



CALL FOR REQUEST FOR APPLICATIONS (RFA) FOR INNOVATION AND INVESTMENT PARTNERSHIP PROGRAM GRANTS

Agricultural Growth Program – Livestock Market Development Project RFA No. 002

Issuance Date: February 19, 2014
Questions Due: February 28, 2014, at 3pm
Questions and Answers posted on website: March 4, 2014 at 5pm

CNFA, a U.S. based non-profit organization, in coordination with a consortium of international and national partners, is currently implementing a five year United States Agency for International Development (USAID) funded Agricultural Growth Program-Livestock Market Development Project (AGP-LMD). Started in September 2012, the Project aims to foster growth and reduce poverty through improving the productivity and competitiveness of the livestock sector. The program operates in AGP targeted woredas of Oromia, Amhara, Tigray, and SNNPR.

AGP-LMD is seeking applications as part of its overall objective to stimulate investment and innovation by focusing on improving productivity and competitiveness of selected livestock value chains: meat/live animal and dairy. The grants will be awarded and implemented in accordance with USAID and US Government regulations governing grants under contract and AGP-LMD's internal grant management policies.

Objectives of the RFA:

Partnering for Innovation and Investment aims to solve key constraints in the livestock industry through the adoption of productivity enhancing technologies, improved market infrastructure, and institutional innovations to improve the productivity and competitiveness of selected livestock value chains.

AGP-LMD is seeking innovations that have a significant potential to impact incomes and improve the overall quality of life of smallholder farm households. This RFA targets three main themes which are:

Livestock Enterprise Development: Export abattoirs, milk processing, business hub development, quality control initiatives, commercial farming, privatized slaughterhouses and artificial inseminators, agrodealers, and associations that provide services to livestock enterprises.

Strengthening Women in Livestock: Increasing the capacity of women livestock entrepreneurs, existing businesses, and/or women's groups.

Strengthening Livestock Cooperatives and Unions: Capacity building for cooperatives and unions to improve member services and increase their role throughout livestock value chains.



Application Process:

Submission of a Grant Application Form (see Annex A)

Deadlines:

- Livestock Enterprise Development Applications: March 30, 2014 at 3:00pm
- Strengthening Women in Livestock Applications: April 30, 2014 at 3:00pm
- Strengthening Cooperatives and Unions Applications: April 30, 2014 at 3:00pm

Interested applicants should visit the CNFA website at http://www.cnfa.org/wp-content/uploads/2013/06/AGP-LMD_RFA_001-Full.docx to download the full Request for Application document, including the Grant Application Form.

Applicants who have questions about the application process or about this RFA should submit them to Fekadu Demisses, Innovation Funds Manager, either by email at fdemsses@cnfaethiopia.org or by mail to 3rd floor, Palm Building, CMC Road, Opposite to Civil Service College, Addis Ababa, by **the due dates specified above**.

AGP-LMD anticipates awarding approximately 15 Livestock Enterprise Development grants. Each grant award may range from \$50,000 and \$300,000. The estimated start date of grants awarded under this solicitation is May 15, 2014.

AGP-LMD anticipates awarding approximately 20 Strengthening Women in Livestock grants. Each grant award may range from \$5,000 and \$50,000. The estimated start date of grants awarded under this solicitation is June 15, 2014.

AGP-LMD anticipates awarding approximately 10 Strengthening Cooperatives and Unions grants. Each grant award may range from \$25,000 and \$100,000. The estimated start date of grants awarded under this solicitation is June 15, 2014.



SECTION I. PROGRAM DESCRIPTION

IA. OBJECTIVE

AGP-LMD is awarding grants to value chain drivers, including private businesses and producer-based cooperatives and unions or associations, to improve their business skills, marketing practices, supply chains, service provision, and other management capacities; to provide investment to initiate or expand operations and introduce new technology; and to have the skills they need to make the most of their investments over the long- term.

IB. BACKGROUND

USAID-Ethiopia’s Agricultural Growth Program-Livestock Market Development project is a five-year project being implemented as part of the U.S. Government’s Feed the Future (FTF) Initiative. This project is part of USAID’s contribution to the Government of Ethiopia’s Agricultural Growth Program (AGP). The AGP’s goal “to end poverty and enhance growth” aligns with FTF’s goal to “sustainably reduce poverty and hunger.” The project aims to foster growth and reduce poverty through improving the productivity and competitiveness of selected livestock value chains: meat/live animals, hides/skins/leather and dairy. Program operations will primarily take place in the AGP-targeted woredas of Tigray, Amhara, Oromia and SNNPR, in order to effectively reach a large number of smallholder producers. In addition, the project will use and build upon local organizations’ experience and extensive professional and social networks throughout these four regions.

AGP-Livestock Market Development project will address USAID’s Strategic Objective of improving smallholder incomes and nutritional status through the achievement of three key USAID intermediate results, involving five program components. The project will apply a holistic value chain development approach to ensure that the program transforms the targeted value chains from infancy to maturity. This will self-propel value chains, capable of taking ownership of their own future development, by addressing systemic bottlenecks and facilitating value chain participants’ own engagement and investment.

Key themes driving AGP-Livestock Market Development Project approach include:

- Market development
- Increased productivity and efficiency throughout the livestock value chain
- Private sector focus and investment
- Smallholder impact
- Gender mainstreaming
- Environmental conservation

The project runs from September 17, 2012 to September 30, 2017, and is being implemented by national and international consortium members led by CNFA.

International Sub-Contractors: Netherlands Development Organization (SNV), International Medical Corps (IMC), International Institute for Communications and Development (IICD), Institute of International Education (IIE) and J. E Austin Associates (JAA).

National Sub-Contractors: Digital Opportunity Trust (DOT) Ethiopia, Precise International Consult PLC, TREG Consul PLC, and BCaD Consulting Management PLC.



Regional Implementing Partners: Relief Society of Tigray (REST), Organization for Rehabilitation (ORDA) and Development in Amhara (ORDA), Oromo Grassroots Initiatives (HUNDEE) and Self Help Africa-Ethiopia

Project Goal: Support the Federal Democratic Republic of Ethiopia’s Agricultural Growth Program (AGP) by improving smallholder incomes and nutritional status through investments in selected livestock value chains.

The Project will be implemented in the four regional states targeted by Ethiopia’s AGP: Oromia, Amhara, Tigray, and SNNP. The main LMD implementer in the regional states will be the Regional Implementing Partners under guidance and coordination from LMD’s Regional Coordinators and supported by Addis Ababa based office headed by the program Chief of Party (COP).

IC. DETAILED PROGRAM DESCRIPTION

The overall purpose of the AGP-LMD Grants Program is to provide funding for activities that directly contribute to the objectives of AGP-LMD and are within AGP-LMD’s strategy and project implementation approach. Recipients will be those best placed to address key value chain and systemic constraints. The funds will stimulate value chain actors to introduce and pilot innovations by limiting the financial risks of innovation.

