualifications and expertise to support Project activities, including arrangements for involvement of volunteers and/or other cost-effective strategies for providing technical assistance and professional exchange. [Note: As part of this review, USAID may contact some or all of the references provided by the applicant to assess the proposed individuals' past performance. In addition to the references provided by the applicant, USAID may also contact other past or current customers, partners or others knowledgeable about the individual's qualifications and past performance on specific programs or activities.]

A.1.5 Past Performance (total of 5 points): Evidence of ability to comply with terms and conditions of contract or grant awards to effectively and efficiently achieve development objectives and results through innovative planning and implementation and sound business practices and relations. Applicants will be evaluated based on past performance references on relevant current programs or those completed during the past ten years, especially as relate to development and implementation of agricultural education and training system activities. Any past performance references older than ten years will not be evaluated. As part of this review, USAID may contact some of the applicant's past or current customers and partners to assess the applicant's performance. [Note: In addition to the references provided by the applicant, USAID may also contact other individuals knowledgeable about the applicant's performance on specific programs and other sources of information, including, but not limited to other government agencies, better business bureaus, published media, and electronic data bases.]

A2. COST APPLICATION

Cost Applications will not be scored, however, the results from its analysis have scoring implications. The overall costs and pricing are expected to be fair, reasonable, allowable, allocable and cost effective, and shall be subject to a cost realism analysis. Cost share, and other leveraged resources that the Applicant and any partners propose to engage in the implementation of the Leader Award, will also be evaluated as a measure of cost effectiveness. Cost share determination must be clearly marked as in-kind or cash contribution.

Furthermore, the applicant's budget will be evaluated based on the reasonableness and accuracy of proposed costs and its realism with respect to the activities proposed in the technical application. Budgets providing more direct funding towards the program instead of administrative costs may be deemed better value given that the technical proposal provides for a feasible implementation.

SECTION VI – AWARD AND ADMINISTRATION INFORMATION

A. POST-SELECTION INFORMATION

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

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

B. STANDARD PROVISIONS AND DEVIATIONS

There are no standard provision deviations contemplated under this award.

C. GENERAL INFORMATION ON REPORTING REQUIREMENTS

C.1. FINANCIAL REPORTING

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

The recipient shall list each country included in the program and the total amount expended for each country under the award for the reporting period in the "Remarks" block on the "Federal Financial Report" SF 425.

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

(3) Reporting on Foreign Taxes shall be in accordance with the corresponding provision on "Reporting of Foreign Taxes (March 2006).

C.2. MONITORING AND REPORTING PROGRAM PERFORMANCE

1. As reporting requirements for the Leader Cooperative Agreement, the Recipient shall submit an original and two (2) copies of all performance reports to the AOTR in USAID/Washington. The performance reports are required to be submitted annually and shall present the information contained in 22 CFR 226.51(d).
2. Performance reports shall include: a) Semi-Annual Reports to be submitted in April of each year covering the period October through March; b) Annual Reports to be submitted in October of each year covering the period October through September; and Special Reports, as identified in Annual Work Plans on such topics as pilot extension programs, special topic studies, and others.

3. The Semi-Annual Reports shall be concise (typically 1 to 5 page) reports of deviations of accomplishments from Annual Work Plan projections, significant problems encountered, and other issues requiring USAID attention.
4. The Annual Reports and Annual Work Plans shall be submitted in a format and on a time schedule agreed to between the AOTR and Recipient.
5. Annual Reports should include progress made toward benchmarks and result indicators of development impact, as discussed in the program description of this RFA and detailed in the Recipient's PMP. Reports shall also incorporate standard Agency Performance Reporting requirements and Special Reporting, as for global hunger and food security initiatives and global climate change initiatives. In addition, qualitative descriptions of success stories and achievements to illustrate impacts of the MEAS Program should be included when possible.
6. The Annual Reports for the Leader Award should include summary information on any Associate Awards that may be made.
7. Associate Award Agreements shall require the Recipient to provide copies of all Associate Award Annual Reports to the AOTR for the Leader Award.

C.3. FINAL REPORT

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

C.4. SUBMISSION OF REPORTS

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

E-mail (the preferred means of submission):
docsubmit@usaid.gov

US Postal Service:
USAID Development Experience Clearinghouse
M/CIO/KM
RRB M.01
U.S. Agency for International Development
Washington DC 20523

Please reference web site <http://dec.usaid.gov/> or call (202) 712-0579 concerning any questions your organization may have on the reporting requirements.

D. EVALUATION

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

SECTION VII – AGENCY CONTACTS

The point of contact for this RFA and any question during the RFA process is:

Anne Sattgast
U.S. Agency for International Development
SA-44 Room 567-D
1300 Pennsylvania Avenue, NW
Washington, DC 20523
asattgast@usaid.gov

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

SECTION VIII – OTHER INFORMATION

A. USAID’S RESERVE RIGHT

USAID reserves the right to fund any or none of the applications submitted. Awards are subject to the availability of funds.

ANNEXES

ANNEX A. ACRONYMS AND DEFINITIONS

The following acronyms are particular to this Request for Application:

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

BFS – Bureau for Food Security

CAADP – Comprehensive African Agricultural Development Program

CIB – Contract Information Bulletin

EGAT – Bureau for Economic Growth, Agriculture and Trade

IEHA – Initiative to End Hunger in Africa

LWA – Leader with Associates, an USAID assistance mechanism that may be either a grant or cooperative agreement. The Leader Award establishes the agreement relationship under which associates may be awarded without further competition

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

MSI – Minority Serving Institutions

NARS – National Agricultural Research Systems

RFA – Request for Application

USAID – United States Agency for International Development

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

ANNEX B. LOGFRAME

Project Summary	Indicators of Achievement	Means of Verification	Important Risks and Assumptions
Goal: to build the human and institutional capital base necessary for developing countries to promote a dynamic agriculture and rural development	Achievement of MDG targets for food security, poverty reduction and environmental conservation.	Global data and statistics	Sustained investment in agriculture and food security. No major weather or political disruptions on a global scale.
Objective: efficient, effective and financially sustainable agricultural education and training institutions and systems established.	12 AET reform and investment plans implemented \$200 million AETS program investment by donors and countries impact improved 30 AET institutions strengthened	Project records and reports. Independent evaluation. Participating institution reports.	AET institutions and developing country governments commit to reform and modernization of AET programs and institutions.
Outputs:			
a) Analysis and documentation of good practice in AET programs and institutions.	12 case studies, good practice notes, evaluations and other analyses completed One pilot project implemented 3 AET strategies/approaches developed 40 Institutional linkages established	Project records and reports	
b) Technical support and design for AET systems and institutions	5 technical notes & good practice papers disseminated 4 AET training course and seminars developed 18 AET reform and investment plans designed 80 consultancies/exchanges for curricula development, linkages, & other AET support completed	Project records and reports	
c) Participant training	400 policy makers and development practitioners trained	Project records and reports	
Inputs:	Program of AETS Modernization	Project records and reports	

ANNEX C. POTENTIAL AET TOPICS, ISSUES, AND COUNTRIES

There is a wide range of topics and issues that may need to be addressed by the MAETS project. Major demand for AET system support may derive from: a global hunger and food security initiative (See: <http://www.state.gov/s/globalfoodsecurity/129952.htm>); global climate change initiatives (See: http://www.usaid.gov/our_work/environment/climate/); and the need from many developing countries to strengthen institutional capacity in the agricultural sector.

