



Horticulture Collaborative Research Support Program (Horticulture CRSP)

Project Request for Proposals Instructions

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Horticulture CRSP Background Information

CRSPs. Horticulture CRSP is one of ten Collaborative Research Support Programs (CRSPs) funded by the United States Agency for International Development (USAID). CRSPs have the following goals and characteristics:

- Coordinated, multi-disciplinary research programs that are collaboratively developed and cooperatively implemented, with shared responsibilities between U.S. and host country institutions and scientists. CRSP goals are to support economic growth and to reduce poverty through the generation of knowledge and technologies important to the development of agriculture and natural resources of developing and transition countries, while also contributing to the improvement of agriculture in the U.S.
- Long-term activities carried out largely in developing countries. Research proposals are selected competitively and are subject to review by USAID.
- Development of the human and institutional capability of research organizations in the countries where CRSP activities are located. Research projects are a vehicle for this capacity development, as are graduate degree programs, research assistantships, and workshops. The institutional relationships established between CRSPs and host country institutions are intended to be enduring and to transcend the life of the CRSP.

Horticulture CRSP Goals. Based on needs identified by the Global Horticulture Assessment (GHA) (http://pdf.usaid.gov/pdf_docs/pnadh769.pdf), Horticulture CRSP emphasizes challenges and opportunities in seven key areas – gender equity, sustainable crop production, postharvest technology, food safety, market access, and financing. Constraints in each of these areas can limit the opportunity for limited resource communities to participate in the value chain. In each area there are exciting opportunities to deploy innovative technologies, introduce new germplasm, and create innovative marketing partnerships and strategies that will facilitate their participation. The goals of Horticulture CRSP are to realize the opportunity that horticultural development offers, of meeting food needs and improving nutrition and human health in lesser developed countries, while providing opportunities for income diversification and consequent economic and social advancement of the rural poor, particularly women. Horticulture CRSP research and training activities will increase food security and improve the quality of life of people in developing countries while bringing an international focus to the research, teaching, and extension efforts of U.S. institutions. These goals will be achieved through collaborations between U.S. universities and national and regional institutions abroad that are active in horticulture research and development.

Specifically, the Horticulture CRSP objectives are:

1. To build local scientific and technical capacity,
2. To apply research findings and technical knowledge to increase small producers' participation in markets, and
3. To facilitate the development of policies to improve local horticultural trade and export capacity.

Strategies for achieving these goals and objectives include:

- Developing knowledge pertaining to horticultural agriculture as a means of building sustainable human, economic, technological and institutional capacity via interventions and strategies, and

- Organizing and extending the knowledge developed in modalities that can be readily adapted and implemented for sustainable farming, value chain building, education, training, and decision-making at global, national, regional and local levels.

Integrated and cross-cutting strategies to achieve these goals are:

- To identify the constraints to production, postharvest, food safety, marketing, and enabling environment for stakeholders in horticultural value chains, particularly small enterprises and those led by women,
- To build institutional and personal capacity through horticultural research activities and their applications
- To invest in education, training, and extension of technology to smallholder producers, agricultural support personnel and institutions in host-country partnerships
- To build and support linkages between producers and markets through policy recommendations, information and technology interventions for gender-empowering, financial and socioeconomic solutions
- To provide specific and flexible mechanisms through public and private partnership and stakeholder interactions to reduce poverty, improve nutrition, support gender equity, promote food security and invest in pro-poor educational and economic development of small holder production and competitiveness in high-valued horticultural products.

USAID’s Feed the Future. Horticulture CRSP’s goals associated with battling malnutrition, improving gender equity, and providing income to smallholder farmers aligns well with USAID’s Feed the Future Initiative. Feed the Future (FTF) pursues two paths: (1) addressing the root causes of hunger that limit the potential of millions of people; and (2) establishing a lasting foundation for change by aligning USAID resources with country-owned processes and sustained, multi-stakeholder partnerships. Through USAID leadership in this initiative, we advance global stability and prosperity by improving the most basic of human conditions – the need that families and individuals have for a reliable source of quality food and sufficient resources to access and purchase it.