Grant-funded activities being solicited under this RFA include:

- **Livestock Enterprise Development:** Activities that promote productivity-enhancing or value-added technologies for value chain and agribusiness development with a focus on the following types of projects: meat and dairy processing, food safety and hygiene, meat and dairy packaging, international and domestic marketing activities, milk collection, cooling and transport, improved provision of inputs and services to livestock farmers or agribusinesses, quality control and testing activities, commercial farming and ranching, support to newly privatized slaughter houses and artificial insemination technicians, agrodealers, and associations that provide services to agribusiness/farmer members, including, but not limited to marketing services.
- **Strengthening Women in Livestock:** Activities to provide business startup, expansion and capacity building assistance to women entrepreneurs, existing women-owned businesses, and women’s groups operating in the dairy, beef, sheep or goat livestock sectors.
- **Strengthening Cooperatives, Unions and other farmer organizations:** Activities to improve upon and/or expand the services provided to the livestock organization’s members and to increase the organization’s capacity to strengthen entire livestock value chains.

Applications will be accepted from private firms and organizations (value chain drivers, farmer coops, unions, associations, etc.). All recipients shall be required to provide cost-sharing or matching funds. Applicants should be striving to improve their business skills, marketing practices, supply chains, and other management capacities; to provide investment to initiate or expand operations and introduce new technology; and to have the skills they need to make the most of their investments over the long-term.

Proposals should contribute to one or more of the AGP-LMD project indicators and communicate the expected outcomes in terms of these indicators as possible. These indicators include:

- New, full-time jobs created
- Percent increase of sales of processors, exporters, cooperatives, service providers, input providers
- Percentage change in processing capacity of firms/organizations engaged in livestock related activities



- Number of farmers, private sector firms and others who have applied new technologies or management practices
- Value of exports of targeted commodities
- Value of new private sector investment leveraged by the project
- Number of MSME's receiving assistance to access loans
- Number of firms receiving assistance to invest in improved technologies
- Number of firms/organizations that obtain certification with an international quality control institution
- Value of incremental sales collected at the farm level (and the number of households affected)
- Gross margin per animal (cattle, sheep, goats)

AGP-LMD will closely monitor awardees and measure their achievements in terms of the indicators listed above in addition to the number of households benefitting.

AGP-LMD recognizes that some grantees may need technical assistance to more effectively carry out the activity. Consequently, applicants are encouraged to specify their needs for technical assistance and/or training in their application.

SECTION II. ELIGIBILITY

IIA. ELIGIBLE ORGANIZATIONS

Grants to be awarded under this RFA may be extended to:

- private international organizations registered locally,
- public-private entities,
- private firms,
- primary cooperatives,
- cooperative unions/trade unions,
- sectoral or professional associations and,
- other value chain actors.

IIB. ADDITIONAL CONDITIONS OF ELIGIBILITY

- Applicants must be registered Ethiopian organizations formally constituted, recognized by and in good standing with appropriate Ethiopian authorities, and compliant with all applicable civil and fiscal regulations. A copy of the registration certificate is required with the submission of the Grant Summary Form for Livestock Development Grants and Cooperative/Union Development Grants categories. Applicants applying within the Women in Livestock category are not required to be registered at the time of application, but must be registered in order to proceed with a grant award.
- All applicants must contribute a minimum cost share (cash or in-kind). Cost sharing from co-funders (excluding any and all U.S. government funds) may also count as cost share. The cost-share requirement varies based on the nature of the applicant's organization, as detailed in Section IIE below.
- Applicants must be able to demonstrate successful past performance in implementation of integrated development programs related to AGP-LMD's priority areas.
- Applicants must have established outreach capabilities with linkages to the beneficiary group(s) identified in the program description. This should be reflected by the incorporation of the beneficiary perspective in the application.
- Faith-based and community groups will receive equal opportunity for funding in accordance with the mandated guidelines laid out in Annex E of this RFA except for faith-based



organizations whose objectives are for discriminatory and religious purposes, and whose main objective of the grant is of a religious nature.

- Applicants must display sound management in the form of financial, administrative, and technical policies and procedures and present a system of internal controls that safeguard assets; protect against fraud, waste, and abuse; and support the achievement of program goals and objectives. AGP-LMD will assess this capability prior to awarding a grant.
- Grantees must agree to comply with the Branding and Marking requirements, if awarded a grant.
- Applicant must comply with applicable environmental standards and regulations.
- Applicant activities must be related to dairy cattle, beef, sheep or goat livestock sectors. Poultry and camel livestock sectors are ineligible.
- Applicants must sign the following required certifications prior to receiving a grant. The certifications are attached to this solicitation (Annex D) and AGP-LMD will review them with applicants.
 - Certification Regarding Terrorist Financing
 - Certificate of Compliance
 - Certification of Recipient Regarding Lobbying (if grant will exceed \$100,000)

AGP-LMD encourages applications from new organizations who meet the above eligibility criteria.

IIC. INELIGIBLE ORGANIZATIONS

AGP-LMD grant funds may not be extended to the following:

- Organizations that are not legally registered, with the exception of informal community based groups and applicants within the Women in Livestock category;
- Any public international organization (PIO) unless specifically approved by the USAID Mission Director;
- Any entity that has been found to have misused USAID funds in the past;
- Political parties, groupings, or institutions or their subsidiaries and affiliates;
- Organizations that advocate, promote, or espouse anti-democratic policies or illegal activities;
- Faith-based organizations whose objectives are for discriminatory and religious purposes, and whose main objective for the grant is of a religious nature;
- Military organizations;
- Individuals;
- Any entity included in any supplementary information concerning prohibited individuals or entities that may be provided by USAID;
- Any entity whose name appears on the List of Parties Excluded from Federal Procurement and Non-procurement Programs in SAM (<http://www.sam.gov/>);
- Any entity with a member that appears on the U.S. Department of Treasury Office of Foreign Assets Control (OFAC) Specially Designated Nationals (SDN) and Blocked Persons list, which is available online at OFAC's website:
<http://www.treasury.gov/ofac/downloads/t11sdn.pdf>
- An organization that refuses to sign the required certifications.

IID. INELIGIBLE EXPENSES

AGP-LMD grant funds may not be utilized for the following:

- Construction or infrastructure activities of any kind;
- Ceremonies, parties, celebrations, or “representation” expenses;



- Purchases of restricted goods, such as: restricted agricultural commodities, motor vehicles including motorcycles, pharmaceuticals, medical equipment, contraceptive products, used equipment; without the previous approval of AGP-LMD, or prohibited goods, prohibited goods under USAID regulations, including but not limited to the following: abortion equipment and services, luxury goods, etc.;
- Alcoholic beverages;
- Purchases of goods or services restricted or prohibited under the prevailing USAID source/nationality (Burma (Myanmar), Cuba, Iran, North Korea, North Sudan and Syria);
- Any purchase or activity, which has already been made;
- Purchases or activities unnecessary to accomplish grant purposes as determined by the AGP-LMD Project;
- Prior obligations of and/or, debts, fines, and penalties imposed on the Grantee;
- Creation of endowments.