The Project will address requests for assistance and services in support of AET programs and activities in diverse fields and for varied program objectives. Specific topics, issues and activities to be undertaken will be identified and agreed upon in Annual Work Plans. These may include issues selected from the following list:

- Targeting different levels of agricultural education and training, such as:
 - Secondary
 - Post-secondary certificate or diploma
 - Vocational/technical
 - University (BS/BA)
 - Advanced degree (Masters/PhD)
- Providing services through different types of AET institution, such as:
 - Public
 - Private
 - Regional
 - Distance learning
- Building capacity to provide agricultural education and training in specific disciplines, such as:
 - Agribusiness and marketing
 - Agricultural economics
 - Rural sociology
 - Nutrition
 - Aquaculture
 - Biotechnology
 - Horticulture
 - Environmental conservation and natural resources management
 - Extension education
 - Cooperative and producer group organization and management
 - Or others
- Achieving gender equity in agriculture
 - Promoting gender balance and equity in agricultural education and training programs
 - Promoting gender balance and equity in faculty and staffing of agricultural education and training programs
 - Increasing gender issues content in agricultural education curricula
 - Integrating gender equity and analysis in outreach and research activities
- AET program or institution administration and management, such as
 - Faculty recruitment and incentives systems
 - Student evaluation
 - Program monitoring and evaluation
 - Funding strategies, cost recovery and income generation
 - Communications and records
 - Budgeting, accounting and financial management
 - Or other

- Curricula development for agricultural education and training programs, such as:
 - Disciplines listed above
 - Masters and/or PhD programs
 - Vocational/technical training centers
 - Secondary school programs
 - Extension agent training
 - Or others
- Faculty development for agricultural education and training programs, such as:
 - Technical training in disciplines listed above
 - Pedagogical training
 - Masters and/or PhD programs
 - Vocational/technical training centers
 - Or others
- AET institutional outreach program development, such as:
 - Extension programs
 - Community services programs
 - Consultancy programs
 - Fairs or community visits to the institution
 - Or other programs or initiatives
- Infrastructure development for AET programs and institutions, such as:
 - Laboratory specifications
 - Library facilities
 - Demonstration and research farms
 - Classrooms, dormitories and other campus infrastructure
- AET student services program development, such as:
 - Scholarship programs
 - Outplacement services
 - Internships
 - Internet and computer support services
- And other topics identified by the Project in consultation with USAID and other AET practitioners.

The Project implementer will propose a preliminary list of priority topics for such action research and definition of good practice activities over the life of the Project. Specific topics for work on good practice and documentation of experience and results will be determined by the Project in consultation with USAID and in response to demand from USAID Missions and Offices, AET stakeholders and specialists, and developing countries.

Opportunities for design and implementation of modernized approaches to AET system development will be identified by the Project in consultation with USAID and in response to demand for assistance. The Project should propose arrangements for responding to demands for assistance with design and establishment of modern AET institutions and for planning and implementing participant training programs over the life of the Project.

ANNEX D. ADDITIONAL DESIGN CONSIDERATIONS

Following is additional guidance to potential applicants on issues relating to the project approach, policy issues, and references.

I. PROJECT DESIGN AND IMPLEMENTATION APPROACH ISSUES

The Project approach must address the following issues. Applicants must consider these in the proposed Project implementation strategies.

A. Consistency with USAID Forward Reform Agenda

The Project will build capacity of local country institutions to carry out development activities, enhance effectiveness of USAID and development partner support to agricultural education and training, and facilitate establishment of productive long term collaboration between and US and developing country agricultural education and training institutions. The Project will involve multiple implementing organizations and will build in-country capacities needed for local institutions to compete for and implement donor-funded development activities. The LWA will encourage an approach that facilitates collaboration in defining good practice and wide dissemination of lessons learned, including appropriate participation of developing country institutions with opportunity for sub-contracts and sub-grants to local institutions. Project relevance to key elements of the USAID Forward Reform Agenda launched in late 2010 is summarized below:

1. **Implementation and Procurement Reform:** The Project focuses specifically on building country AET institutional capacity. This will allow AET institutions to undertake direct contracts and grants and to provide the skilled scientists and human resources within countries to staff all sector institutions. It may help to develop general capacity or may develop specific capacities and systems needed for local institutions to work with USAID directly. It will also involve local institutions as sub-awardees in implementation of projects.
2. **Talent Management:** By providing quality specialized technical support and reducing time required for procurement, the Project will enable USAID staff – many newly hired agricultural specialists – to focus on technical and institutional development issues. The technical support in an area in which Agency capacity is very weak will help USAID staff and other partners develop the expertise needed to work effectively in this field. It will position USAID to take a leadership role worldwide in AET issues.
3. **Rebuilding Policy Capacity:** The Project is premised on establishing a culture and community of practice for research, learning, evaluation and knowledge-sharing relating to AET program development.
4. **Strengthening Monitoring and Evaluation:** The Project will provide a mechanism for technically sound evaluations of AET programs and projects. It will develop tool kits and approaches for evaluating AET program and institutional efficiency, effectiveness and sustainability.
5. **Rebuilding Budget Management:** The Project does not relate to this Agenda element.
6. **Science and Technology:** The Project provides a tool for strengthening capacity for agricultural science and technical training in developing countries. Such technical training is essential to providing developing country research, extension, regulatory, and agribusiness programs with qualified technical staff US and other third country training may be important, but most training will have to be done in country (or in region) and many universities and other AET institutions must retool to teach newly emergent technologies.
7. **Innovation:** The Project provides an innovative way to utilize the expertise of US universities and their partners, applying these resources to demand-driven activities to address needs in

developing countries. It promotes partnerships and sharing of expertise in a focused community of practice.

B. Appropriate Systems Approach

Past agricultural investments have focused on individual institutions (usually in the public sector), such as agricultural universities. As understanding of the development and innovation process improved, the focus of investments shifted to agricultural knowledge and information systems, including education, research and extension services. These public functions are effectively integrated under a single university structure under the U.S. Land Grant concept. Past USAID agricultural programs expended much effort trying to replicate this U.S. Land Grant model in developing countries. While the model worked in a few countries, it often failed to fit the local institutional context defined by different path dependent development trajectories and different government structures. The MAETS program must approach the development of education-research-extension linkages using varied organizational models. The challenge is to craft systems that enable core institutions to communicate and cooperate even though they may report to different ministries.

It is now widely accepted that agricultural sector innovation is based in a comprehensive and complex agricultural innovation system (AIS) (Fig. 1). This is consistent with experience from the Green Revolution, which required investments not only in agricultural research, but also in extension, irrigation, input supply, seed companies, rural credit, and markets. AET underpins all of the elements of an AIS, providing the pre-service and continuing education required for efficient and effective institutions. The MAETS Project will need to promote development of this broader AIS system.

