



# FEED THE FUTURE

The U.S. Government's Global Hunger & Food Security Initiative

## Feed the Future Innovation Lab for Fish Request for Applications (RFA) No. RFA-FIL-24-000001

Important dates	
Release date	April 15, 2024
Deadline for submission of written questions	April 24, 2024
Posting of responses to written questions	May 3, 2024
Deadline for submission of concept notes	May 15, 2024
Invitations for full proposals	June 5, 2024
Informational webinar for invited full proposal teams	June 12, 2024
Deadline for submission of invited full proposals	July 24, 2024
Award notifications	September 3, 2024

All concept notes and proposals must be submitted to Piestar RFX system before 5:00 p.m. Eastern U.S. time on the date indicated above (<https://fish.piestar-rfx.com/opportunities>).

To maintain the integrity of the competitive process, *the Management Entity of the Feed the Future Innovation Lab for Fish, the Mississippi State University Global Center for Aquatic Health and Food Security, will only provide written answers to written inquiries about the RFA that are submitted before or by the deadline of April 24, 2024. Inquiries should be submitted by email to [fishlab@gcahfs.msstate.edu](mailto:fishlab@gcahfs.msstate.edu). Please note that USAID staff, including Mission staff, will be unable to advise or provide information to potential applicants that would be used in preparation of the application.* Applicants, therefore, are advised not to contact Mississippi State University faculty or staff, USAID Mission staff, or any other USAID staff members regarding this RFA except to submit written questions to the Fish Innovation Lab at Mississippi State University before the April 24 deadline. Information on Mission/Feed the Future strategies and programs can be accessed from <https://www.feedthefuture.gov/countries> and Mission websites (<https://www.usaid.gov/where-we-work>). Teams invited to submit full proposals will also have a chance to submit questions during an informational webinar to be held on June 12, 2024. Responses to questions submitted during the webinar will be distributed in writing to the respective teams.



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**ACRONYMS LIST**

AI	Areas of Inquiry
ADS	Automated Directives System
AOR	Agreement Officer's Representative
CFR	Code of Federal Regulations
FAO	Food and Agriculture Organization of the United Nations
FTE	Full-Time Equivalent
GCAHFS	Global Center for Aquatic Health and Food Security
ME	Management Entity
MEL	Monitoring, Evaluation, and Learning
MSI	Minority-Serving Institution
MSU	Mississippi State University
NGO	Nongovernmental Organization
NICRA	Negotiated Indirect Cost Rate Agreement
PI	Principal Investigator
RFA	Request for Applications
SAM	System for Award Management
USAID	U.S. Agency for International Development
USD	U.S. Dollars
USG	U.S. Government
WEAI	Women's Empowerment in Agriculture Index

## **A. PROGRAM DESCRIPTION**

### **BACKGROUND**

Feed the Future is the U.S. Government's global hunger and food security initiative. Funded by the U.S. Agency for International Development (USAID), the Feed the Future Innovation Lab for Fish (Fish Innovation Lab) has the overarching goal of alleviating poverty and improving nutrition, especially for marginalized populations, through the reliable and inclusive provision of nutrient-rich fish and other aquatic foods. To achieve this goal, the Fish Innovation Lab will fund country-focused research-for-development activities implemented through competitive research grants. These grants will form an integrated and multidisciplinary research program that enables the long-term sustainable development of aquaculture and wild-caught fisheries systems in priority geographies. The Management Entity of the Fish Innovation Lab, the Mississippi State University Global Center for Aquatic Health and Food Security, coordinates and manages this global research-for-development program.

Fish and other aquatic foods are important animal-source foods, rich in bioavailable macro- and micronutrients. They contribute to about 17% of globally consumed animal-source foods (FAO, 2022), making them among the most traded agricultural commodities in the world. By continuing to include fish and aquatic foods in its programming, Feed the Future can more fully achieve its goals of inclusive and sustainable agriculture-led economic growth, strengthened resilience among people and systems, and a well-nourished population, especially among women and children. To meet the growing demand for healthy, high-quality foods, reduce potential conflicts over natural resources, adapt to climate change impacts, and ensure inclusive access to fish and other aquatic foods, innovations are needed in both aquaculture and the management of wild-caught fisheries to foster sustainable, resilient, inclusive, and profitable aquatic food systems.

The aquaculture and fisheries sectors are critical to global food security for the following reasons: **1) Fish and other aquatic foods can provide critical limiting nutrients to vulnerable populations**, including high-quality proteins, long-chain fatty acids, and vitamins A, B12, zinc, iron, and selenium. In many of the Feed the Future target countries, fish are the primary animal-source food; thus, increased consumption of fish, fish products, and/or other aquatic foods has potential to reduce childhood stunting and improve brain development and function. **2) Fish are one of the most widely traded agricultural commodities worldwide**; thus, increased trade (local and regional) has potential to improve livelihoods and increase incomes. **3) Aquaculture and fisheries provide formal and informal employment opportunities** for women and youth. **4) Aquaculture enables diversification of farming systems** through opportunities such as integrated aquaculture, providing increased income and climate resilience for producers. **5) Implementation of climate-smart aquaculture and fisheries systems offers important opportunities to help communities adapt to climate change impacts, while also providing potential for producing important animal-source foods while reducing carbon emissions.** These approaches are critical to mitigate climate impacts on smallholder producers and fishers and to preserve biodiversity in aquatic ecosystems.

**This Request for Applications (RFA) focuses on Feed the Future target countries in Africa and Asia.** Specifically, the Fish Innovation Lab will prioritize selection of funded activities in four focus countries: Bangladesh, Kenya, Nigeria, and Zambia. Other high-priority Feed the Future target countries that may be considered for funding selected activities include Ghana, Madagascar, Nepal, Senegal, Tanzania, and Uganda.

## FUNDING STRATEGY

Since 2010, the Feed the Future ([www.feedthefuture.gov](http://www.feedthefuture.gov)) initiative has worked to sustainably reduce global poverty and hunger among some of the world's most vulnerable communities. The U.S. government's Global Food Security Research Strategy (<https://www.feedthefuture.gov/resource/u-s-government-global-food-security-research-strategy-fy22-26/>) directs research investments under Feed the Future toward three major themes:

1. Climate-smart agricultural innovation
2. Nutrition and food systems
3. Genetic improvement of crops and livestock, including fish

The Fish Innovation Lab links and manages research partners around the globe to identify, adapt, and scale promising methods and technologies for local aquaculture and fisheries. The Fish Innovation Lab funds **research for development**, which generates knowledge in the form of technologies, practices, and approaches to transfer to local stakeholders and impact development outcomes. Research for development requires scientific rigor, awareness of local context, and building of relationships to enable adoption and scaling. It is not an abstract quest for fundamental knowledge and the improvement of scientific theories, nor is it the straightforward delivery of goods and services associated with development work. The agricultural research supported by USAID is designed using "impact pathways" that connect research outputs to development outcomes. This thoughtful design is not only critical for success but is also mandated by the U.S. Congress. The Fish Innovation Lab's three approaches to achieve its development outcomes are

1. **Generate, translate, and make findings available for transfer of impactful research results** that promote sustainable and resilient aquatic resource management, contribute to carbon neutral productivity, enhance food safety and nutrition security, and improve the functionality of aquatic food systems in designated countries. Through this research, the Fish Innovation Lab aims to improve sustainable and climate-smart productivity, strengthen resilience of small-scale aquatic food producers and fishers to better respond to shocks and stress, enhance inclusive market access, improve food security and livelihoods, and promote responsible aquatic resource management.
2. **Develop capacity of local partners** to independently generate, translate, and transfer aquatic-foods-related knowledge, technologies, and innovations to end users during and beyond the project period. Institutional and individual capacity development is accomplished through cooperative learning programs, which include jointly directed students conducting research and earning degrees or certifications in their home country. This includes strengthening capacity to analyze data, publish research, and attend and present at conferences. In addition to the actors engaged in the local research systems, the Fish Innovation Lab will develop capacity of local partners by engaging potential end users in the research development process, which is expected to support better adoption of innovations developed by the research activities (See Appendix B).
3. **Increase adoption and scaling of innovations**, in the form of technologies, practices, and approaches. This will expand opportunities for scaling to sustainably improve fish and aquatic foods production, enhance nutrition and access to high-quality, safe aquatic foods, and improve inclusive access to key inputs for aquatic food production. The Fish Innovation Lab aims to boost adoption and scaling by involving actors from the public and private sectors, community-based participants, and other local stakeholders. This approach ensures locally led development, enhances local research systems, and strengthens local capacity to adopt, scale, and sustain aquatic system innovations.

## SCOPE OF WORK

All proposals must address one or more sub-themes listed under the three major Areas of Inquiry (AI) detailed below. All proposals must also directly or indirectly address the following cross-cutting themes within the context of the specific activity, as defined by USAID: 1) gender and social inclusion, 2) resilience, and 3) capacity development. At the full proposal stage, all proposals will be expected to describe a clear strategy and capacity for engaging with communities, producers, fishers, and/or industry as well as a plan to support local stakeholders in testing, adopting, and/or scaling of new technologies or improved practices.

### Areas of Inquiry

**AI-1: Climate-smart aquatic system innovations.** Research under this AI will result in technologies, practices, and approaches that enable environmentally sustainable solutions in aquaculture production and fisheries management practices that will improve livelihoods; strengthen resilience of individuals, communities, and systems; and promote equitable and sustainable use of aquatic resources.