III. COST SHARE REQUIREMENTS

Cost share is required for all grants funded under AGP-LMD. The grantee's contribution may be met through cost sharing, co-funding (funding from other donors or financial institutions), program income, or some combination of the three. Applicants will propose a matching contribution as detailed in the table below. The nature and amount of this contribution must be clearly defined in the grant application, and the applicant must identify the means to verify this contribution. In the grant applications, applicants should distinguish between cost share that is already committed and cost share that is only anticipated. Note that funding from other U.S. government programs/projects may not be considered as cost share.

The required ratio of matching funds differs by recipient, as detailed in the table below:

Types of Grants	Targeted Recipients	Match : Grant Value Ratio Requirement	Size of Grants
Livestock Enterprise Development ¹	Livestock Enterprises Associations	2:1	\$50,000- \$300,000
		1:1	
Strengthening Women in Livestock	Women entrepreneurs, women-owned businesses, and women's groups	0.5:1	\$5,000 - \$50,000
Strengthening Cooperatives and Unions	Cooperatives and Unions	1:1	\$25,000 - \$100,000

SECTION III. APPLICATION AND SUBMISSION INFORMATION

III.A. INSTRUCTIONS TO APPLICANTS

Applicants must propose strategies for the implementation of the program description described above, introducing innovations that are appropriate to their organizational strengths. The application process for this RFA is divided into **two stages**:

¹ Requirements for applicant grant matching requirements and grant value minimums will be reduced for women-owned businesses or entrepreneurs. Women applicants will be required to provide 0.5:1 matching investment, including in-kind contributions.



- **Stage 1:** Applicants are required to submit a completed **Grant Application Form** (see Annex A) by the date specified below in Section IIC, along with proof of registration (except as noted). AGP-LMD will answer any questions about the Grant Application Form which are submitted by the deadline for questions specified below in Section IIC. AGP-LMD will review Grant Application Forms and will accept or reject the form based on the evaluation criteria outlined in Section IVA. During this stage we may request the applicant to provide additional information or clarify their Application form. This may require presentations to the evaluation team or the use of independent business consultants. The application will be reviewed by the Technical Evaluation Committee to ensure full compliance with the RFA and USAID rules/regulations. Those applicants whose forms are rejected will be notified and provided an explanation for the rejection. The applicants whose forms are accepted will move on to Stage 2, as is explained below.
- **Stage 2:** Applicants that are invited to advance to Stage 2 will be required to complete the attached self-assessment (Annex C) and provide information that is required for administrative and compliance reviews within 30 days of being notified of passing Stage 1

IIIB. ADDITIONAL REQUIREMENTS FOR APPLICANTS

Templates to be used for the Grant Application Form and, if applicants are invited, additional forms are provided in Annexes A-F. Applicants in the Livestock Development Grants category shall present their applications in English in the formats provided, and shall follow the instructions and guidelines listed in these annexes. Applicants in the Cooperative/Union and Women in Livestock categories may present their applications in Amharic or English at their discretion. However, all final grant awards will be made in English.

All grant activity costs must be within the normal operating practices of the applicant and in accordance with its written policies and procedures. For applicants without an audited indirect cost rate, the full application budget may include direct costs that will be incurred by the Applicant to provide identifiable administrative and management costs that can be directly attributable to supporting the grant objective.

All application materials must be signed by an authorized agent of the Applicant.

All applicants selected for award are subject to a pre-award responsibility determination conducted by AGP-LMD to ascertain whether the applicant has the minimum management capabilities required to handle US government funds. The applicant self-assessment is the first step in the pre-award responsibility determination process, and must be completed by all applicants who proceed to Stage 2. The Applicant Self-Assessment Form is contained in Annex C.

All applicants selected for award must sign the required certifications included in Annex D prior to receiving a grant.

Applicants will not be reimbursed for the costs incurred in preparation and submission of an application. All preparation and submission costs are at the applicant's expense.

IIIC. STAGE 1 APPLICATION SUBMISSION INFORMATION

Grants Application Forms shall be submitted in the format provided in Annex A, in English, or Annex B, in Amharic, and may not be more than 12 pages in length. Grant Application Forms should be submitted in electronic or hard copy to AGP-LMD at the address below and should reference RFA No. 002. Applications must be submitted no later than 3pm local time, as indicated on page 2 of the



RFA under Application Process. Late or unresponsive applications will not be considered. It is the applicant’s responsibility to confirm receipt of submitted applications.

Agricultural Growth Program – Livestock Market Development Project
CMC Road, Opposite Civil Service College
Palm Addis Bldg 3rd and 4th Floor
grants@livestockmarketdevelopment.com

In addition to the application forms, applicants **must** submit the following to AGP-LMD:

- A copy of the Applicant’s valid legal registration. [exception noted for Women in Livestock applicants]

Please submit all questions concerning this solicitation to Fekadu Demisses, Innovation Fund Manager, and Agricultural Growth Program – Livestock Market Development Project CMC Road, Opposite Civil Service College, Palm Addis Bldg 3rd and 4th Floor, or via email at grants@livestockmarketdevelopment.com . AGP-LMD will assist applicants in understanding the application process, and will publish all the questions it receives and responses in advance of the due date.

IIID. STAGE 2 APPLICATION SUBMISSION INFORMATION

In order to be considered for a grant award, an applicant must complete Stage 2 requirements which include completing the self-assessment form and providing other information for administrative and compliance review.

1. GRANT APPLICATION FORM – already submitted and accepted by AGP-LMD in Stage 1
2. PROOF OF REGISTRATION – already submitted and accepted by AGP-LMD in Stage 1
3. APPLICANT SELF-ASSESSMENT – completed in Stage 2 (Annex C)
4. ADMINISTRATIVE AND COMPLIANCE INFORMATION– completed in Stage 2 (Annexes D-F)

During the Stage 2 evaluation process, short-listed applicants will be asked to submit full supporting documentation to illustrate that the applicant has the technical capacity to implement the grant, as well as the financial and administrative systems in place to adequately account for the grant funds as detailed in the AGP-LMD Grants Manual. Site visits may be conducted by the AGP-LMD program staff to evaluate the applicant in these areas and gather supporting documentation, which may consist of the following:

1. MANDATORY CERTIFICATIONS (see Annex D)
2. AUDITED FINANCIAL STATEMENTS – if available. English translation desirable, but not required. If no recent audit has been conducted, a revenue and expense statement and balance sheet for the previous financial year must be attached. [exceptions will be made for women in livestock applicants]
3. SUPPORTING COST DATA – including payroll records and financial expenditures reports from previous activities.

SECTION IV. APPLICATION EVALUATION



IVA. APPLICATION STAGE ONE – GRANT APPLICATION FORM EVALUATION

All Grant Application Forms submitted in Stage 1 will be reviewed for eligibility and then evaluated by an internal review panel comprised of AGP/LMD staff and outside experts as appropriate. Grant Application Forms will be evaluated for eligibility on a pass/fail basis against the following criteria:

- Is the organization eligible to receive AGP-LMD grant funding?
- Does the application contribute to the development of the dairy cattle, beef, sheep or goat livestock value chains in the AGP-LMD target regions?
- Does the application include the required amount of cost share?
- Is the application complete?
- Does the organization show the potential to manage the activity or does it have previous experience relevant to the activity proposed?
- Does the proposed activity fall within the program description for grant funding outlined in the RFA?