FTF and other U.S. government priorities – including global health and climate change – allow us to confront the growing challenges of global poverty, disease, water scarcity, climate change and depleting natural resources. By addressing these complex challenges and promoting our values, we protect our own security and lay the foundation for a more peaceful and prosperous future for all. More information on Feed the Future can be found at <http://www.feedthefuture.gov/>.

Horticulture CRSP Commitment to Information Accessibility. The Global Horticulture Assessment noted the desperate need in rural communities for information – on marketable crops and varieties, on production techniques, postharvest handling, and market requirements and access. Horticulture CRSP projects will include strategies for extending information and technologies developed during the project, and eventually linkages to the Global Horticulture Knowledge Bank (<http://hortkb.weebly.com/>).

Horticulture CRSP Commitment to “Leapfrog” Technologies. Horticulture CRSP projects that explore ‘disruptive’ or ‘leapfrog’ technologies will provide advanced tools, in an appropriate form, to stimulate and facilitate horticultural development worldwide. An example of this approach is to capitalize on the rapidly decreasing cost and increasing efficiency of photovoltaic devices to power innovative technologies for horticultural applications. Horticulture CRSP will also encourage projects that harness the explosion in knowledge of the molecular and biochemical basis of plant growth and development to develop novel germplasm (through biotechnology, marker-assisted, or conventional breeding) that addresses constraints to horticultural production, particularly biotic and abiotic stresses.

Horticulture CRSP Commitment to Gender Equity. In developing countries, women provide as much as 90% of the labor for the production of horticultural crops. Although they represent a reservoir of production and marketing knowledge of what are often termed ‘women’s crops’ they usually are compensated with lower wages and less permanent positions than those available to men. Lacking knowledge of how finance works and where to get it, as well as collateral to insure it, women have unequal access to technology and production inputs and therefore reduced opportunities for economic advancement. All Projects should consider gender and enabling environment issues. Project proposals specifically addressing gender inequality will be expected to evaluate gender-based constraints, provide leadership and technical training, and provide outreach or policy assistance to develop solutions. Some training activities are expected to target women, including training for female extension specialists.

In addition to the innovation, training, and capacity building noted above, success for Horticulture CRSP will include demonstrable impacts in

- Increased production of selected horticulture products in target countries
- Increased trade of selected horticulture products in target countries
- Increased value-addition of selected horticulture products in target countries
- Investment in host country agri-industry that increases employment

Proposal Preparation and Submission Instructions

Who May Submit Proposals. Each team must be led by a U.S. public university and include at least one host country institution or organization (IARCs, NGOs, or other private/public sector partners).

When to Submit Proposals. Full proposals are due to Horticulture CRSP on October 31, 2011 at 5:00 p.m. Pacific Daylight Time. Applications received after the deadline will not be considered for funding.

Funding Restrictions and Cost Share. Proposals are not to exceed the amount outlined in your letter. Institutions may claim indirect costs at the lesser of 20% of modified total direct costs or their Institution's approved rate; indirect costs should not be claimed if no approved rate is in effect. Each applicant will be required to identify 25% of the total federal dollars per year in matching funds from non-federal sources and may match unrecovered indirect costs as part of that total.

Proposal Format and Submission. Proposals are to be emailed to Horticulture CRSP at hortcrsp@ucdavis.edu. Two files are to be submitted:

1. Complete proposal in PDF format (one file).
2. Complete budget in Excel format using the Horticulture CRSP budget form. (<http://hortcrsp.ucdavis.edu/Forms/2010budget.xlsx>)

Proposals are to be formatted as 8.5" x 11" pages, single spaced, 1 inch margins on all sides, Times New Roman, font size 12. Proposals not submitted in the correct format will not be reviewed.