*Research Strategy Theme: This theme emphasizes the research and development of scalable technologies, practices, and approaches that enhance the capacity of fish farmers, fishers, and their communities to adapt to the accelerating effects of climate change while improving production systems to reduce emissions and enhance carbon storage in aquatic habitats. The Fish Innovation Lab will implement community-based and integrated research and knowledge co-production approaches to improve the productivity of aquaculture and fisheries systems and ensure social and environmental sustainability. This will facilitate improvements in farm efficiency, wild harvest systems, and biodiversity that will yield social benefits and ecological savings, which are critical to improving climate adaptation. Sub-themes include*

- a. Development of climate-smart aquaculture production systems;
- b. Aquaculture technology improvement, including integrated aquaculture-agriculture systems;
- c. Sustainable fisheries management, including shoreline harvesting; and
- d. Aquatic production systems that protect ecosystem vitality and biodiversity, promote social equality, and advance good governance.

These research activities will explore solutions for addressing climate-related challenges faced by smallholder aquaculture farmers/producers, fishers, traders, retailers, and consumers. These initiatives are driven by the need to strengthen resilience of the different actors of aquatic food systems given the obstacles posed by climate change. Outcomes of these activities should align with USAID-supported goals to increase food security through sustainably increased aquatic food production and consumption, aligned with USAID's Biodiversity Policy.

**AI-2: Nutrition and food systems.** The nutrition and food systems research area will generate evidence on improving human nutrition by using aquatic foods sustainably and equitably.

*Research Strategy Theme: Using a food systems approach, research conducted under this AI will result in technologies, practices, and approaches that improve human nutrition by leveraging fish and other aquatic foods to enhance access to diverse diets, increasing food safety along aquatic food value chains, and promoting inclusive access to aquatic food value chains. Ensuring access and food safety of aquatic foods for vulnerable populations is important under this theme, targeted by phases in the life course (e.g., pregnant and lactating women, infants and young children, school-age children and adolescents, and older*

*adults) or background nutritional status (e.g., high prevalence of stunting, nutrient deficiencies, compromised development, or poor-quality diets). Sub-themes include*

- a. Integrated interventions to improve nutrition security and food environments (availability, affordability, quality, convenience, promotion, and sustainability);
- b. Sustainable, healthy aquatic food systems, climate-smart fish value chains (including distribution and trade), and processing technologies;
- c. Food safety in fish products, fish processing, and postharvest handling to mitigate food loss and waste; and
- d. Inclusion of marginalized groups in fish and other aquatic food value chains, including access to output markets.

Research under this area will develop integrated solutions that encompass different elements of aquatic food value chains spanning production, distribution, and consumption, accounting for environmental, institutional, cultural, economic, and social factors associated with aquatic food systems. This comprehensive approach is designed to address nutrition, income, and food insecurity issues among marginalized groups and communities in priority countries. The Fish Innovation Lab ME anticipates that enabling and enhancing opportunities for women, youth, and other marginalized groups to work in aquaculture and fisheries will impact the USAID-supported goal of equitable workforce participation and improved livelihoods. Furthermore, ensuring more equitable access to high-quality, safe sources of aquatic foods will result in improved dietary diversity and nutrition among marginalized groups.

**AI-3: Inclusive access to improved inputs.** Activities under this AI will conduct research to address input-related gaps in the aquaculture and fisheries sectors.

*Research Strategy Theme: Access to quality and affordable seedstocks and feeds remains a problem for fish farmers, and reliance on wild-caught fish for fish meal and fish oil continues to put pressure on fisheries. Moreover, access to services such as veterinary services and extension is weak or poorly developed. Therefore, the Fish Innovation Lab will prioritize research that enhances inclusive access to and benefits from quality feed and seedstocks, including genetically improved fish and innovative approaches to veterinary and extension services. Research in this area will result in technologies and practices that improve inclusive access to inputs and services and help fish farmers reduce, manage, and mitigate risks to support resilient, prosperous, and well-nourished individuals, households, and communities. For fishers, this research will support the development of technologies, practices, and approaches that reduce pressure on fisheries and optimize fish supply. Fish farmers are also impacted by production losses due to poor husbandry and disease losses, an area that can be improved through research on fish health and aquaculture biosecurity. Overall, research in this area will support income growth, improve diets, and promote natural resource conservation. Sub-themes include*

- a. Fish health and aquaculture biosecurity;
- b. Improved fish feed quality, including fish meal and fish oil replacement; and
- c. Improved fish broodstocks and seedstocks through enhanced fish genetics and selective breeding.

These research activities will result in improved and accessible broodstocks, seedstocks, and feeds; enhanced biosecurity and diagnostic infrastructure and services to support the aquaculture industry; decreased producer dependence on antimicrobials and chemical treatments; and increased resilience of aquaculture and fisheries to natural and anthropogenic shocks.

## **CROSS-CUTTING THEMES**

Each research proposal must clearly and convincingly integrate all three cross-cutting themes described in this section into its core research design and approach. Each theme is central to the U.S. Government's Global Food Security Research Strategy (<https://www.feedthefuture.gov/resource/u-s-government-global-food-security-research-strategy-fy22-26/>) and therefore must be reflected in all activities conducted under the Fish Innovation Lab.

### **Gender and social inclusion**

USAID's inclusive development approach is that *every person* is instrumental in the transformation of their own societies, and that their inclusion throughout the development process leads to better outcomes. Inclusive development requires intentional proactive efforts to include marginalized groups, including women and girls, youth and elderly, persons with disabilities, LGBTQ people, displaced persons, migrants, indigenous people, religious or political minorities, and people in lower castes or economic classes. All activities funded by the Fish Innovation Lab must be in alignment with USAID's 2023 Gender Equality and Women's Empowerment Policy and follow USAID's inclusive development guidance.

Concept notes and full proposals must include a strategy that incorporates one or more of the following approaches to inclusive development: 1) the use of qualitative or quantitative methods, such as barrier analysis, individual in-depth interviews, focus group discussions, inclusive development analyses, gender assessments or surveys (e.g., Project Level Women's Empowerment in Agriculture Index [Pro-WEAI] <http://weai.ifpri.info/versions/pro-weai/>) to identify barriers to—and incorporate opportunities for— inclusive development; 2) implementation among women and men fish farmers and fishers across all representations, with emphasis on women, youth, and any other marginalized groups, and collection of data disaggregated by sex, age, and any other relevant identity markers to capture inclusive involvement at different stages of aquatic food value chains; 3) informing culturally and technically appropriate program interventions by the awardee that make aquatic-food-related income-generating opportunities equally available to women and men, across all representations, with emphasis on women, youth, and any other marginalized groups; and 4) informing culturally and technically appropriate program interventions by the awardee that strengthen enabling conditions for engagement of women, youth, and any other marginalized groups and are both sustainable and scalable. Resources, including policies, definitions, and trainings can be found online: <https://www.usaid.gov/what-we-do/gender-equality-and-womens-empowerment> and <https://www.usaid.gov/inclusivedevelopment>. At the full proposal stage, all applicants will be required to complete inclusive development training as specified by the Fish Innovation Lab.

### **Resilience**

Resilience is a critical component of USAID's work to improve food security and reduce poverty. The Fish Innovation Lab understands resilience as the ability of vulnerable groups reliant on income, food, and nutrition from aquaculture and fisheries to mitigate, adapt to, and redesign from shocks and stresses. Many practitioners increasingly recognize aquatic food value chains as a driver of food security and income despite being affected by shocks and stresses. Maintaining healthy and productive aquaculture and fisheries is critical to continued resilience of coastal residents and small-scale fish farmers and families who rely on both for income and nutrition. Shocks and stresses can include extreme weather events, unusual fluctuations in temperature, salinity, currents and rain, floods, disease outbreaks, and anthropogenic stresses and shocks. Given these considerations, each research proposal and activity must define how it contributes (or has the potential to contribute) to resilience and risk mitigation at different stages of aquatic food management and production, including value chains, and at the household and/or system level. Specifically, each research proposal must include how it will help identify, improve, or foster specific capacities of households, value-



chain actors, or the systems in which they work to mitigate or manage shocks and stresses to aquaculture and fisheries management, operations, and livelihoods. Proposals should also highlight linkages to resilience at the community level and in food systems (for the FAO definition of food systems, see <https://www.fao.org/climate-smart-agriculture-sourcebook/production-resources/module-b10-value-chains/chapter-b10-2/en/>). With an understanding of the existing risks and shocks to the system, research teams will be able to better understand facilitators and barriers to adoption. For additional information, please see USAID's Resilience page: <https://www.usaid.gov/resilience>.

### **Capacity development**

All proposals must delineate activities promoting local capacity development in the host country and should address capacity development in at least one of the ways described below:

- a. Individual capacity is strengthened by enabling people to develop and use the competencies required to do their jobs well.
- b. Organizational capacity is built by establishing and sustaining entities of all types (including universities and the private sector) that take responsibility for sustainable aquaculture and fisheries development.
- c. Systems-level capacity is built by creating an enabling environment that economically and culturally recognizes the value of aquatic foods for food security and enables the aquaculture and fisheries sectors to sustain and thrive.

Graduate student training is a key component of capacity development through Feed the Future Innovation Labs. Training of graduate students at host country universities is strongly encouraged, and proposals that incorporate this approach will be favorably reviewed.

### **APPROACH**

All proposed activities must support USAID and Feed the Future objectives. All activities must align with the host country's Feed the Future Country Plan (<https://www.feedthefuture.gov/countries/>), which includes delivering outcomes in the identified Feed the Future Zone of Influence in the host country.

