

## APPENDIX C: FULL PROPOSAL GUIDELINES

PIs with successful concept notes will be invited to submit full proposals, which must be no more than 20 pages, excluding the cover sheet, table of contents, executive summary, references, budget, budget narrative, and appendices. To encourage applications from potential new USAID partners, the Fish Innovation Lab will prepare and deliver a webinar to facilitate proposal development and preparation. The webinar will be optional, but recommended, for all applicants.

Formatting requirements for full proposals are identical to those for concept notes. Full proposal sections are described below.

**Table 1. Outline of full proposals**

<b>Content</b>	<b>Description</b>
Standard forms required for all subawardees	SF-424, Application for Federal Assistance SF-424A, Budget Information – Non-construction programs; and SF-424B, Assurances – Non-construction programs
Title page	Activity title U.S. and host-country PI, co-PI, and collaborator names, titles, departments, institutions, addresses, email addresses, phone and fax numbers Duration of the activity Total budget requested Unique Entity ID number for each partner Contact information for grant manager for each partner Authorizing signature
Table of contents	
Acronyms	A list of acronyms and their meaning used in the proposal
Executive summary	One page (does not count toward page limit for full proposals)
Technical approach	Background and context Research objectives Description of research methods Geographic focus Capacity development activities Relevance to Global Food Security Research Strategy and Feed the Future Country Plans Description of results measurement approach Description of direct or indirect effects on cross-cutting themes Data management plan <i>Cross-cutting themes must be clearly integrated across the technical approach sections as well as summarized in one section.</i>
Anticipated results and impacts	Description of expected outputs, outcomes, and potential long-term impacts Description of U.S. co-benefits Description of the activity’s contribution to the Fish Innovation Lab’s Theory of Change (Appendix A) Plans for scaling and adoption of technologies and practices Approach to MEL, including <ol style="list-style-type: none"> <li>1. Selection of optional, activity-specific Feed the Future indicators or custom indicators as needed;</li> </ol>

<b>Content</b>	<b>Description</b>
	<p>2. Proposed targets and method(s) for establishing baselines (where relevant) for custom and relevant Fish Innovation Lab core indicators; and</p> <p>3. Data quality assurance procedures and data management plan.</p> <p><i>The seven core Fish Innovation Lab indicators must be monitored and reported where relevant to activities. Other activity-specific <a href="#">Feed the Future indicators</a> or custom indicators are optional. Detailed definitions and measurement approaches for the core indicators are available in the MEL Plan that will be provided to applicants submitting a full proposal.</i></p>
Management plan	<p>Primary institution and collaborating partners</p> <p>Primary institution and collaborating partner roles</p> <p>Roles of each collaborator</p> <p>Staffing plan (including key personnel and other activity staff)</p> <p>Modalities of work</p> <p>Work plan, including quarterly or monthly timeline</p>
Anticipated environmental impacts	Detailed listing of types of possible environmental impacts and monitoring and mitigation methods.
Budget	See instructions below. Must use budget template (Appendix H)
Budget narrative	Detailed budget narrative that is clear and thorough to facilitate verification of all costs. It must provide an explanation to adequately support and/or explain proposed costs.
<i>Appendices</i>	
PI qualifications	CVs of PIs, maximum of 4 pages. <i>Use the enclosed template for CVs (Appendix D)</i>
Collaborator qualifications and support letters	CVs for all co-investigators, maximum of 4 pages. <i>Use the enclosed template for CV (Appendix D)</i> Letters of support (optional)
Conflict of interest	Complete the enclosed Conflict of Interest Form (Appendix E) for key personnel
Past performance	Complete the enclosed Past Performance Table (Appendix F)
Knowledge-sharing plan	Indicate how you plan to share knowledge generated by the activity in the host country and beyond.
USAID certifications, assurances, representations, and other statements of the recipient	Must be completed by each institution (Appendix G)
Other documentation	Indirect rates, fringe rates, etc.

## **BUDGET**

For the full proposal, the proposal budget and budget narrative must be submitted in Microsoft Excel and Microsoft Word and must use Times New Roman font in 11-point or larger size. Scanned PDF documents may be used for information requiring signatures and copies of documents.