C. Collaboration and Partnerships

With renewed concern over world food supplies and environmental sustainability, countries and development agencies are re-engaging in AET. The MAETS Project will seek to collaborate with, draw on the experience of, and support work of such partner programs and institutions. These will include *inter alia*:

- African networks of AET institutions, including RUFORUM and ANAFE and any joint continental network to be formed;
- APLU activities to strengthen training for agricultural researchers;
- The Higher Education for Development (HED) program for university linkages;
- AET projects financed by USAID Missions; and
- Africa Leadership Training and Capacity Building (Africa LEAD), Africa Women in Agricultural Research and Development (AWARD), and the Borlaug Leadership Enhancement in Agriculture Program (LEAP).

The Recipient shall work with the USAID AOR in the Bureau for Food Security (BFS) to ensure wide awareness of the MAETS project capabilities, activities, and outputs throughout USAID and more widely with development partners, NGOs, universities, consulting firms, World Bank, and other donors. The Recipient shall consider input from USAID and other stakeholders in MAETS planning, priority setting, and work plans to ensure that experience and outputs from the project are shared widely. The Recipient shall, in consultation with the USAID AOR, establish a Project Advisory Committee (PAC), including: USAID staff from regional bureaus, BFS mission support offices, and EGAT/Education; implementing partners, such as NGOs, universities, and consulting firms; and World Bank and other donors. The PAC will: provide inputs into planning and priority setting, promote coordination with other projects and initiatives, and help to disseminate outputs and good

practice recommendations from the MAETS Project.

The Recipient shall develop a community of practice in the field of AET system development, reaching out to other projects and practitioners to share experience, coordinate activities and develop good practice recommendations. This may rely on social media tools, workshops, and networks of AET system development practitioners. This will include other USAID Mission AET projects, such as those in Liberia, Senegal, Egypt, and Tanzania. The MAETS Project shall provide a forum for exchange of experience and findings from other projects and initiatives— disseminating publications, synthesizing and analyzing good practice in training materials and technical notes, and collaborating in analytical work on program impacts and experiences. Several key linkages with other related initiatives are summarized below:

Program	Objective	Relationship with MAETS
Various USAID Mission-funded AET projects (Egypt, Liberia, Senegal, Southern Sudan, Tanzania, etc.)	To develop country AET institutions and programs	<ul style="list-style-type: none"> • Draw on and promote sharing of experience with other programs • Provide tools, analytical work, good practice information, and access to practitioners. • Collaborate in evaluations, special studies, and training.
USAID/USDA Trilateral Partnership for Food Security	To link Indian and US universities in collaborative relationships to develop capacity in African universities in 3 countries	<ul style="list-style-type: none"> • Seek opportunities to strengthen Indian universities ability to support such international work • Draw on and promote sharing of experience with other programs • Provide tools, analytical work, good practice information, and access to practitioners. • Collaborate in evaluations, special studies, and training.
Africa Bureau Grant for APLU Knowledge Center	<ol style="list-style-type: none"> 1. Assess opportunities and challenges for higher education in Africa 2. Develop best practices and lessons learned on higher education capacity building partnerships. 3. Develop metrics to measure for institutional capacity building efforts 4. Engage with CAADP, FARA, RUFORUM, ANAFE and other African organizations on policies related to AET 	<ul style="list-style-type: none"> • Draw on and promote sharing of experience with other countries, drawing on experience and institutions in other geographic regions • Provide tools, analytical work, good practice information, and access to practitioners. • Collaborate in evaluations, special studies, and training. • Continue work over longer period
CGIAR Grant to APLU for US University Partnership for Human and Institutional R&D Capacity Building	Review experience with different approaches to participant training for agricultural researchers and building research institutional capacity.	<ul style="list-style-type: none"> • Draw on and promote sharing of experience with other programs • Provide tools, analytical work, good practice information, and access to practitioners. • Collaborate in evaluations, special studies, and training.

World Bank Trust Fund for Tertiary Agricultural Education in Africa (TEAM Africa)	<ul style="list-style-type: none"> • Strengthen regional commitment and understanding and sound planning for AET program development • Support development of World Bank lending for AET program development. 	<ul style="list-style-type: none"> • Draw on and promote sharing of experience with other programs • Provide tools, analytical work, good practice information, and access to practitioners. • Collaborate in evaluations, special studies, and training.
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[Note: There are significant complementarities and congruence between MAETS and other initiatives. However, the MAETS Project role will be distinct from the other initiatives in the following ways:

1. Most of the other initiatives under the Borlaug 21st Century Leadership Program (AWARD, LEAD, LEAP, and research fellowships) focus on training, rather than development of in-country AET system capacity.
2. The USAID-World Bank Collaboration in Support of Tertiary Agricultural Education in Africa and the Africa Bureau grant for APLU Knowledge Center focus only on Africa.
3. The USAID-World Bank Collaboration in Support of Tertiary Agricultural Education in Africa focuses on regional strategy and program development and support to World Bank investments.
4. Other programs have a more limited life span of generally less than two years and do not focus as on support to USAID.]

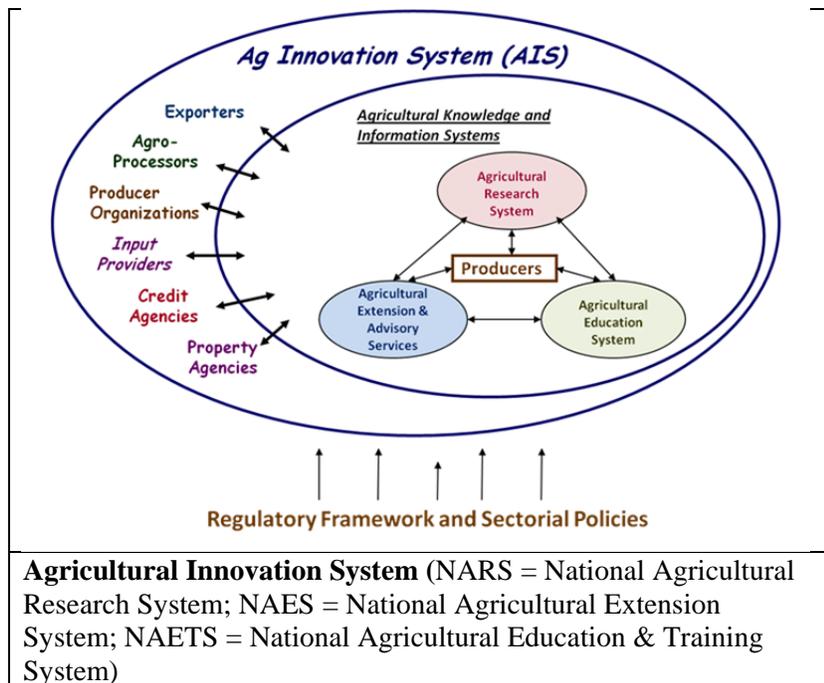
D. One-Stop Shop for AET Capacity Development

The MAETS Project should provide a one-stop shop for USAID staff, country AET institutions, and development partners working in the area of AET capacity development. The Recipient should map available resources from within the Project, from other institutions and USAID projects (including those listed above), and from other donors and institutions to make these easily available to practitioners. This inventory of resources should include fellowship programs and opportunities for training to support AET system strengthening and to support broader agricultural sector human and institutional capacity development. The Recipient should promote awareness of and facilitate access to these diverse AET and training opportunities through websites, technical assistance and advisory services, workshops and seminars, reports, and other communications media.