All applications must include a host-country institution. Typically, the host-country institution is a local university. Other eligible institutions include international agricultural research centers, nongovernmental organizations (NGOs), private-sector partners, extension providers, nonprofit organizations, or development organizations such as the Food and Agriculture Organization of the United Nations (FAO). Applicants are strongly encouraged to involve at least one U.S. university. Either a U.S. university or the host-country institution may serve as the lead organization. Participation or leadership by a U.S. minority-serving institution (<https://cmsi.gse.rutgers.edu/msi-directory>) is strongly encouraged.

Applicants should demonstrate knowledge and, if appropriate, linkages to the work of other relevant projects to avoid unnecessary duplication and maximize results. Linkages to the private sector and extension providers are encouraged. Collaborations with international development organizations, such as WorldFish and FAO; national development organizations, such as UKAID and Australian AID; and private development organizations, such as the Bill and Melinda Gates Foundation, are encouraged. Linkage to complementary USAID initiatives, such as ELEVATE Nutrition, are also encouraged. Integration of volunteer experts in activities, especially through formal volunteer programs, such as the USAID Farmer-to-Farmer Program (<https://farmer-to-farmer.org>), are encouraged.

Proposals must state explicitly how suggested activities connect to the Fish Innovation Lab Theory of Change (Appendix A), which posits that ***IF** Fish Innovation Lab research and capacity strengthening*

*activities develop scalable solutions in the areas of climate-smart aquatic system innovations, nutrition through increased consumption of safe aquatic foods (especially for marginalized groups), and inclusive access to improved inputs in the aquaculture and fisheries sectors, AND scaling partners facilitate adoption of these solutions, **THEN** goals of sustainable and climate-smart productivity, resilience to shocks and stress, inclusive market access, improved food security and livelihoods, and responsible aquatic resource management will be achieved.*

Funding priority will be given to research activities that explicitly link improved technologies and practices for climate-smart production, nutrition security and sustainable, healthy aquatic food systems, and inclusive access to inputs to development outcomes that impact end users in aquatic food systems. Research proposals must state explicitly how the proposed activity will address the cross-cutting themes of gender and social inclusion, resilience, and capacity development. Research proposals must also detail the proposed activity's approach to setting targets for core Fish Innovation Lab indicators and any identified custom indicators (see Monitoring, Evaluation, and Learning in Section D). Priority will be given to proposals that clearly delineate the pathways through which technologies and practices are most likely to be adopted and scaled, including who the next users and target end users are for adoption and handoff for sustainability beyond the life of the proposed activity.

## **OUTREACH AND COMMUNICATIONS**

Principal Investigators (PIs) will contribute to Fish Innovation Lab outreach and communications activities, which may include contributing to the Fish Innovation Lab website, newsletter, and/or technical briefs. Each activity will be expected to present research results at appropriate professional society meetings (such as the World Aquaculture Society or World Fisheries Congress) and publish in peer-reviewed journals with appropriate Fish Innovation Lab and USAID funding acknowledgement.

PIs will be required to participate in quarterly Fish Innovation Lab online meetings, in-person regional-specific meetings, and in-person annual Fish Innovation Lab meetings. The Fish Innovation Lab will host one regional meeting in each focus country over the life of the program. Investigators involved in funded research activities are expected to participate in person at the relevant country's regional meeting, which must be included as part of the budget of each proposal. These meetings will be region-specific, multi-stakeholder forums convened by the Fish Innovation Lab ME to facilitate continuous knowledge sharing, form collaborations, discuss plans to scale effective technologies, and develop strategies for improving fish and aquatic foods production and consumption. Participants will consist of key stakeholders including representatives of USAID Missions, public and private institutions, educators, policymakers, farmer cooperatives and associations, NGOs, and other interested stakeholders. When appropriate, active involvement of PIs in other networks will be encouraged to promote sharing results and scaling of technologies and practices. Each activity must include budget funds for the host country PIs to travel to one regional meeting held in the activity's relevant host country.

The ME will hold one annual in-person Fish Innovation Lab meeting in the U.S. or a Fish Innovation Lab focus country. Attendance by the U.S. PI or host country PI for each activity will be required (depending on location of the meeting), and each activity budget is required to include funds for travel and participation in the two-day meeting. Attendance by other co-PIs and collaborating partners is encouraged, but not required. Annual reporting and progress review by the USAID Agreement Officer's Representative (AOR), Fish Innovation Lab ME, and External Advisory Board will be conducted at the annual meeting.

## **GEOGRAPHIC SCOPE AND COUNTRY PRIORITIES**

This RFA solicits proposals focusing on the Fish Innovation Lab primary focus countries of Bangladesh, Kenya, Nigeria, and Zambia. Other high-priority countries included in the scope of this RFA are Ghana, Madagascar, Nepal, Senegal, Tanzania, and Uganda.

USAID country-specific priorities are available in the Feed the Future Country Plans. All funded Fish Innovation Lab activities must support advancement of the host country's USAID/Feed the Future country strategy. Furthermore, all funded Fish Innovation Lab activities must deliver outcomes to end users in the Feed the Future Zone of Influence for the host country.

Links to Feed the Future Country Plans can be found on the Feed the Future website: <https://www.feedthefuture.gov/countries/>

Funding priorities for the Fish Innovation Lab primary focus countries have been identified based on stakeholder feedback and expert consultations and are listed below. Proposed activities are encouraged to address one or more of these priorities, but proposals are not required to directly address the priorities from this list if sufficient justification is provided. Similarly, priorities for one country may be relevant for other countries and can be indicated in proposals accordingly.

### **Bangladesh**

- Genetic improvement of carp species of aquaculture and economic importance in Bangladesh, and development and scaling of technologies to support preservation and dissemination of genetically improved seedstocks, such as cryopreservation.
- Floodplain aquaculture and inland depressed waterbody management: research to support enhancement of fish productivity and diversity through fisheries management, including mapping of physical and biological resources in inland open water and floodplain ecosystems and implementation of a community-based approach.
- Infectious disease control: research to reduce disease losses in farmed tilapia, carp, and pangasius, particularly using vaccines and good aquaculture practices to reduce antimicrobial use.
- Development and testing of interventions to reduce risk of foodborne contamination of processed fish, including infectious agents and toxicants.
- Advanced aquaculture feed formulations to maximize nutrient absorption and minimize waste, reducing environmental impact for aquaculture in Bangladesh, especially using locally available and sustainable ingredients.
- Safety, nutrition, and economics of value-added and ready-to-eat aquatic foods.
- Market, infrastructure, and industry linkages of aquatic food systems in Bangladesh, including scaling and impact analysis, analysis of technology adoption and dissemination, and multidisciplinary co-creation and innovation bundles.
- Integrated aquaculture-agriculture production and management for the improvement of livelihood and nutrition status of communities, especially marginalized coastal communities.
- Community-based approaches to environmentally sustainable mariculture development involving local communities in decision-making processes and resource management to empower coastal populations, alleviate poverty, and improve nutritional access and livelihoods.
- Research to better understand the role of women in aquaculture and fisheries value chains in Bangladesh and inform strategies to increase women's equitable and sustainable access to these value chains.

## Kenya

- Development of stakeholder demand-driven solutions to bottlenecks in the growth of privately owned aquaculture, including technology development and access to affordable fish feed and quality seedstocks.
- Investigating the impact of aquaculture species/products on the poverty status, food security, and nutrition of individual household members or the wider community, including the influence of socioeconomic factors, culture, and gender relations on nutritional outcomes from aquaculture.
- Evaluation of aquaculture systems and species, including seaweed mariculture, to determine appropriate and environmentally sustainable options to improve livelihoods, foster inclusive economic development, and improve food security and nutrition.
- Research to enhance access to high-quality aquaculture seedstocks, including community-based breeding and aquatic foods nursery programs.
- Research to enhance access of women and women's groups to credit for fish and aquatic foods farming and benefits from government services, and investigating whether women's involvement in aquaculture enhances their input in intra-household decisions regarding fish sales and use of income.
- Research to determine pathogens of concern in Kenya aquaculture and disseminate knowledge on management practices to reduce disease losses.
- Research to promote sustainable fishing practices, including development of selective fishing gear and engagement of youth to promote long-term preservation of ecosystems and fisheries viability.
- Research on value addition and safe processing of fish and aquatic foods to develop products such as fish fillets, smoked fish, fish powder, and algae.

## Nigeria

- Genetic broodstock analysis and improvement for catfish and tilapia to support broodstock management with scaling up of seedstock supply.
- Development and testing of innovations to improve the quality and composition of aquaculture feed produced by small- to medium-scale manufacturers affordable to smallholder farmers.
- Development and testing of high potential strategies for supply and distribution of quality feed and seedstocks to reduce access cost, including remote feed mill and hatchery concepts using farm clusters.
- Development of affordable innovative renewable energy solutions, including solar, to improve water quality, stocking densities, pond productivity, and cold chain management.
- Research to support improved farm-level biosecurity and disease control, including novel approaches to support data collection and dissemination of best management practices, such as digital platforms.
- Research to understand disease dynamics and management in different aquaculture systems, including green-water aquaculture and integrated multi-trophic aquaculture.
- Development of innovations for climate-smart fish handling and processing technologies to reduce postharvest loss and carbon footprint from fish smoking and enable development of value-added fish products.
- Evaluation of interventions to increase fish consumption, especially in children in the first 1,000 days, using products such as fish powder.
- Development of suitable empirical fish-yield predictive models for inland fisheries, including quantification of underexploited small indigenous fish species to support nutritional security of rural consumers.