ILLUSTRATIVE EVALUATION CATEGORY	ILLUSTRATIVE RATING -POINTS (100 TOTAL)
- Technical quality	70 POINTS
Conformity to AGP-LMD objectives and Contribution to project results and indicators for targeted groups	25
Feasibility and sustainability of design and technical approach	20
Sourcing of raw materials from smallholder farmers, providing services to smallholder farmers, developing markets that will benefit smallholder farmers, or other assistance provided to smallholder farmers, in targeted value chains and regions	10
Considerations for integration of gender and/or PLHIV	10
Innovative Concept	5
2. Past Performance and Institutional Capacity	15 POINTS
Management and programmatic capacity	15
3. Cost	15 POINTS
Cost efficiency	5
Cost reasonableness, allowability, allocability	5
Leveraging of other funding sources	5

1. Quality of Technical Approach

- **Conformity to AGP-LMD Objectives:** The extent to which the proposed activity is in line with AGP-LMD objectives. Also, the likelihood the activity will help meet project targets and project objectives after the application’s monitoring & evaluation period. Applicability to project’s geographic regional focus will also be considered.
- **Feasibility of Design and Technical Approach:** The quality and feasibility of the application in terms of the viability (as measured by cost-benefit analysis) of the proposed technical approach, (i.e. the proposed technical approach can reasonably be expected to produce the intended outcomes and impact), appropriateness of the proposed methodology and implementation plan for achieving project objectives.



Approaches proven to be effective or new untried approaches will be evaluated. Proposed mechanisms for monitoring and evaluation with objectively measurable indicators will also be appraised.

- Sourcing of raw materials from smallholder farmers, providing services to smallholder farmers, developing markets that will benefit smallholder farmers, or other assistance provided to smallholder farmers in targeted value chains and regions. The extent to which, if applicable, the proposed program sources raw materials from smallholder farmers, proves services to smallholder farmers, develops markets that will benefit smallholder farmers, or other assistance provided to smallholder farmers in targeted value chains and regions. **Considerations for Integration of Women and PLHIV:** The extent to which the proposed activity includes a gender component and represents a strong commitment to women and/or PLHIV as beneficiaries.
- **Long-term Sustainability:** The extent to which the activity will be sustainable over the long term without continued external support.
- **Innovative Concept:** The degree of innovation included in the proposal and the prospect of adoption of the innovation by other value chain businesses or organizations.

2. Past Performance and Institutional Capacity

- **Management and Programmatic Capacity:** Evidence of the capability to undertake and accomplish the proposed activities. The proposal should demonstrate the applicant's effectiveness in terms of internal structure, technical capacity, and key personnel, in meeting activity goals. In addition, the applicant must demonstrate adequate financial management capability. Appraisal may be based on reference checks by AGP-LMD; the background, qualifications, reputation, appropriateness and skills of its key personnel; and the "track record," reputation, and achievements of the businesses/organization involved.

3. Cost

If the grantee expects to earn program income during the award period, the technical evaluation committee (TEC) team will review to ensure the income will be applied in accordance with ADS and 22 CFR 226 regulations.

- **Cost Efficiency:** The degree to which budgeting is clear and reflects best use of applicant and grant resources, as evaluated by cost benefit analysis.
- **Cost Reasonableness, Allowability, and Allocability:** All members of the technical review committee will review the budget, making sure that the proposed costs make technical sense, meaning that they are directly linked to an activity and that they are reasonable and necessary costs.
- **Own Contribution:** The TEC will consider grant applicant's own contribution either in-kind or cash as a priority in the award process.
- **Leveraging of Other Funding Sources:** The leveraged amount reflects commitment to the project by the applicant, and local institutions. Any applicant to be supported under the project will be strongly encouraged to leverage other funding sources including loans from banks, MFIs, or others.

Additionally, AGP-LMD will ensure environmental soundness and compliance in design and implementation as required by 22 CFR 216.



AGP-LMD will score the applications and invite the highest-ranked applicants to Stage 2. Approximately 15 Livestock Enterprise Development, 20 Strengthening Women in Livestock and 10 Strengthening Coops and Unions grant applicants will move on to Stage 2. Invitation to Stage 2 does not guarantee final approval and funding. However, applicants not approved in Stage 2 are eligible to apply for future funding.

IVB. APPLICATION STAGE TWO – SELF-ASSESSMENT, ADMINISTRATIVE AND COMPLIANCE EVALUATION

For applicants whose Grant Application Forms were accepted and invited to proceed to Stage 2, the applicants will be requested to complete a self-assessment form and provide additional information relevant to administrative and compliance evaluations based on meeting the RFA requirements and meeting all USAID rules and regulations.

SECTION V. AWARD INFORMATION

VA. EXPECTED TYPE, NUMBER, AND DURATION OF AWARDS

AGP-LMD anticipates awarding no more than \$3.5 million USD through approximately 45 awards. Each grant award will be determined during the negotiation process based on the activities proposed. The duration of any grant award under this solicitation is expected to be no more than 12 months. The estimated start date of grants awarded under this solicitation is May 15 or June 15, 2014, depending on the application category.

VB. ILLUSTRATIVE APPLICATION TIMELINE

The following is an illustrative timeline of the grants process. AGP-LMD reserves the right to make changes to the timeline as needed.

Activity	Dates
Livestock Enterprise Development Grants	
1. Request for Applications Issued	February 23, 2014
- Stage 1 Application Questions Due to AGP-LMD	
- Livestock Development Grants	March 30, 2014
- Women in Livestock	April 30, 2014
- Coops/Unions	April 30, 2014
- Stage 1 Applications Due (Grants Application Form)	
- Livestock Development Grants	March 30, 2014
- Women in Livestock	April 30, 2014
- Coops/Unions	April 30, 2014
- Technical Evaluation Committee Members Review and Score Eligible Stage 1 Applications	April 30, 2014
- March 30, 2014	April 30, 2014
- April 30, 2014	May 30, 2014
- April 30, 2014	May 30, 2014
- Successful Stage 1 Applicants Notified	May 3, 2014
- Livestock Development Grants	May 15, 2014
- Women in Livestock	June 15, 2014
- Coops/Unions	June 15, 2014
2. Stage 2 - Self-Assessment, Administrative and Compliance Evaluation and Review	May 15 - July 1, 2014
3. Submission for USAID approval/notification	June - July, 2014
4. Announce Awards	June - July 2014

VC. AGP-LMD GRANTS MANUAL

The AGP-LMD Grants Manual must be read and acknowledged by applicants whose grant application is selected for an award. An electronic copy may be obtained by requesting it from the Innovation



Fund Manager at grants@livestockmarketdevelopment.com, or in person at the AGP-LMD Addis Ababa office (3rd and 4th floor, Palm Building, CMC road).