E. System-Wide Intervention

As the MAETS Project begins, the initial—and probably easiest—approach would be to focus on individual AET institutions. This overlooks the problem that, within a country, the entire agricultural higher-education system frequently requires reform. In such cases, the initial intervention could be to focus on public policy for agricultural education and training. Common areas of policy intervention include system differentiation (e.g., public/private, university/non-university); system access (e.g., admissions, student loans); quality assurance (e.g., teacher qualification, licensing, accreditation); system governance; and system efficiency (e.g., funding formulae, expenditure per graduate). Reforms in such cases benefit the entire educational system, but are notoriously difficult to effect and implement.

System-wide intervention can involve all agricultural universities or the broader complex of AET institutions. A systems approach can help identify and address national policy issues and avoids the problem of “resource capture” by one institution. Many investments that can be used at the individual institution level may be more effective and appropriate at the system level. These include competitive



funds, graduate scholarship programs, cluster partnerships, professional networks, sector-wide programs, mentored capacity building, fostering public-private partnerships, and the “triple helix” of government-university-industry collaboration (e.g., local-firm sponsorship of scholarships, business incubators, commercialization of research, producer services, and technology parks).

In practice, USAID Missions and host governments will often have interest in and funding available to focus only on a single AET institution for reform or strengthening. In such cases, MAETS Project support and

developmental activities would proceed, working with the individual institution, but developing systems and linkages within the perspective of the broader AET system.

F. Promoting Change

U.S. institutions can draw on their experience and that of other institutions around the world to help developing countries improve agricultural education and extension to benefit the rural poor. The goal should be not to transplant any specific institutional model into these countries, but to develop institutional models suited to the differing needs and environments of their societies. New models that can be used and adapted from include twinning agreements, joint research programs, postdoctoral scientist exchange programs, and distance learning. The problem of high costs might be addressed through innovative new training methods, such as “sandwich” degree programs.

Efforts to revitalize AET institutions should concentrate on updating curricula, transforming teaching practices, increasing responsiveness to employers and stakeholders, and creating more effective methods for promoting innovation on farms and in the private sector at all levels in the value chain. Universities must become incubators of new ideas and enterprises, building entrepreneurial skills and analytical skills that will allow students to succeed in business, civil-society organizations, and government. This new type of institution, especially the university level institutions, should aim to produce entrepreneurial graduates who are likely to generate jobs in their communities while adding to the growth of the economy. This will require changing the present system, which focuses on providing technical skills to people who fill jobs rather than create them.

G. US Capacity Development

Capacity development generally focuses on developing countries, but the MAETS Project should also build institutional capacity within the U.S. to respond to global agriculture and hunger issues.

Designating funding specifically to US capacity building is unnecessary, as project activities can be designed to sharpen and strengthen American participation in international institutions working in food, poverty, and agriculture. The Project should seek to involve junior professionals from the U.S. in development work, giving them international agricultural development experience that will serve them through their careers. Applicants should consider and are encouraged to propose cost-effective strategies and mechanisms for using volunteer technical assistance, travel and support grants, sabbatical leaves, and other means of encouraging US faculty, students, and professionals to engage in international activities that support capacity development in AET institutions and may lead to long term engagement of US agriculturalists in international development.

II. IMPLEMENTATION POLICY ISSUES FOR THE MAETS PROJECT

A number of key strategic and tactical issues will need to be addressed when developing and implementing the MAETS Project.

A. Aligning Mandates of AET Organizations with National Development Goals

Development of AET institutions as centers of excellence for agricultural science and rural development may inadvertently introduce an elitist attitude and an orientation towards global intellectual networks and institutions. Rather than replicating models of western-style universities and education systems or focusing on international program, AET organizations should formulate their visions and mandates more strategically and in relation to their country's development objectives, economies and societies. This will involve consultative processes that rely on inputs from local stakeholders, such as private agribusinesses, rural-producer associations, research organizations, agricultural education and training, NGOs and other sources of demand for AET graduates.

B. Geographic targeting

Countries to be assisted under the MAETS Project will be identified in consultation with USAID. This will require prioritizing work in different regions and countries. Sub-Saharan Africa and South Asia are home to the largest numbers of poor, hungry people in the world and will require priority funding. Still, many problems are global in nature and innovation may be developed in one region, but find wide impact through technology spill-overs. A global network of MAETS institutions could serve as a powerful tool in the war on hunger.

Farm productivity problems are local and must be solved with localized adaptations, investments, and innovations. Thus, all countries—even the small countries that are ill-equipped to bear required costs—need access to quality agricultural education and training to build required sector capacity. This will require that programs be locally designed to accommodate country-specific needs and opportunities. Regional centers of excellence can help to address this problem, but ultimately some level of AET capacity is needed in all countries.

Post-conflict states present a particular dilemma. Countries, such as Afghanistan, Liberia, Sudan, Zimbabwe, Chad, Iraq, and the Democratic Republic of the Congo, are in serious need of capacity development support and warrant priority attention in developing needed AET institutions. However, these countries may have the “greatest need”, but may also be the “least favorable” for mounting sustainable institutional reform programs.

C. Gender equity and targeting

The MAETS Project conforms to USAID policy requirements (ADS 201.3.9.3) that gender issues be considered during activity planning and implementation. Specific studies, technical assistance and training activities are not yet known, but gender is a key issue for agricultural education and

training programs and gender consideration will be incorporated into planning for all activities under the Project. The implementing organization will be required to provide systematic consideration of gender issues and impacts in implementation, to promote gender equity, and to report on performance and impact indicators disaggregated by gender.

The implementer will be required to carry out a gender assessment during year one to inform program implementation on necessary and desirable activities and strategies to enhance gender equity in education and training programs and to identify critical gender content for agricultural education and training curricula. In the event that the Project falls substantially behind targets for gender-based indicators, USAID will require that corrective action be taken in subsequent Annual Work Plans.

D. Project area targeting

The MAETS Project's mandate is quite broad, cutting across various USAID technical and administrative divisions. Program areas under the Economic Growth objective of the Foreign Assistance Framework that are eligible for MAETS funding include not only Agriculture, but also Environment (natural resources, biodiversity), Private Sector Competitiveness (technical/vocational training, value chains), Trade and Investment (trade liberalization, facilitation), Economic Opportunity (micro-finance, micro-enterprise), and Education. Nutrition, food policy, environmental sciences, rural development and other fields may require training and intellectual leadership from institutions apart from the traditional agricultural schools. As a result, selection of institutions for support will likely need to include some that focus on areas outside of production agriculture.