The applicant must provide a detailed budget in USD delineated by year with a budget total that indicates the basis of the estimate and/or the assumptions on which the estimate is based. The budget must include

any necessary supporting schedules and narrative explanation to adequately support and/or explain proposed costs.

At least 50% of the total budget amount must be spent in one or more of the target countries. The budget narrative should delineate the amount of budget allocated by 1) Area of Inquiry, 2) country, and 3) capacity-development activities. Please note that training of graduate students at host country universities is strongly encouraged, and proposals that incorporate this approach will be favorably reviewed.

The budget and budget narrative must include the following:

- **Direct salaries and wages:** Include names, titles, number of units (days, months, or Full-time Equivalent [FTEs]) for each position. Salary increases adjusted to inflation are allowed.
- **Fringe:** If not included in direct salaries and wages, indicate fringe rates per positions proposed, and fringe costs for each individual (e.g., health insurance, pension, commuting benefits, etc.).
- **Consultants:** Include name, title, name of institution (if known), number of units (days, months, or FTEs), proposed unit rate, and total consultant costs for each proposed consultant.
- **Travel, transportation, and per diem:** Follow the USAID standard provisions “Travel and International Air Transportation” and “Ocean Shipment of Goods.” For the PI, include the cost of international travel each year to the annual Fish Innovation Lab meeting (2 days), and to attend one regional meeting in the project’s target region during the award. Include lodging and subsistence costs in accordance with your institution’s established policies and practice (or the U.S. Government General Services Administration per diem rates; <https://www.gsa.gov/travel/plan-book/per-diem-rates/>) for each trip, location, number of days, and the daily rate. Also include miscellaneous travel expenses such as ground transportation, shuttle/transfers, visa fees, etc. Non-U.S. per diem rates can be found at [https://aoprals.state.gov/web920/per\\_diem.asp](https://aoprals.state.gov/web920/per_diem.asp).
- **Overseas allowances:** Follow your institution’s established policies and practice for overseas allowances (excluding per diem and shipping/storage allowances, which shall fall under “Travel, transportation, and per diem”).
- **Nonexpendable equipment:** Provide a detailed budget breakdown for purchases of nonexpendable equipment, including type, quantity, unit price, and total cost. This includes items which equal or exceed the lesser of A) \$5,000 or B) the recipient’s or subrecipient’s capitalization threshold for financial statement purposes.
- **Training costs:** Provide a detailed budget breakdown for all training-related costs (if any), including number of participants, travel, per diem, registration, training materials, etc.
- **Other direct costs:** Include expenses such as branding and marking, mitigation of environmental impacts, MEL data collection and management, communications, postage, passport/visas, medical exams/inoculations (for international travel), medical evacuation insurance, expendable supplies and materials, and publication costs. Provide the basis for each estimate, including type, quantity, unit price, etc. as applicable. Costs for mitigation of environmental impacts and MEL data collection and management are the responsibility of the grantee, and associated costs should be included in the project budget.
- **Tuition:** Tuition fees are allowed as outlined and described in 2 Code of Federal Regulations (CFR) 200 ([http://www.ecfr.gov/cgi-bin/text-idx?tpl=/ecfrbrowse/Title02/2cfr200\\_main\\_02.tpl](http://www.ecfr.gov/cgi-bin/text-idx?tpl=/ecfrbrowse/Title02/2cfr200_main_02.tpl)).
- **Subaward:** If applicable, the lead applicant must provide a detailed line-item budget breakdown by year and summary budget as described in this budget section and amount of each line item to be subawarded to each partner institution.
- **Contracts:** If your proposal includes vendor services, include them as separate line items in the budget.

- **Modified Total Direct Costs (MTDC):** Excludes equipment, capital expenditures, charges for patient care, rental costs, tuition remission, scholarships and fellowships, participant support costs and the portion of each subaward in excess of \$25,000. MTDC should be used when calculating indirect cost.
- **Indirect cost (overhead):** Applicants may elect to charge a minimum rate of 10% of modified total direct costs as per 2 CFR 200.414(f) ([http://www.ecfr.gov/cgi-bin/text-idx?node=se2.1.200\\_1414&rgn=div8](http://www.ecfr.gov/cgi-bin/text-idx?node=se2.1.200_1414&rgn=div8)). Exceptions will apply to institutions that have a Negotiated Indirect Cost Rate Agreement (NICRA) with the US Government or are a Public International Organization that consistently charge the rate throughout their projects and have the rate formally documented in their policies. Applicants with these exceptions must submit copies of their NICRA or institutional policy.