## **Zambia**

- Development of strategies to improve access of children to nutrient-rich aquatic foods, especially for complementary feeding, including potential use of fish powder.
- Development and evaluation of novel approaches to reduce poverty through engagement of the private sector to employ youth in aquatic food systems.
- Evaluation of novel financial tools to enable access to credit for fish farming, particularly for smallholder farmers, including access to quality fish seedstocks.
- Development of approaches to support profitability of small-scale fish processors and processor cooperatives, including the development and testing of new fish products.
- Reducing antimicrobial use through development and testing of new vaccines for pathogens relevant to smallholder aquaculture in Zambia.
- Development and evaluation of feeds formulated using local ingredients and making them accessible in rural aquaculture sites, including development of novel approaches for fish meal replacement in fish feed.

## **B. AWARD INFORMATION**

**Funding is subject to availability, and the Fish Innovation Lab reserves the right to fund any or none of the applications submitted.** The Fish Innovation Lab intends to fund approximately 14 activities for a period of up to 3 years with anticipated start dates of December 1, 2024, through March 1, 2025. Budgets for funded activities will be between \$200,000–\$500,000 U.S. dollars (USD) for the period of performance. The expected average award size will be \$400,000–\$500,000 USD. Funded research-for-development activities will commonly involve multiple U.S., host country, and other institutions and employ an integrated, interdisciplinary research approach with strong capacity development components. At least fifty percent (50%) of the total budget amount must be spent in one or more of the target countries. At least one of the three Areas of Inquiry must be addressed in the proposal, and all three cross-cutting themes must be clearly and convincingly integrated in the core research design and approach. Activities will be selected through a two-step process involving a concept note and a proposal.

Concept Notes: May 15, 2024

Final Proposals: July 24, 2024

Anticipated Selection: September 3, 2024

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 approval before they can be funded.

## **C. ELIGIBILITY INFORMATION**

This competition is open to any qualified research, educational, governmental, private sector, or nonprofit institution globally that has a Unique Entity ID and is registered in the System for Award Management (SAM; <http://sam.gov>). Unique Entity ID and SAM registration are not required for concept note submission. However, Unique Entity ID registration will be required for full proposal submission.

The Fish Innovation Lab ME strongly encourages qualified U.S. Minority-Serving Institutions to respond to this competitive RFA. Qualifying institutions include, but are not limited to, Historically Black Colleges and Universities, Predominantly Black Institutions, Hispanic-Serving Institutions, Tribal Colleges and

Universities, and Asian American, Native Alaskan, and Pacific Islander Serving Institutions (<https://cmsi.gse.rutgers.edu/msi-directory>).

## **PRIMARY INSTITUTIONS AND COLLABORATING PARTNERS**

Each activity, under overall guidance from the Fish Innovation Lab ME, will have a primary subaward institution that will be responsible for implementing the activity, monitoring progress, ensuring compliance with MSU and USAID rules and guidelines, managing funds appropriately, collating and presenting results, and submitting progress and final reports. Each activity will also have a host-country primary institution (university or other qualified organization) that will coordinate all activities in the host country—including execution of appropriate agreements—with collaborating local partner(s) if any. Each U.S. primary institution and host-country primary institution will designate a PI, and if needed, co-PIs may be designated. Other qualified universities or organizations may also be included as collaborating partners. Each primary institution and collaborating partner must meet the eligibility requirements described above.

Each activity's primary institution is expected to work with their collaborating partner(s) to submit one concept note and full application. Multi-tier subawards will be allowed, but MSU will establish individual subawards for each institution if the lead institution does not have capacity to issue subawards. All institutions funded through the Fish Innovation Lab will be responsible for fulfilling all USAID requirements and submitting data and reports, as requested, to the ME. This includes responsibilities related to Monitoring and Evaluation, Open Data Management, Knowledge Sharing, Environmental Management and Mitigation measures, and ensuring compliance with the Fish Innovation Lab Branding and Marking Plan, which includes requirements of Feed the Future and USAID.

Collaboration between at least one research agency or university in the host country and a partner university from the U.S. is strongly encouraged. Such partnerships will support capacity strengthening across institutions, with each bringing unique skills and approaches. This approach will increase knowledge and experience of the U.S. partner of important contextual factors to enable scaling of impacts beyond the research program through broader geographical dissemination, and it will provide opportunities for mutualistic collaboration. The opportunities for shared learning and student engagement from partner institutions is a major factor in institutional capacity development and one of the objectives of USAID and the Fish Innovation Lab. In addition, collaboration with the private sector and NGOs active in the host country is strongly encouraged to ensure adoption and scaling of the research results are adequately planned at the outset and incorporated into the activity design. The proposal should clearly identify the nature of any collaboration, the distribution of labor and activities between collaborating entities, and the budget allocations between collaborating entities. If a submitting organization does not have a U.S. university partner at the time of submitting a concept note, the Fish Innovation Lab ME may suggest potential U.S. university partner(s) for the submitting organization to collaborate with in the full proposal stage.

## **D. APPLICATION AND SUBMISSION INFORMATION**

### **POINT OF CONTACT**

Mark Lawrence, Director  
Feed the Future Innovation Lab for Fish  
Global Center for Aquatic Health and Food Security  
Mississippi State University  
240 Wise Center Dr., P.O. Box 6100  
Mississippi State, MS 39762  
+1 662-325-1057  
[fishlab@gcahfs.msstate.edu](mailto:fishlab@gcahfs.msstate.edu)

## RESEARCH

Each proposed activity must address at least one of the research priorities under the Areas of Inquiry delineated in Section A. Each funded activity will be expected to participate in and contribute to a Fish Innovation Lab research community of practice at both the regional and global levels. The Fish Innovation Lab only supports **research for development** as defined on page 5. Therefore, each proposed activity must delineate impact pathways (Appendix B) that connect research outputs to development outcomes, including provision of a specific plan for dissemination to scaling entities, next users, and/or end users. Each proposed activity must also describe a plan for how new technologies and improved practices will be handed off to end users for adoption and scaling. In addition to research, each activity will be responsible for local capacity development, which can be an important part of the plan for dissemination.

## CROSS-CUTTING THEMES

Each concept note and full proposal must specifically describe how the activity will address each of the required **cross-cutting themes**:

- 1) Gender and social inclusion
- 2) Resilience
- 3) Capacity development

Cross-cutting theme requirements include the following:

- Clearly state how the proposed work will be gender-responsive and/or engage traditionally marginalized groups in the research process, with the goal of supporting hand-off of technologies, practices, and approaches to these targeted groups.
- Identify which aspects of aquatic food systems will be strengthened such that individuals, households, communities, small-scale farmers and fishers, and other actors will have the capacity to mitigate, adapt to, and redesign from shocks and stresses.
- Delineate capacity development efforts either at the individual or organizational level. For this, the proposal will provide a capacity development plan and identify strategies for tracking individual (selected performance indicators) and/or organizational capacity development efforts. Resources for capacity development must be included in the proposal budget.

Depending on the activity, the Fish Innovation Lab ME may also request that a grantee include specific data-collection activities for indicators that address cross-cutting theme outcomes. Investigators may consider qualitative and quantitative approaches for tracking outcomes.

Concept notes should include short descriptions of how the activity will address each cross-cutting theme. Full proposals will be required to provide more detailed responses to a set of guiding questions related to the cross-cutting themes (see Appendix C).

## MONITORING, EVALUATION, AND LEARNING

All activities must adhere to the Fish Innovation Lab's Monitoring, Evaluation, and Learning (MEL) Plan, which will be made available to applicants submitting a full proposal. Each activity team must agree to

- Track, document, share, and report data according to Feed the Future and Fish Innovation Lab guidelines by required deadlines to monitor progress toward core indicators established by the Fish Innovation Lab ME.
- Participate in required MEL trainings (virtual and in-person).

- Report, share, and contribute to discussions related to MEL data in the formats required by the Fish Innovation Lab ME.
- Format and share research datasets and codebooks for public access on the Fish Innovation Lab Harvard Dataverse and USAID’s Development Data Library in accordance with USAID’s Open Data Policy. The Fish Innovation Lab ME will provide guidance and technical support. A key purpose of sharing datasets is to enhance development outcomes. More information is available online: <https://www.usaid.gov/ads/policy/500/579>.
- Engage in the preparation of success stories, case studies, photo essays, etc. as required by USAID and requested by the Fish Innovation Lab.
- Establish, as needed, additional activity-specific Feed the Future, U.S. State Department Standard Foreign Assistance, or custom indicators that will be monitored and reported by required deadlines. More information on Feed the Future Program indicators is available online: [https://agrilinks.org/sites/default/files/media/file/Feed%20the%20Future%20Indicator%20Handbook%202023%20FINAL\\_508%20Compress%20adobe.pdf](https://agrilinks.org/sites/default/files/media/file/Feed%20the%20Future%20Indicator%20Handbook%202023%20FINAL_508%20Compress%20adobe.pdf)

The Fish Innovation Lab MEL Plan includes seven core indicators that are tracked across activities, wherever relevant. Not all activities will set targets or track all seven of the indicators. However, investigators must be prepared to monitor these indicators where applicable following the standard protocols set by the Fish Innovation Lab ME. Core indicators include

- Number of technologies, practices, and approaches under various phases of research, development, and uptake as a result of U.S. Government (USG) assistance;
- Number of peer-reviewed scientific publications resulting from USG support to research and implementation programs;
- Number of individuals participating in USG food security programs;
- Number of individuals who have received USG-supported, degree-granting non-nutrition-related food security training;
- Number of individuals receiving nutrition-related professional training through USG-supported programs;
- Number of individuals in the agriculture system who have applied improved management practices or technologies with USG assistance; and
- Number of hectares under improved management practices or technologies with USG assistance.