E. Linkage development

Developing linkages is critical to strengthening AET institutions and their functioning in agricultural innovation systems. A balance is needed between in-country linkages with stakeholders and clients and international linkages with universities and other knowledge institutions. Linkages to research programs and centers of excellence keep teachers at the forefront of knowledge development, but involvement with clients and stakeholders helps focus attention on the critical issues affecting the country's agriculture. Linkages between faculty and industry allow students to gain practical experience and use their skills in real-life situations. Linkages between AET institutions and local communities can nurture small and medium-sized private enterprises, involve students in field programs, and contribute significantly to poverty reduction and sustainable social and economic growth. Project implementation is likely to involve institutional linkages between AET institutions. Such linkages must take into account the lessons learned from evaluation of past linkage programs³

Still, international institutional linkages often receive much interest, as they are attractive to AET institution staff involved with program implementation and can be invaluable in strengthening capacity for research and training. They include sabbatical leaves for work at other institutions; training in new technologies, laboratory procedures, and research methodologies; degree training; and curricula development. Institutional partnerships between universities in the North and sister institutions in the South can benefit staff development through graduate training; development of better teaching capacities; research capacity building; and institutional strengthening (Saint

³ "Higher Education Partnerships in Sub-Saharan Africa—An Impact Assessment of 12 Higher Education Partnerships" (2009) by Jane S. Gore, et al. (Higher Education for Development-HED); and "Higher Education Partnerships in Mexico—An Impact Assessment Report of Eight Higher Education Partnerships U.S.-Mexico Training, Internships, Exchanges, and Scholarships (TIES)" by Jane S. Gore, et al. (Higher Education for Development-HED).

2009). Excessive attention to international linkages can however deflect attention from the country's local constituencies and their needs.

F. Participant training programs

In building the human capital base in agriculture most training will need to take place within host countries. This is the most cost-effective, sustainable, and relevant approach to training. There are however specific technical fields (e.g., biotechnologies) for which graduate scholarship programs in the US and other industrialized countries will be essential. There are also additional benefits from training in the U.S., as students gain an appreciation for U.S. institutions and culture that can be useful in their future careers. Still, costs are high for U.S. training and qualifying can be difficult. More importantly, U.S. agriculture and training may be less directly relevant now than in the past, and problems with non-returnees have taken a severe toll in many countries.

Eventually, long-term sustainability will require developing host-country-based graduate-training programs. In the meantime, in promoting quality through U.S. training, William Saint has suggested that future scholarship programs consider several modifications:

- Shorter-term generic public management/leadership training instead of longer-term graduate study in a specific discipline;
- Emphasizing human-resource development in the applied teaching skills of technical institutes and polytechnics instead of universities;
- 'Sabbatical' awards that enable senior education professionals to study new modes of educational provision such as community colleges, open and distance learning, and work/study models; and
- National scholarship programs that support graduate study in local or regional graduate programs.

The Project is not expected to fund degree training under the Leader Award, but may have opportunity to develop and test innovative ways of international training for developing country AET programs.

III. ADDITIONAL REFERENCES

The MAETS Project design draws on experience with recent field support for AET activities and on past analyses. These include:

- A. a World Bank Report "Cultivating knowledge and skills to grow African agriculture" (2007) <http://www.google.com/url?q=http://www.fao.org/sd/erp/documents2009/cultivatingknowledge.pdf&sa=U&ei=nfmRToryBcfm0QHUqvAg&ved=0CCEQFjAF&usg=AFQjCNFVGWw06GOoGwIBhndqGO6hBI26mw;>
- B. USAID Report "Generations of Quiet Progress—The Development Impact of U.S. Long-Term University Training on Africa from 1963 to 2003" (2004) [http://www.jbsinternational.com/pdf/port_reports_8-report.pdf;](http://www.jbsinternational.com/pdf/port_reports_8-report.pdf)
- C. A.I.D. Program Evaluation Report No. 20 "Beyond the Neoclassical University: Agricultural Higher Education in the Developing World-An Interpretive Essay" [http://pdf.usaid.gov/pdf_docs/PNAAX229.pdf;](http://pdf.usaid.gov/pdf_docs/PNAAX229.pdf)
- D. "Agricultural Long-Term Training—Assessment and Design Recommendations: Final Report (2010) by Andrew Gilboy, Cornelia Flora, Ron Raphael, and Bhavani Pathak (Aguirre Division of JBS International, Inc.) [http://pdf.usaid.gov/pdf_docs/PNADT511.pdf;](http://pdf.usaid.gov/pdf_docs/PNADT511.pdf)
- E. World Bank Report "Using Training to Build Capacity for Development—An evaluation of the World Bank's Project-based and WBI training" (2008)

http://siteresources.worldbank.org/EXTTRABUICAPDEV/Resources/full_doc.pdf;

- F. “Higher Education Partnerships in Sub-Saharan Africa—An Impact Assessment of 12 Higher Education Partnerships” (2009) by Jane S. Gore, et al. (Higher Education for Development-HED) <http://www.hedprogram.org/LinkClick.aspx?fileticket=qditPV0LUjg=&tabid=60>; and
- G. “Higher Education Partnerships in Mexico—An Impact Assessment Report of Eight Higher Education Partnerships U.S.-Mexico Training, Internships, Exchanges, and Scholarships (TIES)” by Jane S. Gore, et al. (Higher Education for Development-HED) <http://www.hedprogram.org/LinkClick.aspx?fileticket=5FMydJMiRdU=&tabid=60>.

ANNEX E. STANDARD FORMS 424 AND 424A

FORMS AVAILABLE AT: www.grants.gov

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

Personnel

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

Fringe Benefits

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

Travel

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

Equipment

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

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

Supplies

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

Contractual Services

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

Construction

N/A

Other

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

Applicants planning to use USAID funds to send project staff or local counterparts for training in the US or a country other than the host country, will be required to follow the guidance on USAID Participant Training Regulations, which may be found on the USAID Web Site in ADS Chapter 253 <http://www.usaid.gov/pubs/ads>.

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

Include in this budget class category all sub-grants.

Indirect Charges

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

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

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

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

SAMPLE COOPERATIVE AGREEMENT BUDGET

SF 424, Sec. B, Item 6

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

**ANNEX F. MANDATORY STANDARD PROVISIONS FOR U.S. NON-
GOVERNMENTAL RECIPIENTS**

For full-text of clauses available at <http://www.usaid.gov/policy/ads/300/303maa.pdf>

ANNEX G. SAMPLE ASSOCIATE AWARD FORMAT AND SCHEDULE

Mr. John Doe
President
XYZ, Organization
Anywhere, USA.

Subject: Award Number _____

Dear Mr. Doe:

Pursuant to the authority contained in the Foreign Assistance Act of 1961, as amended, the US Agency for International Development (hereinafter referred to as ‘USAID’ or ‘Grantor’) hereby awards to the XYZ Organization (herein after referred to as ‘XYZ’ or ‘Recipient’), the sum of \$_____ to provide support for a program in _____ as described in the Schedule of this agreement and the Attachment 2, entitled ‘Program Description.’

This agreement is effective and obligation is made as of the date of this letter and shall apply to commitments made by the Recipient in furtherance of program objectives during the period beginning with the effective date and ending _____. USAID shall not be liable for reimbursing the Recipient for any costs in excess of the obligated amount.

This agreement is made to the XYZ, on condition that the funds will be administered in accordance with the terms and conditions as set forth in 22 CFR 226, entitled "Administration of Assistance Awards to US Non-Governmental Organizations"; Attachment 1, entitled "Schedule"; Attachment 2, entitled "Program summary"; and Attachment 3 entitled "Standard Provisions." [NOTE - Do not include reference to 22 CFR 226 if Agreement is with a Non-US Organization]

Please sign the original and each copy of this letter to acknowledge your organization’s receipt of the grant, and return the original and all but one copy to the Agreement Officer.