VD. DISCLAIMERS AND AWARD ADMINISTRATION

Neither issuance of this RFA, or assistance with application development, constitute an award or commitment on the part of AGP-LMD, nor does it commit AGP-LMD to pay for costs incurred in the preparation and submission of an application. AGP-LMD reserves the following rights:

- To cancel the solicitation without making any awards;
- To reject any or all responses received;
- To disqualify any offer based on its contents or a failure to follow application instructions;
- To award only part of the activities in the solicitation, or to issue multiple awards based on the solicitation activities;
- To waive minor proposal deficiencies that can be corrected prior to award determination to promote competition;
- To independently negotiate with any applicant and to make an award without conducting discussions based solely on the written applications if it decides it is in its best interest to do so; and,
- To check applicant's references.

All grants will be negotiated, denominated, and funded in Ethiopian Birr.

All costs funded by the grant must be allowable, allocable and reasonable. Grant applications must be supported by a detailed and realistic budget as described in Section IV.

Applicants will be informed in writing of the decision made regarding their application.

VE. AUTHORITY/GOVERNING REGULATIONS

AGP-LMD grant awards are made under the authority of the U.S. Foreign Affairs Act and USAID's Advanced Directive System (ADS) 302.3.5.6, "Grants Under Contracts." Awards made to non-U.S. organizations will adhere to guidance provided under [ADS Chapter 303](#), "Grants and Cooperative Agreements to Non-Governmental Organizations" and will be within the terms of the USAID [Standard Provisions for Non-U.S. Non-Governmental Recipients](#), as well as the AGP-LMD grants procedures.

ADS 303 references three additional regulatory documents issued by the U.S. Government's Office of Management and Budget (OMB) and the U.S. Agency for International Development:

- [22 CFR 226](#): Administration of Assistance Awards to U.S. Non-Governmental Organizations
- OMB Circular A-122: Cost Principles for Nonprofit Organizations
- OMB Circular A-133: Audits of States, Local Governments, and Nonprofit Organizations

Full text of the OMB circulars can be found at <http://www.whitehouse.gov/omb/circulars/>. AGP-LMD is required to ensure that all organizations receiving USAID grant funds comply with the guidance found in these circulars, as applicable to the respective terms and conditions of their grant awards.

Under the AGP-LMD grant program, USAID retains the right at all times to terminate, in whole or in part, AGP-LMD grant-making authorities.

LIST ANNEXES:

- **Annex A** – Grant Application Form(English)



- **Annex B** – Grant Application Form (Amharic)
- **Annex C** – Applicant Self-Assessment Form
- **Annex D** – Required Certifications Package
- **Annex E** – Survey for Ensuring Equal Opportunity for Applicants
- **Annex F** – AGP-LMD Indicators





ANNEX A.

Grant Application Form

USAID/AGP-LMD Grant Application Form

Applicant Name:

Please indicate which category your organization/business is submitting an application for:

- Livestock Enterprise Development
- Strengthening Women in Livestock
- Strengthening Cooperatives and Unions

Application Form (please type your information in the boxes provided, they will expand as you type).

SECTION A: Company Profile

1	Proposal title <i>provide the project name in self explanatory way</i>	
2	Name of organization/business/individual	
3	Head of organization/business, <i>please specify if individual</i>	
4	Date of registration in Ethiopia	
5	Legal registration number in Ethiopia or ID card for individuals	
6	Type of organization/business, <i>please indicate if cooperative, private sector firm, registration number, TIN</i>	
7	Telephone	
8	Email address(es)	
9	Website address (if any)	
10	Proposed grant project start and end date	
11	DUNS (if any)	

SECTION B: Grant Project Description

1. **Company Background:**

2. **Purpose of Grant:**

3. **Market for Products:**

4. **Competitive Analysis:**

5. **Pricing and Marketing Strategy:**

6. **Management Team:**



7. Regional Focus:

Region	District(s)/Woredas	Sector(s)	Beneficiaries	
			Male	Female
<input type="checkbox"/> Tigray				
<input type="checkbox"/> Amhara				
<input type="checkbox"/> Oromia				
<input type="checkbox"/> SNNPR				

SECTION C: Use of Grant Funds and Grantee/Third Party Contributions

1. Indicative Cost of Overall Activity

Category	Amount in USD*	% of Total Cost
a. Organizational contribution		
b. Third party contribution (if any)		
c. Grant funding requested (list items such as equipment, training, technical support, operational support**)		
Total Estimated Costs		

2. Budget

Investment Costs (in USD)					
No.	Investment Type	Units	LMD Contribution	Grantee Contribution	Total Cost
	Total Investment Cost				
	Percentage of Investment		%	%	%

SECTION D: Financial Analysis

1. Income Statement

2. Balance Sheet

3. Cash Flow



SECTION E: Other Donor Funds Received

Please provide details about previously completed and/or ongoing activities for the last three years (listing the latest project first). Add additional columns where needed.

Activity Name	Funding	Duration (From/To)	Location(s)	Total Budget USD	Major Achievements

SECTION F: Impact on Women and Youth

--

SECTION G: Cost Benefit Analysis

--

SECTION H: Additional LMD Support Requested

--

SECTION I: Compliance Review (to be completed by LMD staff)

Statements <i>Please tick the relevant responses.</i>		Yes	No
1.	OFAC and SAM tests complete		
2.	D-U-N-S is obtained		
3.	Pre-award assessment/Internal review completed		
3.	Environmental impact assessment and mitigation completed		

Appendix A

Grantee Certifications

1. Grantee certifies that he/she has no financial relationship, past, present, or in prospect, with any employee, officer, or representative of CNFA AFSA.
2. Grantee certifies that grant funds will **NOT** be used for any of the following:
 - a. Military or surveillance equipment
 - b. Police or other law enforcement activities
 - c. Goods or services furnished by any firm or individual whose name appears on the “list of Parties Excluded from Federal Procurement and Non-Procurement Programs”
 - d. Repayment of external debt
 - e. Entertainment, gifts, donations, alcoholic beverages, tobacco, fines and penalties
 - f. Campaigns for public office or lobbying activities
 - g. Any unlawful activity

SIGNATURE

Name of Applicant(s): _____

Signature of Applicant(s): _____





Grant Application Form Instructions by Section

Note: The total number of pages for sections A through I may not exceed 20 pages, not including any Attachment(s).

SECTION A: Company Profile

- Item 1: Proposal title is self-explanatory.
- Item 2: Indicate name of the person or organization applying for the grant.
- Item 3: Indicate name of person heading the organization applying for the grant.
- Item 4: Date of registration in Ethiopia is self-explanatory.
- Item 5: Indicate registration number (for applying organizations) or ID number (for applying individuals).
- Item 6: Indicate legal status of organization.
- Items 7-10: Contact information and grant period is self-explanatory.
- Item 11: LMD can assist the grantee in obtaining a DUNS.

SECTION B: Grant Project Description

- Item 1: Describe the company or organization, including its development and current areas of activities or business. Highlight areas of activity relevant to the proposed grant project.
- Item 2: Indicate the overall purpose of the grant and describe in detail the background (i.e. problems, opportunities) and activities that the grant will fund.
- Item 3: Describe the market or beneficiary of the products or services that the grant project is supporting. This section should demonstrate sustainable demand for goods and/or services through a detailed description and analysis of the market.
- Item 4: Clearly describe the competition – in terms of competing products and/or services that are supported through the grant project. What are the grant applicant's plans to address the competition?
- Item 5: In this section provide details on the pricing and marketing strategy to ensure that the grant project is financially viable and/or maximizes results.
- Item 6: Describe the organization or company's management structure in general, and then provide a detailed description of the applicant's plan to manage the grant project. As much as possible give examples of who will be doing what and provide evidence that the team has the skills required to implement a successful grant project.