## **SUBMISSION INSTRUCTIONS**

All concept notes and full proposals must be submitted to <https://fish.piestar-rfx.com/opportunities>. To submit, you will need to create an account and follow the detailed instructions.

Questions or concerns about the technical content or budget should be written and submitted by 5:00 p.m. Eastern U.S. time on April 24, 2024, to [fishlab@gcahfs.msstate.edu](mailto:fishlab@gcahfs.msstate.edu), using subject line “Fish Innovation Lab RFA.” Answers to the inquiries will be posted on May 3, 2024, on the website [www.fishinnovationlab.msstate.edu](http://www.fishinnovationlab.msstate.edu).

## **APPLICATION FORM**

**Concept Note.** A concept note is required, which is limited to four pages and must be in English with narrative portions prepared in Microsoft Word with Times New Roman font size 11 and 1-line spacing with 1-inch margins. The concept note must be submitted via the following web link: <https://fish.piestar-rfx.com/opportunities>, no later than 5:00 p.m. Eastern U.S. time, May 15, 2024. The submission of a concept note is not binding for submission of a full proposal. Concept notes will be screened for alignment with the scope of work as research for development under one or more of the three Fish Innovation Lab



Areas of Inquiry. Concept notes must include the following information in a cover page that is not included in the four-page limit:

- Header
- Descriptive activity title
- Duration of activity (not to exceed 3 years)
- Total budget requested for the activity, and a budget for each implementing partner
- Relevant Area(s) of Inquiry
- Country/countries of interest (be as specific as possible with geographic focus)
- Name and contact information of primary institution and each implementing partner
- Name and contact information of U.S. and host-country PIs and co-PIs
- Clear indication if a U.S. Minority-Serving Institution (MSI) is engaged in the activity. If so, please list the name of the MSI, individual from the MSI engaged, and their specific role within the activity.
- In addition to the above items on the cover page, you must submit a curriculum vitae (CV) for each PI and co-PI; each CV should be no more than four pages in length (see Appendix D). CVs are not included in the page limit.

The four-page concept note must include a concise activity description including problem statement, activity goals, expected outputs, expected outcomes, relevance to the Fish Innovation Lab's Theory of Change (Appendix A) and the Global Food Security Research Strategy, description of activities (direct or indirect) for each cross-cutting theme, and relevance to the appropriate Feed the Future Country Plan and Zone of Influence for the targeted country. It should also include a research approach and methods and development impacts (including target/priority groups). The concept note should integrate an activity timeline (to be fully developed if invited for a full proposal).

**Full proposals.** PIs with successful concept notes for **ROUND 1** 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. If needed, the Fish Innovation Lab may conduct a **ROUND 2** for full proposals.

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

## **E. APPLICATION REVIEW INFORMATION**

Concept notes will be

- Screened for compliance for basic criteria and eligibility.
- Screened by an internal panel consisting of 3-4 experts from the ME.
- Assessed and approved for submission of a full proposal.

Full proposals will be

- Screened for compliance with submission requirements.
- Evaluated, scored, and ranked by a technical evaluation panel according to the evaluation criteria (see Appendix C).
- Selected and modified as mutually agreed through a co-creation process.
- Reviewed by USAID for programmatic alignment and final approval.

Note that USAID Missions may stipulate conditions to activities operating in their respective countries.

## **F. ADMINISTRATION INFORMATION**

The research activities funded from this RFA will be administered as MSU subawards in accordance with 2 CFR 700 (<https://www.ecfr.gov/current/title-2/subtitle-B/chapter-VII/part-700>), 2 CFR 200 (<https://www.ecfr.gov/current/title-2/subtitle-A/chapter-II/part-200?toc=1>), USAID's Mandatory and Required-as-Applicable Standard Provisions (Automated Directives System [ADS] 303), and according to the regulations and policies of Mississippi State University. The subaward will be administered including the applicable standard provision and any approved deviations from the **Standard Provisions**. For U.S. organizations, **ADS 303maa, Standard Provisions for U.S. Nongovernmental Organizations** (<https://www.usaid.gov/about-us/agency-policy/series-300/references-chapter/303maa>) are applicable. For non-U.S. organizations, **ADS 303mab, Standard Provisions for Non-U.S. Nongovernmental Organizations** (<https://www.usaid.gov/about-us/agency-policy/series-300/references-chapter/303mab>) will apply.

Collaborating partners may be contractors or subrecipients and should be aware of the distinction between procurement contracts (acquisition) and subawards (assistance). Contracts are subject to 2 CFR 200.317-327 (<https://www.ecfr.gov/current/title-2/subtitle-A/chapter-II/part-200/subpart-D/subject-group-ECFR45ddd4419ad436d>) and the USAID standard provision entitled "USAID Eligibility of Commodities" (<https://www.usaid.gov/about-us/agency-policy/series-300/312>) in 22 CFR 228 in the procurement and long-term lease (as defined in 22 CFR 228.01 of goods and services with USAID funds). Subawards are subject to 2 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)), 2 CFR 700, and the USAID standard provision entitled "Applicability of 2 CFR 200 and 2 CFR 700" (<https://www.ecfr.gov/current/title-2/subtitle-B/chapter-VII/part-700>).

Prior to award selection, the ME will work with USAID's Bureau for Management Office of Acquisition and Assistance to verify and ensure that no partner individuals and/or organizations in the program are excluded by the USG. The ME will monitor the activities to ensure that no transactions are conducted with excluded parties. The status of eligible organizations will be verifiable against the U.S. Department of Treasury Office of Foreign Assets Control List of Specially Designated Nationals and Blocked Persons and the United Nations Security Designation List, in accordance with 2 CFR 25.110 (<https://www.gpo.gov/fdsys/granule/CFR-2013-title2-vol1/CFR-2013-title2-vol1-sec25-110>). Feel free to contact [fishlab@gcahfs.msstate.edu](mailto:fishlab@gcahfs.msstate.edu) for assistance.

All subaward recipients' and collaborators' contractors and subcontractors at all tiers must meet USAID's supplier nationality requirements. In procurement and long-term lease of goods and services, the primary subaward recipient and collaborators must comply with USAID's Rules for Procurement of Commodities and Services Finance by USAID in 22 CFR 228 (<http://www.ecfr.gov/cgi-bin/text-idx?rgn=div5&node=22:1.0.2.22.25>) in the procurement and long-term lease (as defined in 22 CFR 228.01; <https://www.gpo.gov/fdsys/granule/CFR-2003-title22-vol1/CFR-2003-title22-vol1-sec228-01/content-detail.html>) of goods and services with USAID funds. These rules govern the source of USAID-financed commodities and the nationality of suppliers of USAID-financed commodities and services, which must be in a country that is included in the authorized geographic code for this project. These rules do not apply to procurement or long-term lease of goods and services with cost-sharing or program income funds.

It is USAID policy that no profit (i.e., any amount in excess of allowable direct and indirect costs) is payable under the lead award or under any subaward (i.e., sub-grants and sub-cooperative agreements, but excluding procurement contracts). However, profit is payable by the recipient or subrecipient to a contractor/vendor if the recipient or subrecipient is procuring goods or services in furtherance of the program being supported

by the award or subaward. The following website contains additional information:  
<http://www.usaid.gov/ads/policy/300/303sai>.

For the subaward(s) resulting from this solicitation, the authorized Geographic Code is 937. This includes all but “restricted commodities” and other special cases. Geographic Codes are described in 22 CFR 228.03 (<http://www.ecfr.gov/cgi-bin/text-idx?rgn=div5&node=22:1.0.2.22.25>) and the Internal Mandatory References to ADS 310 (<https://www.usaid.gov/ads/policy/300/310>) entitled “List of Developing Countries”, “List of Advanced Developing Countries”, and “List of Prohibited Source Countries”. Special rules apply to restricted commodities and are described in ADS 312.3.3 (<https://www.usaid.gov/about-us/agency-policy/series-300/312>)

All activities must comply with USAID, MSU, and other institutional rules governing the use of human subjects and animals for research purposes. Prior to initiation of work, all activities will be required to submit an annual work plan for approval by the Fish Innovation Lab ME and the USAID AOR. All activities must contribute to semiannual Fish Innovation Lab progress reports required by USAID. An external evaluation of the Fish Innovation Lab may be performed in 2027 or 2028; participating institutions and collaborating partners, including those who receive funding through the Fish Innovation Lab, are required to cooperate and facilitate the work of the evaluators.

The Fish Innovation Lab ME will provide oversight to primary institutions and collaborating partners. The ME will also provide feedback on matters that are technical (e.g., giving feedback on work plans and progress reports and monitoring ongoing research activities), administrative (e.g., verifying quality of reporting), and financial (e.g., reviewing financial reports and giving approvals for procurement and travel).

Students funded through subawards must adhere to guidelines set forth by USAID.

## **G. FISH INNOVATION LAB CONTACT**

Mark Lawrence, Director  
Feed the Future Innovation Lab for Fish  
Global Center for Aquatic Health and Food Security  
Mississippi State University  
240 Wise Center Dr., P.O. Box 6100  
Mississippi State, MS 39762  
+1 662-325-1057  
[fishlab@gcahfs.msstate.edu](mailto:fishlab@gcahfs.msstate.edu)

## **H. OTHER INFORMATION**

The Fish Innovation Lab reserves the right to fund any or none of the applications submitted.