Sincerely yours,

Agreement Officer

Attachments:

- 1. Schedule
- 2. Program summary
- 3. Standard Provisions

ACKNOWLEDGED:

XYZ Organization

By: _____

Title: _____

Date: _____

FISCAL DATA

A. GENERAL

1. Total Estimated USAID Amount: \$ _____
2. Total Obligated USAID Amount: \$ _____
3. Cost-Sharing Amount (Non-Federal): \$ _____
4. Project Number: _____
5. USAID Project Office: _____
6. Tax I.D. Number: _____
7. CEC Number: _____
8. LOC Number: _____

B. SPECIFIC

(as appropriate)

1. MAARD Number: _____
2. Appropriation: _____
3. Allocation: _____

Part II Sample Associate Award Format

A. Purpose of Agreement

The purpose of this Agreement is to provide support for the program described in Attachment 2 to this Agreement entitled "Program Description."

B. Period of Agreement

1. The effective date of this Agreement is _____. The estimated completion date of this Agreement is _____.

[Note - For incrementally funded agreements or where pre-award expenses are authorized, add the following sentence:]

2. Funds obligated hereunder are available for program expenditures for the estimated period _____ to _____ as shown in the Agreement budget below.

C. Amount of Award and Payment

[Note - For fully funded agreements use the following:]

1. USAID hereby obligates the amount of \$ _____ for purposes of this Agreement.
2. Payment shall be made to the Recipient by _____ (Note - state method) in accordance with procedures set forth in _____ [Note - for US Organizations cite 22 CFR 226; for Non-US Organizations reference attached Standard Provisions. Agreement Officer must select a method of payment in accordance with the applicability requirements set forth in 22 CFR 226; i.e., letter of credit, advance payment, or reimbursement.]

- or -

[For incrementally funded awards use the following in lieu of the above:]

1. The total estimated amount of this Award for the period shown in B.1 above is \$ _____.
2. USAID hereby obligates the amount of \$ _____ for program expenditures during the period set forth in B.2. above and as shown in the Budget below. The recipient will be given written notice by the Agreement Officer if additional funds will be added. USAID is not obligated to reimburse the recipient for the expenditure of amounts in excess of the total obligated amount.
3. Payment shall be made to the Recipient by _____ (Note - state method) in accordance with procedures set forth in _____. [Note - for US Organizations cite 22 CFR 226; for Non-US Organizations reference attached Standard Provisions. Agreement Officer must select a method of payment in accordance with the applicability requirements set forth in 22 CFR 226; i.e., letter of credit, advance payment, or reimbursement.]
4. Additional funds up to the total amount of the grant shown in C.1 above may be obligated by USAID subject to the availability of funds, satisfactory progress of the project and continued relevance to USAID programs.

D. Budget

[Note - the items included in the Budget, including local cost financing items, should relate to the results, activities or functions described in Attachment 2 - Program summary, not to specific cost items (such as salaries or travel) except for those listed at items 4-6 below. However, at the discretion of the Agreement Officer, an alternative budget may be appropriate.]

The following is the Agreement Budget, including local cost financing items, if authorized. Revisions to this budget shall be made in accordance with _____. [Note - For US Organizations cite 22 CFR 226.25; for Non-US refer to Standard Provision entitled "Revision of Grant Budget."]

Total*			
From** __to** __	From** __to** __	From** __to** __	
Cost Element			
\$US Local	\$US Local	\$US Local	

Currency

Currency

Currency

1.

2.

3.

4. Training

5. Procurement

6. Indirect Costs

overhead

7. Total

_____	_____	_____	_____	_____	_____
\$	_____	_____	_____	_____	_____

* Use all three columns for incrementally funded grants, otherwise use only this column.

** Insert effective and expiration dates of grant or obligation/funding dates.

E. Reporting and Evaluation

1. Financial Reporting

The Recipient shall submit ____ (an original and two copies of _____) [Note - Agreement Officer to determine type of report, frequency of reporting periods and address]. Financial Reports shall be in keeping with _____[Note - for US Organizations add: 22 CFR 226.52; for Non-US refer to appropriate Standard Provision]. For US Organizations under Letter of Credit the following language shall be used:

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“In accordance with 22 CFR 226.52 the SF 269 and 272 will be required on a quarterly basis. The recipient shall submit these forms in the following manner:

1) The SF 272 and 272a (if necessary) will be submitted via electronic format to the US Department of Health and Human Services (<http://www.dpm.psc.gov>) . A copy of this form shall also be simultaneously submitted to the Agreement Officer [NOTE: if Agreement Officer desires a copy] and the AOTR.

2) The SF 269 or 269a (as appropriate) shall be submitted to the AOTR with one copy to the Agreement Officer [NOTE: if Agreement Officer desires]

* 3) In accordance with 22 CFR 226.70 - 72 [Note: for Non-US organizations refer to appropriate Standard Provision] the original and two copies of final financial reports shall be submitted as follows: M/FM, the Agreement Officer (if requested) and the AOTR. The electronic version of the final SF 272 or 272a shall be submitted to HHS in accordance with paragraph (1) above.

2. Program Reporting

The Recipient shall submit ____ [Note - specify number of copies, not to exceed the original and two copies] of a performance report to ____ [Note - specify name and title of AOTR and the Agreement Officer, if desired, along with address]. The performance reports are required to be submitted ____ [Note - state frequency, not to exceed quarterly] and shall contain the following

information _____ [Note - state reporting requirements, as related to the Program Description].

Final Report

The Recipient shall submit the original and one copy to _____ [Note - specify name and title of AOTR and the Agreement Officer, if desired, along with address] and one copy to USAID Development Experience Clearinghouse to one of the following:

(A) Via E-mail: docsubmit@dec.cdje.org ; (B) Via US Postal Service: Development Experience Clearinghouse, 8403 Colesville Road, Suite 210, Silver Spring, MD 20910, USA; (C) Via Fax: (301) 5887787; or (D) Online: <http://www.dec.org/index.cfm?fuseaction=docSubmit.home>.

The final performance report shall contain the following information _____ [Note - state reporting requirements, as related to the Program Description].

F. Special Provisions

[Note - Use this paragraph to delete inapplicable Standard Provisions or to add provisions of special applicability as authorized. Included should be waivers, including authorized local cost financing, and any alterations to the Standard Provisions or 22 CFR 226 which have been approved as deviations for the specific award.]

G. Indirect Cost Rate

[Note - Establish the applicable indirect cost rate(s), base(s) on which they apply, and the Grantee's accounting period(s) they cover, as provided in the appropriate Standard Provision. If an Indirect Cost Rate Agreement has been executed by USAID or a cognizant Federal agency, such rate(s) are required to be incorporated herein if such costs are covered by the grant. The most current overhead information should be obtained from the Overhead and Special Costs and Contract Close-Out Branch (M/OP/PS/OCC).]

H. Title to Property

[Note - Specify to whom title will vest for property, by category if appropriate.]

[Note - For awards having a procurement element greater than \$250,000, add the following:]

I. Authorized Geographic Code

The authorized geographic code for procurement of goods and services under this grant is _____.

[Note - For awards with a cost-share element add the following:]

J. Cost Sharing

The Recipient agrees to expend an amount not less than _____ [Note - put in percentage] of the total activity costs.