Item 7: Indicate the geographic coverage of the grant project, including the number of people who benefit directly from the grant project.

SECTION C: Use of Grant Funds and Grantee/Third Party Contributions

Item 1: This table provides an overview of the budget, and communicates the total contribution (and %) of the grant, the grantee, and third parties.

Item 2: All budget item need to be detailed in terms of item specification and number of units. If there is insufficient space to provide necessary detail then the grantee is required to provide annexed budget notes. If the grant project requires procurement of vehicles or pharmaceuticals, these items should be included in the grantee's contribution. The grantee should make every effort to ensure the cost of a single is not split between the grantee and the LMD grant. Ensure that the budget meets the matching requirements of the RFA.

SECTION D: Financial Analysis

Items 1-3: Financial statements include a cash flow analysis, income statement and balance sheet. The financial statement template is attached as Annex X

SECTION E: This section is self-explanatory

SECTION F: Impact on Women and Youth

Clearly describe the positive impact the grant project will have on women and youth – with a focus on improved economic opportunity and/or nutrition. Provide as much detail as possible.

SECTION G: Cost Benefit Analysis

A list of LMD's program objective indicators can be found in Annex F. In this section provide a clear description of how the grant project will help USAID/LMD to achieve these objectives. Determine which objectives are relevant to the grant project, and provide a description of the impact the grant project has related to this objectives. For an example, an objective of LMD is to create jobs. If the grant project will have impact on employment, then the grantee should estimate the number of new jobs created.

SECTION H: Additional LMD Support Requested

In this section describe any supplemental training and/or technical assistance support required to ensure that the grant project is successful.

SECTION I: Compliance Review – to be completed by LMD staff.



Applicant Self Assessment Form

This form is required to be completed by the applicant and submitted to AGP-LMD, along with the grant application. It is used as part of AGP-LMD's assessment of an applicant's adherence to eligibility requirements as well as capacity to adequately handle grant funds. It may be used in lieu of or in conjunction with other pre-award responsibility determination tools.

AGP-LMD Applicant Self-Assessment Form

Accepting a grant from AGP-LMD creates a legal duty for the Grantee to use the funds according to the grant agreement and to United States federal regulations. Before awarding a grant, AGP-LMD must assess the adequacy of the financial and accounting systems of a prospective grantee to ensure accountability.

To complete this form, answer each question as completely as possible, using extra pages if necessary. Please return your completed form to AGP-LMD.

APPLICANT INFORMATION

Name of Organization/Business:

Activity Title:

Name, Title, Contact Information of Individual Completing Questionnaire:

SECTION A: INTERNAL CONTROLS

Internal controls are procedures that ensure:

- a. Financial transactions are approved by an authorized individual and follow laws, regulations, and the organization's policies,
- b. Assets are kept safely,
- c. Accounting records are complete, accurate, and kept on a regular basis.

Please complete the following concerning your organization's/businesses' internal controls:

1. The name, position/title, and telephone number for the individuals responsible for verifying allowability of expenditures.

Name:

Title:

Telephone number:



2. The name, position/title, and telephone number for the individual responsible for maintaining accounting records:

Name:

Title:

Telephone number:

3. List the name, position/title, and telephone number for the individual responsible for preparing financial reports:

Name:

Title:

Telephone number:

4. List the name, position/title, and telephone number for the individual responsible for preparing narrative reports:

Name:

Title:

Telephone number:

5. Does the organization keep timesheets for each paid employee?

Yes: ___ No: ___

6. Is your organization familiar with U.S. Government regulations concerning costs which can be charged to U.S. grants (OMB Circular A-122 "Cost Principles for Nonprofit Organizations" or OMB Circular A-21 "Cost Principles for Educational Institutions")?

Yes: ___ No: ___

SECTION B: ACCOUNTING SYSTEM

The purpose of an accounting system is to (1) accurately record all financial transactions; and (2) ensure that all financial transactions are supported by invoices, timesheets and other documentation.

The type of accounting system often depends on the size of the organization. Some organizations may have computerized accounting systems, while others use a manual system to record each



transaction in a ledger. In either case, AGP-LMD Grant funds must be properly authorized, used for the intended purpose, and recorded in an organized and regular manner.

1. Briefly describe your organization's/businesses' accounting system including: (A) any manual ledgers used to record transactions (general ledger, cash disbursements ledger, suppliers ledger etc.); (B) any computerized accounting system used (please indicate the name); and (C) how transactions are summarized in financial reports, (by the period, project, cost categories).

2. Does your organization have written accounting policies and procedures?

Yes: ___ No: ___

3. Are your financial reports prepared on a:

Cash basis: ___ Accrual basis: ___ (Accrual = bill for costs before they are incurred)

4. Can your accounting records separate the receipts and payments of the AGP-LMD grant from the receipts and payments of your organization's other activities?

Yes: ___ No: ___

5. Can your accounting records summarize expenditures from the AGP-LMD grant according to different budget categories such as salaries, rent, supplies, and equipment?

Yes: ___ No: ___

6. How do you allocate costs that are "shared" by different funding sources, such as rent, utilities, etc.?

7. How often are financial reports prepared?

Monthly: ___ Quarterly: ___ Annually: ___

If financial reports are not prepared, then briefly explain why they are not:

8. How often do you input entries into the financial system?

a. Daily ___ b. Weekly ___ c. Monthly ___ d. Ad hoc/as needed ___

9. How often do you do a cash reconciliation?

a. Daily ___ b. Weekly ___ c. Monthly ___ d. By accountants decision ___



10. Do you keep invoices, vouchers and timesheets for all payments made from grant funds?
Yes: __ No: __

SECTION C: FUNDS CONTROL

AGP-LMD will reimburse its grant recipients by bank transfer in Ethiopian Birr to the Grantee organization's bank account based on the submission of receipts. Access to the bank account must be limited to authorized individuals.

1. Do you have a bank account registered in the name of your organization?
Yes: __ No: __

2. Are the bank account and its signatories authorized by the organization's Board of Directors, Trustees, or other authorized persons?
Yes: __ No: __

SECTION D: AUDIT

AGP-LMD may require an audit of your organization's accounting records. An audit is a review of your accounting records by an independent accountant who works for an accounting firm. An audit report contains your financial statements as well as an opinion by the accountant that your financial statements are correct. Please provide the following information on prior audits of your organization.

1. Does your organization contract and pay for regular independent audits?
Yes: __ (please provide the most recent copy) No audits performed: __

2. If regular independent audits are performed, who performs the audit?

Name:

Company:

Telephone number:

3. How often are audits performed?
Quarterly: __ Yearly: __ Every two years: __

Other: __ (explain) _____

4. If your organization does not have a current audit of its financial statements, please provide a copy of the following financial information, if available:



- a. "Balance Sheet" for your prior fiscal or calendar year; and
- b. "Revenue and Expense Statement" for your prior fiscal or calendar year.