## **UPCOMING FISH INNOVATION LAB FUNDING OPPORTUNITIES**

If needed, an **RFA for Round 2** of Fish Innovation Lab grants may be released at a later date.

## **I. APPENDICES**

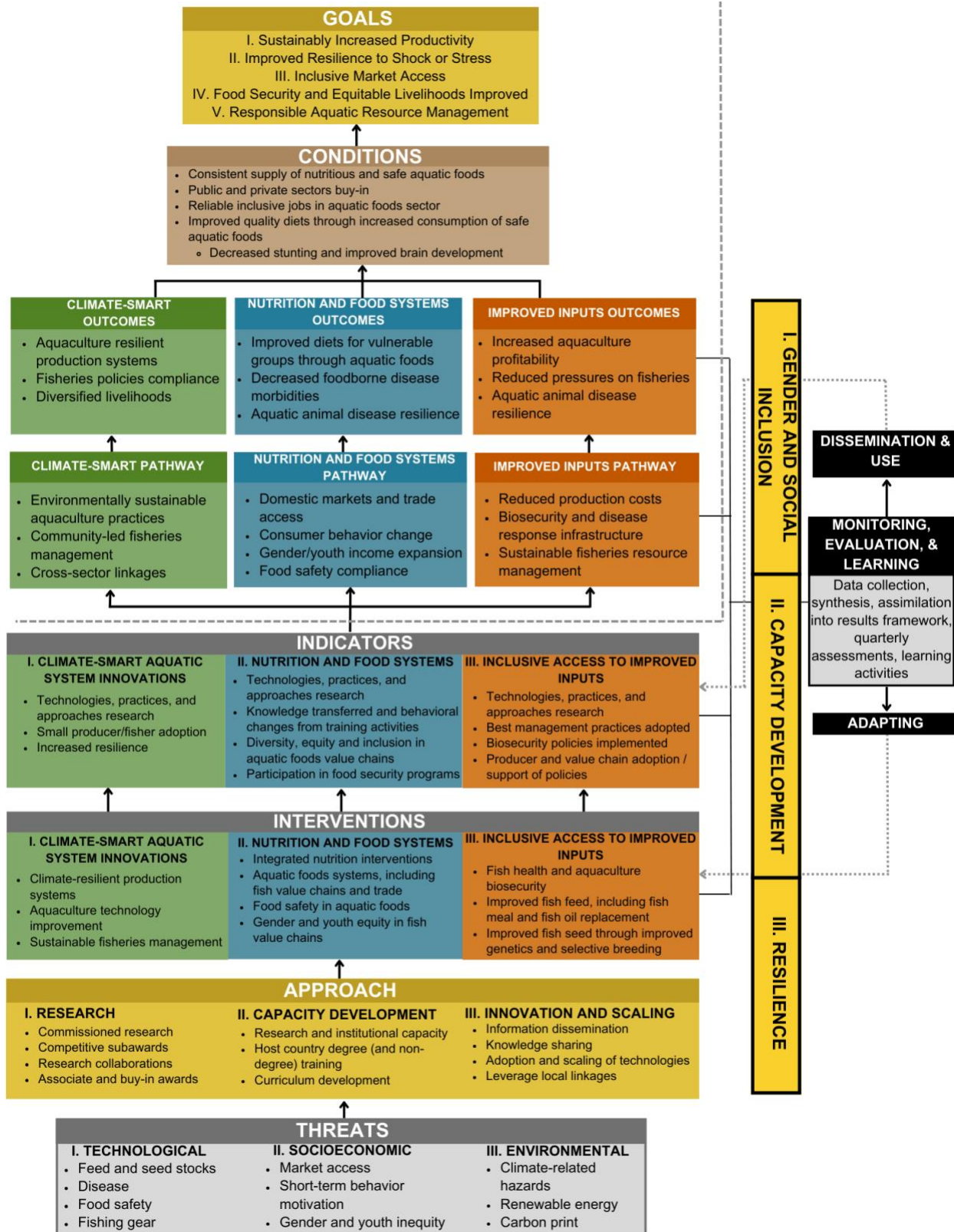
- A. Theory of Change and Results Framework
- B. Impact Pathways
- C. Full Proposal Guidelines
- D. CV Template

Request for Applications (RFA) No. RFA-FIL-24-000001  
Feed the Future Innovation Lab for Fish

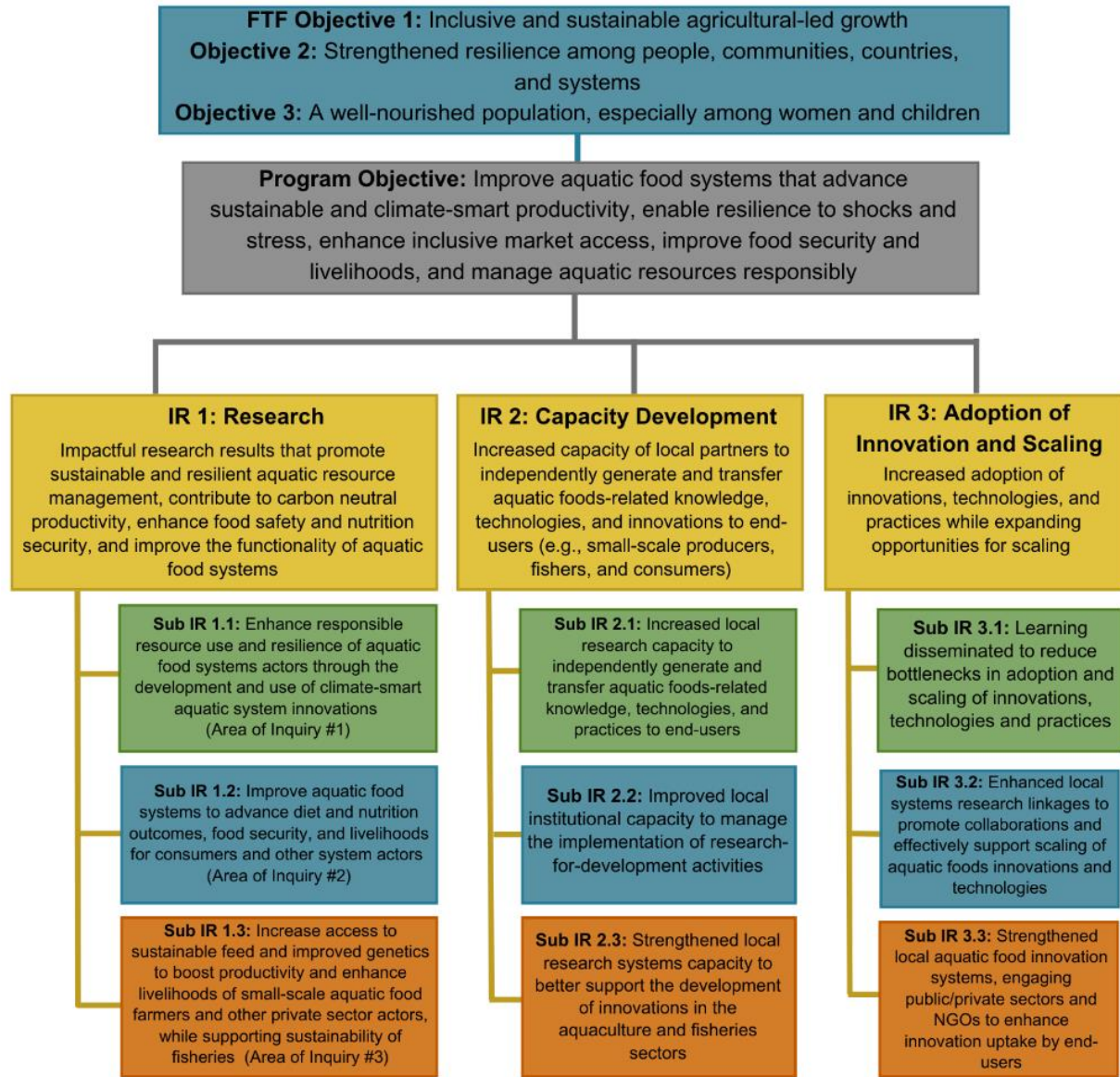
- E. Conflict of Interest Form
- F. Past Performance Table
- G. USAID Certifications
- H. Budget Template

# APPENDIX A: THEORY OF CHANGE AND RESULTS FRAMEWORK

## Feed the Future Innovation Lab for Fish Theory of Change



## Fish Innovation Lab Results Framework



## **APPENDIX B: IMPACT PATHWAYS**

To develop the outcomes necessary to achieve its goals, the Feed the Future Innovation Lab for Fish Theory of Change is the foundation for the impact pathways for three Areas of Inquiry: 1) climate-smart aquatic system innovations; 2) nutrition and aquatic food systems, and 3) inclusive access to improved inputs. The Fish Innovation Lab's approach serves as a catalyst of innovation along the three impact pathways by identifying creative and practical research activities that enable local institutional research systems for aquatic foods innovation.

### **Area of Inquiry 1: Climate-Smart Aquatic System Innovations Pathway**

All three impact pathways advance USAID-supported strategic objectives for preserving environmental quality and sustainability. Specifically, the climate-smart pathway will support the development of technologies that help fish farmers, fishers, and their communities enhance their capacity to adapt to the accelerating effects of climate change while improving production systems to reduce emissions and enhancing carbon storage in aquatic habitats. Research in this area will support sustainable improvements in aquaculture production and fisheries management practices that will reduce effluent contamination of the environment. Improved fishing practices will lead to sustainable wild populations, including species diversity. Under this pathway, the Fish Innovation Lab will implement community-based and integrated research approaches to improve productivity of aquaculture and fisheries systems and ensure social and environmental sustainability. This approach will facilitate improvements in farm efficiency that will yield social benefits and ecological savings, critical to improving climate adaptation.