[For awards with US or Non-US Organizations which may generate Program Income add the following:]

K. Program Income

The Recipient shall account for Program Income in accordance with 22 CFR 226.24 (or the Standard Provision entitled Program Income for non-US organizations).

Program Income earned under this award shall be applied and used as follows: [Note - Agreement Officers in consultation with the AOTR must decide how Program Income will be applied: 1) added to the Project; 2) used to finance the non-Federal share; or 3) deducted from the total Federal share. All three may be picked as long as a descending order (i.e., "excess amounts may be applied to another alternative") is established in accordance with 22 CFR 226.24. Agreement Officers are encouraged to be as specific as possible in detailing the appropriate types of activities Program Income may be applied for when using the additive option as described at 226.24(b)(1).

ANNEX H. PAST PERFORMANCE INFORMATION

CONTRACTOR PERFORMANCE REPORT - SHORT FORM
PART I: Contractor Information (to be completed by Prime)
1. Name of Contracting Entity:
2. Contract Number:
3. Contract Type:
4. Contract Value (TEC): (if subcontract, subcontract value)
5. Problems: (if problems encountered on this contract, explain corrective action taken)
6. Contacts: (Name, Telephone Number and E-mail address)
6a. Contracting officer:
6b. Technical Officer (AOTR):
6c. Other:
7. Contractor:
8. Information Provided in Response to RFP No. :
PART II: Performance Assessment (to be completed by Agency)
1. Quality of product or service, including consistency in meeting goals and targets, and cooperation and effectiveness of the Prime in fixing problems. Comment:
2. Cost control, including forecasting costs as well as accuracy in financial reporting. Comment:
3. Timeliness of performance, including adherence to contract schedules and other time-sensitive project conditions, and effectiveness of home and field office management to make prompt decisions and ensure efficient operation of tasks. Comment:
4. Customer satisfaction, including satisfactory business relationship to clients, initiation and management of several complex activities simultaneously, coordination among subcontractors and developing country partners, prompt and satisfactory correction of problems, and cooperative attitude in fixing problems. Comment:
5. Effectiveness of key personnel including: effectiveness and appropriateness of personnel for the job; and prompt and satisfactory changes in personnel when problems with clients were identified. Comment:

[Note: The actual dollar amount of subcontracts, if any, (awarded to the Prime) must be listed in Block 4 instead of the Total Estimated Cost (TEC) of the overall contract. In addition, a Prime may submit attachments to this past performance table if the spaces provided are inadequate; the evaluation factor(s) must be listed on any attachments.]

**ANNEX I. CERTIFICATIONS, ASSURANCES, AND OTHER STATEMENTS
OF THE RECIPIENT (MAY 2006)**

PART I - CERTIFICATIONS AND ASSURANCES

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

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

- (a) The recipient hereby assures that no person in the United States shall, on the bases set forth below, be excluded from participation in, be denied the benefits of, or be otherwise subjected to discrimination under, any program or activity receiving financial assistance from USAID, and that with respect to the Cooperative Agreement for which application is being made, it will comply with the requirements of:
 - (1) Title VI of the Civil Rights Act of 1964 (Pub. L. 88-352, 42 U.S.C. 2000-d), which prohibits discrimination on the basis of race, color or national origin, in programs and activities receiving Federal financial assistance;
 - (2) Section 504 of the Rehabilitation Act of 1973 (29 U.S.C. 794), which prohibits discrimination on the basis of handicap in programs and activities receiving Federal financial assistance;
 - (3) The Age Discrimination Act of 1975, as amended (Pub. L. 95-478), which prohibits discrimination based on age in the delivery of services and benefits supported with Federal funds;
 - (4) Title IX of the Education Amendments of 1972 (20 U.S.C. 1681, et seq.), which prohibits discrimination on the basis of sex in education programs and activities receiving Federal financial assistance (whether or not the programs or activities are offered or sponsored by an educational institution); and
 - (5) USAID regulations implementing the above nondiscrimination laws, set forth in Chapter II of Title 22 of the Code of Federal Regulations.
- (b) If the recipient is an institution of higher education, the Assurances given herein extend to admission practices and to all other practices relating to the treatment of students or clients of the institution, or relating to the opportunity to participate in the provision of services or other benefits to such individuals, and shall be applicable to the entire institution unless the recipient establishes to the satisfaction of the USAID Administrator that the institution's practices in designated parts or programs of the institution will in no way affect its practices in the program of the institution for which financial assistance is sought, or the beneficiaries of, or participants in, such programs.
- (c) This assurance is given in consideration of and for the purpose of obtaining any and all Federal grants, loans, contracts, property, discounts, or other Federal financial assistance extended after the date hereof to the recipient by the Agency, including installment payments after such date on account of applications for Federal financial assistance

which was approved before such date. The recipient recognizes and agrees that such Federal financial assistance will be extended in reliance on the representations and agreements made in this Assurance, and that the United States shall have the right to seek judicial enforcement of this Assurance. This Assurance is binding on the recipient, its successors, transferees, and assignees, and the person or persons whose signatures appear below are authorized to sign this Assurance on behalf of the recipient.

2. CERTIFICATION REGARDING LOBBYING

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

- (1) No Federal appropriated funds have been paid or will be paid, by or on behalf of the undersigned, to any person for influencing or attempting to influence an officer or employee of any agency, a Member of Congress, an officer or employee of Congress, or an employee of a Member of Congress in connection with the awarding of any Federal contract, the making of any Federal Cooperative Agreement, the making of any Federal loan, the entering into of any cooperative agreement, and the extension, continuation, renewal, amendment or modification of any Federal contract, grant, loan, or cooperative agreement.
- (2) If any funds other than Federal appropriated funds have been paid or will be paid to any person for influencing or attempting to influence an officer or employee of any agency, a Member of Congress, an officer or employee of Congress, or an employee of a Member of Congress in connection with this Federal contract, grant, loan, or cooperative agreement, the undersigned shall complete and submit Standard Form-LLL, "Disclosure of Lobbying Activities," in accordance with its instructions.
- (3) The undersigned shall require that the language of this certification be included in the award documents for all subawards at all tiers (including subcontracts, subgrants, and contracts under grants, loans, and cooperative agreements) and that all subrecipients shall certify and disclose accordingly. This certification is a material representation of fact upon which reliance was placed when this transaction was made or entered into. Submission of this certification is a prerequisite for making or entering into this transaction imposed by section 1352, title 31, United States Code. Any person who fails to file the required certification shall be subject to a civil penalty of not less than \$10,000 and not more than \$100,000 for each such failure.

Statement for Loan Guarantees and Loan Insurance

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

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

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

If there are COVERED PARTICIPANTS: USAID reserves the right to terminate assistance to or take other appropriate measures with respect to, any participant approved by USAID who is found to have been convicted of a narcotics offense or to have been engaged in drug trafficking as defined in 22 CFR Part 140.