5. Are there any reasons (local conditions, laws, or institutional circumstances) that would prevent an independent accountant from performing an audit of your organization?

Yes: ___ No: ___

If yes, please explain: _____



CHECKLIST AND SIGNATURE PAGE

AGP-LMD requests that your organization submit a number of documents along with this completed questionnaire. Complete this page to ensure that all requested information has been included.

Please complete the checklist below, then sign and return the questionnaire and any other requested documents to AGP-LMD.

1. Complete the checklist:

Incorporation papers or certificate of registration and statute have been provided to AGP-LMD.

Organizational chart, if available, has been provided to AGP-LMD.

Copy of your organization's most recent audit has been provided to AGP-LMD (Alternatively, if there has been no recent audit, then a "Balance Sheet" and "Revenue & Expense Statement" for the prior fiscal year must be provided to AGP-LMD).

All questions on this questionnaire have been fully answered.

The organization's/business' authorized agent has signed and dated this page.

The accounting questionnaire must be signed and dated by the organization's authorized Agent who has either completed or reviewed the form.

Approved by:

Print Name _____ Signature _____

Title _____ Date _____



Required Certifications Package

USAID requires that recipients sign the following certifications as a prerequisite to receiving a grant from a U.S. Government source. This applies to all institutions receiving grants from AGP-LMD.

CERTIFICATION REGARDING TERRORIST FINANCING

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

1. The Recipient, to the best of its current knowledge, did not provide, within the previous ten years, and will take all reasonable steps to ensure that it does not and will not knowingly provide, material support or resources to any individual or entity that commits, attempts to commit, advocates, facilitates, or participates in terrorist acts, or has committed, attempted to commit, facilitated, or participated in terrorist acts, as that term is defined in paragraph 3.
2. The following steps may enable the Recipient to comply with its obligations under paragraph 1:
 - a. Before providing any material support or resources to an individual or entity, the Recipient will verify that the individual or entity does not (i) appear on the master list of Specially Designated Nationals and Blocked Persons, which list is maintained by the U.S. Treasury’s Office of Foreign Assets Control (OFAC) and is available online at OFAC’s website: <http://www.treas.gov/offices/eotffc/ofac/sdn/t11sdn.pdf>, or (ii) is not included in any supplementary information concerning prohibited individuals or entities that may be provided by USAID to the Recipient.
 - b. Before providing any material support or resources to an individual or entity, the Recipient also will verify that the individual or entity has not been designated by the United Nations Security (UNSC) sanctions committee established under UNSC Resolution 1267 (1999) (the “1267 Committee”) [individuals and entities linked to the Taliban, Osama bin Laden, or the Al Qaeda 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, safe-houses, 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.

APPLICANT:

Name: _____

Signature: _____

Title: _____

Date: _____



REQUIREMENT CERTIFICATE OF COMPLIANCE

To: AGP-LMD Innovation Fund Manager

I, _____, _____, as a legally authorized
Name (Printed or Typed) Title

representative of _____
Organization/Business Name

do hereby certify that, to the best of my knowledge and belief, this organization's/business' management and other employees responsible for their implementation are aware of the requirements placed on the organization/business by OMB Circulars, and Federal and USAID regulations with respect to the management of, among other things, personnel policies (including salaries), travel, and procurement under this agreement and I further certify that the organization/business is in compliance with those requirements.

I/we, understand that a false, or intentionally misleading, certification could be the cause for possible actions ranging from being found not responsible for this award to suspension or debarment of this organization in accordance with the provisions of USAID Regulation 8.

I/we, further agree to instruct the accounting firm that this organization/business retains to perform its annual audits, as required by OMB Circular A-133, to include in their review of our internal controls sufficient testing of the implementation of our personnel, travel and procurement policies to confirm compliance with Federal and USAID requirements. The conclusions of that compliance review will be included in the A-133 audit reports submitted to the government.

I declare under penalty of perjury that the foregoing is true and correct.

Name: _____ Signature: _____

Title: _____ Date: _____

ANNEX E. Survey on Ensuring Equal Opportunity for Applicants

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

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

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

Applicant's (Organization/Business) Name: _____

Applicant's DUNS Number: _____

Federal Program: _____ **CFDA Number:** _____

1. Has the applicant ever received a grant or contract from the Federal government?

Yes No

2. Is the applicant a faith-based organization?

Yes No

3. Is the applicant a secular organization?

Yes No

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

Yes No

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

Yes No

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

3 or Fewer 15-50
 4-5 51-100
 6-14 over 100

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

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

Survey Instructions on Ensuring Equal Opportunity for Applicants

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

1. Self-explanatory.
2. Self-identify.
3. Self-identify.
4. 501(c)(3) status is a legal designation provided on application to the Internal Revenue Service by eligible organizations. Some grant programs may require nonprofit applicants to have 501(c)(3) status. Other grant programs do not.
5. Self-explanatory.
6. For example, two part-time employees who each work half-time equal one full-time equivalent employee. If the applicant is a local affiliate of a national organization, the responses to survey questions 2 and 3 should reflect the staff and budget size of the local affiliate.
7. Annual budget means the amount of money your organization spends each year on all of its activities.

ANNEX F: AGP-LMD Indicators

1. Number of Jobs Attributed to Project Implementation

This is a direct measure of improved livelihoods, as it measures the creation of employment and related income. However, the project is concerned about creation of sustainable employment, not temporary employment (of short duration such as a period of less than one month). “Jobs” refers to all types of employment opportunities created during the reporting year in livestock value chains- or rural-related enterprises (paid on-farm/off farm employment). Jobs lasting less than one month are not counted in order to emphasize those jobs that provide more stability through length. Jobs should be converted to full-time equivalents. Thus, a job that lasts 4 months should be counted as 1/3 of a unit of full-time employment (FTE). Number of hours worked per day or per week is not restricted, as work hours may vary greatly. “Attribution to FTF implementation” includes farming and non-farm jobs where FTF investments were intentional in assisting in any way to expand (or contract) jobs and where a program objective of the FTF investment was job creation.

2. Gross Margin Per Unit of Animal of Selected Product

Gross margin per animal is a measure of net income for that livestock activity. Improving the gross margin of farm commodities contributes to increasing the incomes of farmers, and thus directly contributes to the project goal of improving smallholders’ incomes. The gross margin is the difference between the total value of production of the agricultural product (milk and live animals) and the cost of producing that item, divided by the total number of units in production (number of animals for milk and live animals).

3. Value of Exports of Targeted Agricultural Commodities as a Result of the Project Assistance

This indicator will measure the value of regional and non-regional exports in USD attributable to Project assistance. Exports should be counted against the baseline of existing export levels from the previous year (existing exports before the Project interventions for the first year, and additional exports for subsequent years). Exports can include those within and outside of neighboring regions so as to avoid loss of counter-seasonal exports, which often leave the proximate region. Increased agricultural product exports signal greater competitiveness in the international market. This indicator also provides insight for program management as to whether new export markets and/or product lines have been created as a result of Project interventions.