### **Area of Inquiry 2: Nutrition and Food Systems Pathway**

The Fish Innovation Lab aims to improve human nutrition and enhance the capacity of local-level aquatic food system actors to improve livelihoods, resilience, and natural resource management. The Fish Innovation Lab research portfolio prioritizes impacts for women and youth. Therefore, research activities awarded in this pathway will include identifying individual and social factors that prevent behavior change (e.g., implementing good production management, using improved food safety methods, or utilizing sustainable fisheries practices); determining effects of nutrition interventions using fish; identifying limitations that impact access to domestic and regional markets and international trade opportunities; determining factors preventing equitable access to business ownership, market access, and nutritious diets; and increasing capacity in food security through training. The Fish Innovation Lab anticipates that improving human nutrition through an aquatic food systems approach will impact USAID-supported goals for gender and youth job participation in aquaculture and fisheries. Under this pathway, Fish Innovation Lab research will aim to improve equitable access to high-quality safe aquatic foods, which will improve dietary diversity and nutrition among vulnerable groups. The Fish Innovation Lab will conduct research to inform food safety practices along aquatic food value chains, which is expected to positively affect the acceptance of food safety and biosecurity policies by producers and actors in these value chains. The Fish Innovation Lab anticipates these effects will result in improved food safety of aquatic foods, which will address USAID-supported strategic objectives for improving nutrition and system resilience.

### **Area of Inquiry 3: Inclusive Access to Improved Inputs Pathway**

Research activities will address specific problems associated with reliable fish feed production (including substitution of fish meal and fish oil with alternatives such as microbes or insects), reliable availability of fish seedstocks (eggs or fry), and genetic improvement (e.g., growth or disease resistance). The measurable changes in production indicators from these improved inputs are expected to improve aquaculture profitability and support sustainable fisheries. In addition, research will target development of

innovations that prevent fish losses and reduce risks for fish farmers. Innovations will aim to prevent disease losses by increasing fish diagnostic capabilities, identifying biosecurity risks, and developing and implementing effective biosecurity and outbreak response plans. The Fish Innovation Lab will identify effective biosecurity practices implemented by producers and support industries (especially seedstock suppliers) to promote acceptance of biosecurity policies by small-scale producers. As a result of these research activities, the Fish Innovation Lab will develop improved inputs for aquaculture production and identify best management practices for adoption by small-, medium-, and large-scale aquaculture producers. Under this pathway, the Fish Innovation Lab's research activities will address problems that restrict scaling of aquaculture based on the reasonable assumption that addressing these critical inputs will improve the enabling environment for aquaculture.

### **Strategies to Enable Technology Transfer**

The Fish Innovation Lab will prioritize innovation development and proof of concept while also embedding strategies to address conditions required for handing off and adoption. Our strategies will consider the importance of locally led development, improved local research systems, and strengthening local capacity to adopt, scale, and sustain innovations. The Fish Innovation Lab will support implementers in developing strategies to understand and overcome barriers to adoption, such that they facilitate effective engagement of potential end users and stakeholders throughout the different stages of the research. The following strategies will be utilized to enable technology transfer:

- *Implement a variety of methods to obtain end-user buy-in.* Adopting innovations is a medium- to long-term task, and obtaining buy-in from end users is a critical step in this process. Engaging end users in the research process is expected to support better adoption of innovations developed by the research activities. Other means to engage end users early in the development process include engaging with extension services, farmer-to-farmer learning, training of trainers, and using online and digital platforms to support data collection and dissemination of information.
- *Supporting community governance of fishery resources.* Engaging community-level organizations and structures in the management of wild-caught aquatic species promotes end-user buy-in to implement improved practices for monitoring fisheries stocks and adopt improved technologies for sustainable fishing. Understanding and improving community governance of fishery resources can support achievement of technology handoff to improve sustainability of aquatic resources, while supporting communities in enhancing livelihoods, nutrition, and food security.
- *Implement a citizen science approach to inform technology development and innovations.* Citizen science approaches foster collaboration between scientists and community members to ensure that the research outcomes (i.e., technologies, practices, and approaches) target end users' actual needs while accounting for context-specific opportunities and constraints. The co-production of technologies, practices, and approaches can further address the challenges associated with technology adoption and scaling by integrating knowledge of the end user into the research process. This approach can support achievement of community buy-in for improved aquaculture technologies and practices by conducting research on privately owned farms and engaging farmers in data collection, as well as engaging fishers in data collection processes to improve knowledge of fisheries management.
- *Utilize the Product Life Cycle (PLC) framework to support and track the progress of innovations.* The PLC approach, supplemented with other scaling frameworks or strategies, can support information gathering about the partnership type needs (i.e., private, public, public-private, nonprofit, civil society) to best support research activities in achieving goals for scaling



technologies.

- *Understanding local aquatic food systems.* Mapping the components and interactions of local aquatic food systems can support translating research findings into applied innovations. Research teams should outline a path for handing off and adoption that includes the private and public sectors, local organizations, and other stakeholders that can enable adoption. For instance, implementers can engage with critical small, medium, and large private enterprises—including fish farms, hatcheries, processors, and other actors in aquatic foods value chains—to achieve adoption of innovations. Other innovations may require government buy-in to facilitate adding science-based decision-making into regulatory frameworks.

## 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.

## APPENDIX D: CV TEMPLATE

### Sample Format:

Name

Job Title

Place of Work

Professional Address

Telephone Number

Email Address

\*Note: No personal information (e.g. home address, home phone, marital status, or picture) should be included\*

*The following information must be provided in the order and format specified below:*

### **(a) Professional Preparation**

A list of the individual's undergraduate and graduate education and postdoctoral training as indicated below:

Undergraduate Institution	Location	Major	Degree and Year
Graduate Institution	Location	Major	Degree and Year
Postdoctoral Institution	Location	Area	Degree and Year

### **(b) Appointments**

In reverse chronological order, list the individual's academic/professional appointments.

[Most recent appointment]

[Previous appointment(s)]

[First appointment]

### **(c) Products** *[this section may be titled **Publications** if only publications are listed]*

(i) List up to five (5) publications/products most closely related to the proposed activity

(ii) List up to five (5) other significant publications/products, whether or not related to the proposed activity

**Acceptable products must be citable and accessible including but not limited to publications, data sets, software, patents, and copyrights.** Unacceptable products are unpublished documents not yet submitted for publication, invited lectures, and additional lists of products. Only the list of 10 will be used in the review of the proposal. *[Unpublished documents submitted/accepted for publication are acceptable and should include likely date of publication]*

### Citation format:

Each product must include full citation information including (where applicable and practicable) names of all authors, date of publication or release, title, title of enclosing work such as journal or book, volume, issue, pages, website and URL or other Persistent Identifier.

### **(d) Synergistic Activities**

A list of up to **five distinct examples** that demonstrate the broader impact of the individual's professional and scholarly activities that focuses on the integration and transfer of knowledge as well as its creation. Examples should be specific and could include innovations in teaching and training (e.g., development of curricular materials and pedagogical methods); contributions to the science of learning; development and/or refinement of research tools; computation methodologies and algorithms for problem-solving;

development of databases to support research and education; broadening the participation of groups underrepresented in science, mathematics, engineering and technology; and service to the scientific community outside of the individual's immediate organization.

**Examples with multiple components are not permitted.**

Sample examples and format:

- Served as Co-Chair of Academic Conference (2016)
- Member of the National Academy of Sciences (2012-present)
- Served as National Institutes of Health Peer Reviewer (2014-2015)
- Organized summer workshop to deliver training to undergraduates interested in research (2012)
- Served on editorial board of Academic Journal (2013-2015)







## **APPENDIX F: PAST PERFORMANCE TABLE**

See separate Excel file: Appendix F Past Performance Table

APPENDIX G: USAID CERTIFICATIONS



Certifications, Assurances,  
Representations, and  
Other Statements of the Recipient

A Mandatory Reference for ADS Chapter 303

Partial Revision Date: 07/26/2022  
Responsible Office: M/OAA/P  
File Name: 303mav\_072622

## **Certifications, Assurances, Representations, and Other Statements of the Recipient**

NOTE: When these Certifications, Assurances, Representations, and Other Statements of Recipient are used for cooperative agreements, the term “Grant” means “Cooperative Agreement.”

### **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 will, 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 **assistance award** 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 disability 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 must 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.

## **2. Certification Regarding Lobbying (22 CFR 227)**

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 must complete and submit Standard Form-LLL, "Disclosure of Lobbying Activities," in accordance with its instructions.

(3) The undersigned must require that the language of this certification be included in the award documents for all subawards at all tiers (including contracts, subawards, and contracts under grants, loans, and cooperative agreements) and that all subrecipients must 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 will 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 must 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 will 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 must review USAID ADS 206 to determine if any certifications are required for Key Individuals (see Part II below) or Covered Participants (see Part III below).

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 Support to Terrorists**

(1) The undersigned represents, to the best of its knowledge, that:

Except as otherwise disclosed to the Agreement Officer in writing and included with this application, the applicant did not, within the previous three years, knowingly engage in transactions with, or provide material support or resources to, any individual or entity who was, at the time, subject to sanctions administered by the Office of Foreign Assets Control (OFAC) within the U.S. Department of Treasury pursuant to the Global Terrorism Sanctions Regulations ([31 CFR Part 594](#)), and the Foreign Terrorist Organizations Sanctions Regulations ([31 CFR Part 597](#)), or sanctions established by the United Nations Security Council, collectively, “U.S. or U.N. sanctions.” Note: USAID intends to retain the information disclosed to the Agreement Officer pursuant to this paragraph in any award file and use it in determining whether to provide the applicant with an assistance award. USAID will not make such information available publicly unless required by law.