4. CERTIFICATION REGARDING TERRORIST FINANCING IMPLEMENTING EXECUTIVE ORDER 13224

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

1. The Recipient, to the best of its current knowledge, did not provide, within the previous ten years, and will take all reasonable steps to ensure that it does not and will not knowingly provide, material support or resources to any individual or entity that commits, attempts to commit, advocates, facilitates, or participates in terrorist acts, or has committed, attempted to commit, facilitated, or participated in terrorist acts, as that term is defined in paragraph 3.
2. The following steps may enable the Recipient to comply with its obligations under paragraph 1:
 - a. Before providing any material support or resources to an individual or entity, the Recipient will verify that the individual or entity does not (i) appear on the master list of Specially Designated Nationals and Blocked Persons <http://www.treasury.gov/resource-center/sanctions/SDN-List/Pages/default.aspx>, which is maintained by the U.S. Treasury's Office of Foreign Assets Control (OFAC), or (ii) is not included in any supplementary information concerning prohibited individuals or entities that may be provided by USAID to the Recipient.
 - b. Before providing any material support or resources to an individual or entity, the Recipient also will verify that the individual or entity has not been designated by the United Nations Security (UNSC) sanctions committee established under UNSC Resolution 1267 (1999) (the "1267 Committee") [individuals and entities linked to the Taliban, Usama bin Laden, or the Al Qaida Organization]. To determine whether there has been a published designation of an individual or entity by the 1267 Committee, the Recipient should refer to the consolidated list available online at the Committee's website: <http://www.un.org/Docs/sc/committees/1267/1267ListEng.htm>.
 - c. Before providing any material support or resources to an individual or entity, the Recipient will consider all information about that individual or entity of which it is aware

and all public information that is reasonably available to it or of which it should be aware.

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

3. For purposes of this Certification-

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

b. "Terrorist act" means-

(i) an act prohibited pursuant to one of the 12 United Nations Conventions and Protocols related to terrorism (see UN terrorism conventions Internet site: <http://untreaty.un.org/English/Terrorism.asp>); or

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

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

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

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

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

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

5. CERTIFICATION OF RECIPIENT

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

RFA/APS No. _____

Application No. _____

Date of Application _____

Name of Recipient _____

Typed Name and Title _____

Signature _____

Date _____

PART II - KEY INDIVIDUAL CERTIFICATION NARCOTICS OFFENSES AND DRUG TRAFFICKING

I hereby certify that within the last ten years:

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

Signature: _____

Date: _____

Name: _____

Title/Position: _____

Organization: _____

Address: _____

Date of Birth: _____

NOTICE:

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

PART III - PARTICIPANT CERTIFICATION NARCOTICS OFFENSES AND DRUG TRAFFICKING

1. I hereby certify that within the last ten years:
 - a. I have not been convicted of a violation of, or a conspiracy to violate, any law or regulation of the United States or any other country concerning narcotic or psychotropic drugs or other controlled substances.
 - b. I am not and have not been an illicit trafficker in any such drug or controlled substance.
 - c. I am not or have not been a knowing assistor, abettor, conspirator, or colluder with others in the illicit trafficking in any such drug or substance.
2. I understand that USAID may terminate my training if it is determined that I engaged in the above conduct during the last ten years or during my USAID training.

Signature: _____

Name: _____

Date: _____

Address: _____

Date of Birth: _____

NOTICE:

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

PART IV - SURVEY ON ENSURING EQUAL OPPORTUNITY FOR APPLICANTS

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

Please find the survey at <http://www.usaid.gov/forms/surveyeo.doc> .

PART V - OTHER STATEMENTS OF RECIPIENT

1. AUTHORIZED INDIVIDUALS

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

Name	Title	Telephone No.	Facsimile No.

2. TAXPAYER IDENTIFICATION NUMBER (TIN)

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

TIN: _____

3. DATA UNIVERSAL NUMBERING SYSTEM (DUNS) NUMBER

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

- (b) The DUNS is a 9-digit number assigned by Dun and Bradstreet Information Services. If the recipient does not have a DUNS number, the recipient should call Dun and Bradstreet directly at 1-800-333-0505. A DUNS number will be provided immediately by telephone at no charge to the recipient. The recipient should be prepared to provide the following information:
 - (1) Recipient's name.
 - (2) Recipient's address.
 - (3) Recipient's telephone number.
 - (4) Line of business.
 - (5) Chief executive officer/key manager.
 - (6) Date the organization was started.
 - (7) Number of people employed by the recipient.
 - (8) Company affiliation.

- (c) Recipients located outside the United States may e-mail Dun And Bradstreet at globalinfo@dbisma.com to obtain the location and phone number of the local Dun and Bradstreet Information Services office.

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

DUNS: _____

4. LETTER OF CREDIT (LOC) NUMBER

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

LOC: _____

5. PROCUREMENT INFORMATION

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

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

\$ _____

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

TYPE/DESCRIPTION(Generic)	_____
QUANTITY	_____
ESTIMATED UNIT COST	_____

(d) Source, Origin, and Componentry of Goods. If the recipient plans to purchase any goods/commodities which are not of U.S. source and/or U.S. origin, and/or does not contain at least 50 percent componentry, which are not at least 50 percent U.S. source and origin, please indicate below (using a continuation page, as necessary) the types and quantities of each, estimated unit costs of each, and probable source and/or origin, to include the probable source and/or origin of the components if less than 50 percent U.S. components will be contained in the commodity. "Source" means the country from which a commodity is shipped to the cooperating country or the cooperating country itself if the commodity is located therein at the time of purchase. However, where a commodity is shipped from a free port or bonded warehouse in the form in which

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

TYPE/DESCRIPTION	_____
QUANTITY	_____
ESTIMATED GOODS	_____
PROBABLE GOODS	_____
PROBABLE (Generic)	_____
UNIT COST	_____
COMPONENTS	_____
SOURCE	_____
COMPONENTS	_____

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

TYPE/DESCRIPTION	_____
QUANTITY	_____
ESTIMATED	_____
PROBABLE	_____
INTENDED USE (Generic)	_____
UNIT COST	_____
SOURCE	_____

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

TYPE/DESCRIPTION	_____
QUANTITY	_____
ESTIMATED	_____
PROBABLE SLUPPIER	_____
NATIONALITY	_____

RATIONALE (Generic) _____
 UNIT COST (Non-US Only) _____
 FOR NON-US _____

(g) Proposed Disposition. If the recipient plans to purchase any nonexpendable equipment with a unit acquisition cost of \$5,000 or more, please indicate below (using a continuation page, as necessary) the proposed disposition of each such item. Generally, the recipient may either retain the property for other uses and make compensation to USAID (computed by applying the percentage of federal participation in the cost of the original program to the current fair market value of the property), or sell the property and reimburse USAID an amount computed by applying to the sales proceeds the percentage of federal participation in the cost of the original program (except that the recipient may deduct from the federal share \$500 or 10 percent of the proceeds, whichever is greater, for selling and handling expenses), or donate the property to a host country institution, or otherwise dispose of the property as instructed by USAID.

TYPE/DESCRIPTION (Generic) _____
 QUANTITY _____
 ESTIMATED UNIT COST _____
 PROPOSED DISPOSITION _____

6. PAST PERFORMANCE REFERENCES

Please see Section IV.C and Annex H. for additional information on the submission of Past Performance.

7. TYPE OF ORGANIZATION

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

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

8. ESTIMATED COSTS OF COMMUNICATIONS PRODUCTS

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

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