4. Value of New Private Investment in the Livestock Sector Leveraged by the Project Implementation

This indicator measures the value of new private investment in the livestock sector leveraged due to the AGP Livestock Market Development project implementation. “Investment” is defined as any use of private sector resources intended to increase future production output or income or to improve the sustainable use of agriculture-related natural resources. The “food chain” includes both upstream and downstream investments. “Upstream investments” include any type of livestock capital used in the livestock and livestock products production process, such as tanneries, meat factories, and new dairy product lines such as ultra-high temperature

(UHT) milk processing. “Downstream investments” could include capital investments in equipment, packaging, etc. to carry out post-harvest transformation/processing of livestock products, as well as the transport of livestock products to markets. Increased investment is the predominate source of economic growth in the livestock and other economic sectors. Private sector investment is critical because it indicates that the investment is perceived by private agents to provide a positive financial return, and therefore is likely to lead to sustainable increases in livestock production and create urban and rural jobs. In addition, increase investment will expand production capacity, which will create supply-responsive markets and thereby increase livestock production by small-holder farmers. Agricultural growth is critical to achieving the Project goal to “improve smallholder incomes and nutritional status.”

5. Number of Micro, Small, and Medium Enterprises (MSMEs) Receiving USG Assistance to Access Loan

This indicator is a direct measure of program impact on promoting access to inputs (financial inputs) for participating livestock firms. Lack of access to financial capital is frequently cited as a major impediment to the development of MSMEs; therefore, helping MSMEs to access finance is likely to increase investments and the value of output (production in the case of farmers, as well as value-added livestock processing). This will directly contribute to the expansions of markets, increased livestock productivity, and the reduction of poverty. The indicator counts the total number of micro (1-5 employees), small (6-50 employees), and medium (51-100 employees) enterprises receiving assistance. Number of employees refers to full time-equivalent workers during the previous month. MSMEs include producers (farmers). Producers should be classified as micro, small or medium-enterprise based on the number of FTE workers hired (permanent and/or seasonal) during the previous 12 months. If a producer does not hire any permanent or seasonal labor, s/he should be considered a micro-enterprise. To be counted an MSME, the enterprise/producer must have received assistance from the program which resulted in a loan from any financial institution, formal or informal, including microfinance institutions (MFIs), commercial banks, or informal lenders, as well as from lenders of resources in-kind, such as equipment (e.g. tractor, plow), other agricultural inputs (e.g., fertilizer or seeds), or transport, with repayment in cash or in kind. The Project assistance may include partial loan guarantee programs or any support facilitating the receipt of a loan.

6. Number of Individuals Who Have Received Project Supported Short-term Livestock Sector Productivity Training

The indicator measures enhanced capacity for increased livestock productivity, improved food security, and policy formulation and/or implementation, which are key to transformational development. “Number of individuals who have received project supported short-term livestock sector productivity training” refers to the number of individuals to whom significant knowledge or skills have been imparted through interactions that are intentional, structured, and purposed for imparting knowledge or skills. This includes farmers, ranchers, and other primary sector producers who receive training in a variety of best practices in productivity, post-harvest management, linking to markets, feedlots, tanneries, slaughter houses and slabs, live animal traders, milk collection/bulking centers, cooperatives, savings and credit service providers, feed dealers, feed mills and manufacturers, small sale livestock processors, veterinary services, breeding ranches, artificial insemination services, laboratories, and other business development services providers. It also includes rural entrepreneurs, processors, managers and traders receiving training in application of new technologies, business management, linking to markets, etc., and training to extension specialists, researchers, policymakers and others who are engaged in the food, feed and fiber system and natural resources and water management. In-country and

off-shore training are included. This also includes training on climate risk analysis, adaptation, mitigation, and vulnerability assessments as they relate to livestock. Delivery mechanisms can include a variety of extension methods as well as technical assistance activities. The measure refers to the total number of program-assisted enterprises whose management practices (financial management, strategic planning, marketing, etc.) improved as a result of technical assistance received by the project and measured through follow-up visits and business and/or operations performance.

7. Number of Food Security Private Enterprises (for profit), Producer Organizations, Water users Associations, Women's Groups, Trade and Business Associations, and Community Based Organizations (CBOs) Receiving the Project Assistance

This indicator refers to the total number of private enterprises, producers' associations, cooperatives, producers' organizations, women's groups (comprised of five or more members), trade and business associations and community-based organizations, including those focused on natural resource management, which received the Project assistance related to food security during the reporting year. "Assistance" includes support that is aimed at strengthening organizations' functions, such as member services, storage, processing and other downstream techniques, and management, marketing and accounting. The indicator tracks firms'/organizations' capacity in areas essential to increasing the productivity of the livestock sector. The indicator also informs management on new business organizations created as a result of program interventions while expanding business-to-business networking.

8. Value of Agricultural and Rural Loans

This indicator measures the Project's impact on promoting access to finance. Increased access to finance will encourage increased investment in the sector, which will lead to increases in livestock production and create urban and rural jobs. In addition, increased access to finance will stimulate investments which expand production capacity and therefore will create supply-responsive markets for increased livestock production by smallholder farmers. This indicator measures the sum of the value of the loans made (i.e. disbursed) to producers (farmers, ranchers etc.), input suppliers, transporters, processors, and loans to other MSMEs in rural areas that are in a targeted agricultural value chain, as a result of the Project assistance during the reporting year. The indicator counts loans disbursed to the recipient, not loans merely made (e.g. in process, but not yet available to the recipient). The loans can be made by any size financial institution from micro-credit through national commercial bank, and includes any type of micro-finance institution, such as an NGO.

9. Value of Incremental Sales (collected at the farm level) Attributed to Project Implementation

This indicator will collect data on both the volume (in metric tons) and value (in US dollars) of purchases of products from smallholder producers of targeted commodities for its calculation. The value of incremental sales indicates the value (in USD) of the total amount of agricultural products sold by farm households relative to a base year. The value (in US dollars) of purchases from smallholders of targeted commodities is a measure of the competitiveness of those smallholders. This measurement also helps track access to markets and progress toward commercialization by subsistence and semi-subsistence smallholders. Improving markets will contribute to the Project IR of increased productivity and competitiveness of the three value chains, which in turn will increase income and thus achieve the Project goal.

10. Number of Farmers and Others Who Have Applied New Technologies or Management Practices as a Result of the Project Assistance

This indicator measures the total number of farmers, ranchers and other primary sector producers of livestock products, individual processors (not firms), rural entrepreneurs, managers and traders, natural resource managers, etc. that applied new technologies anywhere within the value chain the food system as a result of the Project assistance. This includes innovations in efficiency, value-addition, animal husbandry management, sustainable land management, forest and water management, managerial practices, input supply delivery. Any technology that was first applied in a previous year and that continues to be applied should be included as “continuing.” Technologies to be counted include livestock-related technologies and innovations, including those which address climate change adaptation and mitigation (including, but not limited to, carbon sequestration, clean energy, and energy efficiency as related to livestock). Technological change and its adoption by different actors in the in the value chain will be critical to increasing agricultural productivity, which is essential to the achievement of the IR of increased productivity and competitiveness of selected livestock value chains.

Paperwork Burden Statement

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