(2) The representation in paragraph (1) does not apply to:

- (a) Transactions entered into or material support and resources provided pursuant to an OFAC license;
- (b) The furnishing of USAID funds, or USAID-financed commodities or other assistance, to the ultimate beneficiaries of USAID-funded humanitarian or development assistance, such as the recipients of food, non-food items, medical care, micro-enterprise loans or shelter, unless the applicant knew or had reason to believe that one or more of these beneficiaries was subject to U.S. or U.N. terrorism-related sanctions; or

(c) The procurement of goods and/or services by the Recipient acquired in the ordinary course of business through contract or purchase, such as utilities, rents, office supplies, or gasoline, unless the applicant knew, or had reason to believe, that a vendor or supplier of such goods and services was subject to U.S. or U.N. sanctions.

This certification includes express terms and conditions of the award, and any violation of it will be grounds for unilateral termination of the agreement by USAID. This certification does not preclude any other remedy available to USAID.

(3) For purpose 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.

(i) "Training" means instruction or teaching designed to impart a specific skill, as opposed to general knowledge.

(ii) "Expert advice or assistance" means advice or assistance derived from scientific, technical, or other specialized knowledge.

(b) "Entity" means a partnership, association, corporation, or other organization, group, or subgroup.

## **5. Certification Regarding Trafficking in Persons, Implementing Title XVII of the National Defense Authorization Act for Fiscal Year 2013**

*Note: This certification must be completed prior to receiving an award if the estimated value of services required to be performed under the award outside the United States exceeds \$500,000. This certification must also be submitted annually to the Agreement Officer during the term of the award.*

By signing below, the applicant or recipient, as applicable, through its duly designated representative, after having conducted due diligence, hereby certifies the following:

1. The applicant/recipient has implemented a compliance plan to prevent the prohibited activities identified in section (a) of the Mandatory Provision "Trafficking in Persons" and is in compliance with that plan;
2. The application/recipient has implemented procedures to prevent any activities described in section (a) of the Mandatory Provision "Trafficking in Persons" and to monitor, detect, and terminate any contractor, subawardee, employee, or other agent of the applicant/recipient engaging in any activities described in such section; and



3. To the best of the representative's knowledge, neither the applicant/recipient, nor any employee, contractor, or subawardee of the applicant/recipient, nor any agent of the applicant/recipient or of such a contractor or subawardee, is engaged in any of the activities described in section (a) the Mandatory Provision "Trafficking in Persons."

## 6. 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), (4) the Certification Regarding Terrorist Financing Implementing Executive Order 13224, and (5) the Certification Regarding Trafficking in Persons above.

These certifications and assurances are 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 these assurances, and that the United States will have the right to seek judicial enforcement of these assurances. These assurances are binding on the recipient, its successors, transferees, and assignees, and the person or persons whose signatures appear below are authorized to sign these assurances on behalf of the recipient.

Request for Application or  
Annual Program Statement 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 assister, 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 – Representation by Organization Regarding a Delinquent Tax Liability or a Felony Criminal Conviction**

(a) As required by sections 744 and 745 of Division E of the Consolidated and Further Continuing Appropriations Act, 2015 (Pub. L. 113-235), and similar provisions, if contained in subsequent appropriations acts, none of the funds made available by that Act may be used to enter into an assistance award with any organization that –

- (1) “Was convicted of a felony criminal violation under any Federal law within the preceding 24 months, where the awarding agency has direct knowledge of the conviction, unless the agency has considered, in accordance with its procedures, that this further action is not necessary to protect the interests of the Government”; or
- (2) “Has any unpaid Federal tax liability that has been assessed for which all judicial and administrative remedies have been exhausted or have lapsed, and that is not being paid in a timely manner pursuant to an agreement with the authority responsible for collecting the tax liability, where the awarding agency has direct knowledge of the unpaid tax liability, unless the Federal agency has considered, in accordance with its procedures, that this further action is not necessary to protect the interests of the Government”.

It is USAID’s policy that no award may be made to any organization covered by (1) or (2) above, unless the M/MPBP Compliance Division has made a determination that suspension or debarment is not necessary to protect the interests of the Government.

### **(b) Applicant Representation:**

1. The Applicant represents that it is [ ] is not [ ] an organization that was convicted of a felony criminal violation under a Federal law within the preceding 24 months.
2. The Applicant represents that it is [ ] is not [ ] an organization that has any unpaid Federal tax liability that has been assessed for which all judicial and administrative remedies have been exhausted or have lapsed, and that is not being paid in a timely manner pursuant to an agreement with the authority responsible for collecting the tax liability.

## **Part V – Prohibition on Providing Federal Assistance to Entities that Require Certain Internal Confidentiality Agreements – Representation (May 2017)**

(a) Definitions.

“Contract” has the meaning given in 2 CFR Part 200.

“Contractor” means an entity that receives a contract as defined in 2 CFR Part 200.

“Internal confidentiality agreement or statement” means a confidentiality agreement or any other written statement that the recipient requires any of its employees or subrecipients to sign regarding nondisclosure of recipient information, except that it does not include confidentiality agreements arising out of civil litigation or confidentiality agreements that recipient employees or subrecipients sign at the behest of a Federal agency.

“Subaward” has the meaning given in 2 CFR Part 200.

“Subrecipient” has the meaning given in 2 CFR Part 200.

(b) In accordance with section 743 of Division E, Title VII, of the Consolidated and Further Continuing Appropriations Act, 2015 (Pub. L. 113-235) and its successor provisions in subsequent appropriations acts (and as extended in continuing resolutions), Government agencies are not permitted to use funds appropriated (or otherwise made available) for federal assistance to a non-Federal entity that requires its employees, subrecipients, or contractors seeking to report waste, fraud, or abuse to sign internal confidentiality agreements or statements that prohibit or otherwise restrict its employees, subrecipients, or contractors from lawfully reporting such waste, fraud, or abuse to a designated investigative or law enforcement representative of a Federal department or agency authorized to receive such information.

(c) The prohibition in paragraph (b) of this provision does not contravene requirements applicable to Standard Form 312, (Classified Information Nondisclosure Agreement), Form 4414 (Sensitive Compartmented Information Nondisclosure Agreement), or any other form issued by a Federal department or agency governing the nondisclosure of classified information.

(d) **Representation.** By submission of its application, the prospective recipient represents that it will not require its employees, subrecipients, or contractors to sign or comply with internal confidentiality agreements or statements prohibiting or otherwise restricting its employees, subrecipients, or contractors from lawfully reporting waste, fraud, or abuse related to the performance of a Federal award to a designated investigative or law enforcement representative of a Federal department or agency authorized to receive such information (for example, the Agency Office of the Inspector General).

## Part VI – 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. Unique Entity Identifier/SAM (2 CFR 25) – Applicants must register in the System for Award Management (SAM) in order to obtain a Unique Entity Identifier (UEI), required for eligibility to receive Federal assistance, such as grants and cooperative agreements. A UEI is a unique, alpha-numeric 12-character identifier issued and maintained by SAM.gov that verifies the existence of a business entity globally. The UEI is the official government-wide identifier used for Federal awards. Applicants must register in SAM prior to submitting an application for award for USAID's consideration. Recipients must maintain an active SAM registration while they have an active award.**

The requirements of [2 CFR 25](#) do not apply to certain categories of awards. In addition, the Agency may exempt certain awards from the requirements of [2 CFR 25](#) (see the solicitation for applicable statements regarding exemptions).

UEI: \_\_\_\_\_

#### 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, 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 If the recipient plans to purchase any goods/commodities which are not in accordance with the Standard Provision "USAID Eligibility Rules for Procurement of Commodities and Services," indicate below (using a continuation page, as necessary) the types and quantities of each, estimated unit costs of each, and probable source. "Source" means the country from which a commodity is shipped to the cooperating country or the cooperating country itself if the commodity is located in the cooperating country at the time of purchase. However, where a commodity is shipped from a free port or bonded warehouse in the form in which received, "source" means the country from which the commodity was shipped to the free port or bonded warehouse. Additionally, "available for purchase" includes "offered for sale at the time of purchase" if

the commodity is listed in a vendor’s catalog or other statement of inventory, kept as part of the vendor’s customary business practices and regularly offered for sale, even if the commodities are not physically on the vendors’ shelves or even in the source country at the time of the order. In such cases, the recipient must document that the commodity was listed in the vendor’s catalog or other statement of inventory; that the vendor has a regular and customary business practice of selling the commodity through “just in time” or other similar inventory practices; and the recipient did not engage the vendor to list the commodity in its catalog or other statement of inventory just to fulfill the recipient’s request for the commodity.

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

(e) Restricted Goods. If the recipient plans to purchase any restricted goods, indicate below (using a continuation page, as necessary) the types and quantities of each, estimated unit costs of each, intended use, and probable source. Restricted goods are Agricultural Commodities, Motor Vehicles, Pharmaceuticals, Pesticides, 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 accordance with the Standard Provision “USAID Eligibility Rules for Procurement of Commodities and Services,” 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.

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



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

**6. Past Performance References**

On a continuation page, please provide past performance information requested in the RFA.

**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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## **APPENDIX H: BUDGET TEMPLATE**

See separate Excel file: Appendix H Budget Template