## **CROSS-CUTTING THEMES**

Each full proposal should clearly address the **following guiding questions:**

- How will your proposed research directly or indirectly address gender and other social inequalities in aquatic food systems?
- How will your proposed research directly or indirectly foster youth engagement in productive economic activities in aquatic food systems?
- How might the proposed research improve access to aquatic and fish-based sources of nutrition for the poorest and other marginalized groups?
- How will your proposed research directly or indirectly help identify, improve, or foster specific capacities of aquatic food system actors to mitigate or manage shocks and stresses to aquaculture and fishery operations?
- How will your proposed research directly or indirectly improve specific capacities of aquaculture and fishery operations, including community-managed systems and small-scale farms, to adopt improved and sustainable practices to improve livelihoods?

At the concept note stage, it is not expected that these questions will be fully addressed, but short descriptions of how the activity will address each cross-cutting theme should be included.

## **EVALUATION CRITERIA**

Full proposals will be evaluated on the following criteria:

### **Scientific quality (30%)**

- Clear research focus, approach, and methods that show significant potential for innovation and will be conducted by a research team with demonstrated capacity and track record.
- Research design and methods are appropriate for the proposed Area of Inquiry and the Fish Innovation Lab Theory of Change.
- Proposed research is grounded in theoretical frameworks building from the existing evidence base, where possible.
- Proposed research shows the potential for novel insights and important impacts within one or more Fish Innovation Lab Areas of Inquiry.

### **Relevance and alignment with Fish Innovation Lab priorities (25%)**

- Research clearly addresses at least one Fish Innovation Lab Area of Inquiry and describes how the activity outcomes will contribute to the Fish Innovation Lab Theory of Change and, hence, Feed the Future goals.
- Relevance and/or value-addition of the proposed research to the needs and priorities of the region in terms of identified gaps in practice and research.
- Clear integration of cross-cutting themes (gender and social inclusion, resilience, and capacity development), demonstrated by clearly addressing the questions outlined under Application Submission Requirements.

### **Potential impacts for adoption and scaling (25%)**

- Description of expected activity outputs (deliverables) and clear causal framework demonstrating how those outputs contribute towards outcomes along with complementary actions or contributions needed and recognition of what is and is not within the sphere of influence of the activity.
- Clear description of expected activity outcomes (expressed as changes and effects that the activity will bring about in different parts of society).
- Identification of long-term impacts that the activity intends to address.
- Interaction with an appropriate mix of actors in ways that are relevant for identified outcomes and outputs.
- Clear strategy and capacity for engaging with community, producers, fishers, and/or industry to ensure the uptake of outputs and achievement of the identified outcomes.
- Details on communication and dissemination plans for activity results.

### **Feasibility, institutional qualifications, and implementation plan (20%)**

- Realistic work plan and an appropriate monitoring strategy.
- Explanation of how this research represents good value for money, particularly the relationship between the investment and the potential for impact.
- Qualifications of U.S. and host-country PIs and the research team.
- Inclusion of a U.S minority-serving institution
- Budget justification and alignment with research objectives.

Proposal scores will be used to assist the ME in selection of funded activities upon approval by the USAID AOR. However, the ME is selecting a *portfolio* of research to address the breadth and scope of Fish Innovation Lab priorities, and it reserves the right to make activity selections based both on proposal score and portfolio needs. After selection, all activities will undergo a co-creation process with the Fish Innovation Lab ME to ensure the scope of work, location, and/or timing of a proposed activity align with the Fish Innovation Lab Theory of Change and research priorities as well as the Feed the Future country strategy for the host country. During co-creation, the Fish Innovation Lab ME reserves the right to request revisions to the proposed research activity prior to final selection. All final selected research activities are subject to USAID AOR approval before they can be funded.