Sections of the Proposal

I. Cover Page

The Cover Page can be made in accordance to your institution's requirements but must include the following:

- Project Title
- Lead Institution Applying for the Award
- Names, titles, mailing addresses, email addresses, and telephone and FAX numbers of Principal Investigators and Collaborators
- Signature and contact information for authorized official from the Lead Institution
- Contact information for person to contact for proposal questions
- Contact information for person responsible for negotiating final contract

An example of a cover page can be found in Appendix I.

II. Project Summary Page

The Project Summary Page is limited to one page and should include only the following

- 200- to 250- word abstract (to be used when describing the project to USAID, reviewers, media, and other interested persons)
- Up to 5 keywords
- List of countries where project will take place
- Total amount of money requested.
- Percentage of requested funds (\$) that will be sent to Focus Country Institution(s)

III. Technical Narrative (16 pages maximum for items a through j (suggested page number limits are included in each section and literature cited does not count towards 16 page limit)

- a. Introduction (~2 pages recommended). Introduction should include, but is not limited to, a statement of the problem, project justification, review of current situation at the end of your previous project and related development activities, approach, and expected impacts. Please indicate how this project will build on your previous project activities
- b. Overall Objectives Addressed (~1 page recommended). Include a description of how project fits with the objectives of Horticulture CRSP, USAID's Feed the Future, and the specific Feed the Future plans within the target country(ies).
- c. Specific Project Objectives(~1 page recommended). Include a list and description of project objectives.

- d. Activities and Methodology (~4 pages recommended). Outline the activities and methodologies required to accomplish each objective. Successful proposals should include the project research plan and outline how research is to be conducted, analyzed and disseminated.
- e. Roles of Partners (~1 page recommended). Indicate the team members whose expertise is critical to each phase of the project and the role the partners played in project development.
- f. Timeline of Activities (~1 page recommended). Include a timeline to accomplish activities and expected outcomes.
- g. Outreach and Capacity Building (~2 pages recommended). Outreach, extension, and capacity building are central to any Horticulture CRSP Project. This section should include explicit details of how project outputs will be disseminated to local farmers as well as how the project builds local capacity. Describe involvement of graduate and undergraduate students from U.S. and focus country(ies). Thoughtful consideration to the mode of information delivery are crucial (i.e. if a workshop is planned, there should be concrete reasons as to why a workshop is a better outreach method than other methods). Provide a list of outreach activities and deliverables.
- h. Sustainability (~1 page recommended). Indicate how the project will be sustained beyond the funding cycle.
- i. Gender (~1 page recommended). Gender equity is central to achieving Horticulture CRSP goals. This section should include a plan on how gender issues were taken into consideration in this proposal, how constraints that limit women's participation in agricultural development are addressed, and how community level gender issues will be approached to achieve gender parity. Successful proposals will give meaningful consideration to gender issues in the design of their program. Guidelines to Horticulture CRSP's gender principles can be found in Appendix II.
- j. Innovative Technologies (~1 page recommended). Describe any "disruptive" or innovative technologies or processes included in the proposed project and their potential for impact.
- k. Literature Cited.
- l. Monitoring and Evaluation Plan. Projects funded to address the goals of the Horticulture CRSP will be evaluated based on a results-based (logical) framework and all proposals must include a monitoring and evaluation (M&E) plan. Projects will address Objectives through defined Activities which will have specific Outcomes (deliverables/outputs) and Measures of Success. Monitoring and Evaluation Plans will be used to assess progress toward objectives if project is awarded. Must include baseline assessment of situation in terms of the topic area and region. Within this framework, we define the following terms and provide a sample table below:
 - Objectives. A statement of intention. Objectives should be specific, measurable, achievable, realistic and time-bound. e.g. reducing postharvest losses of leafy vegetables in East Africa.
 - Activities. Research or training/outreach programs intended to achieve the objectives. e.g. determine the benefits of perforated plastic bags for reducing water loss, evaluate the use of evaporative coolers for short term storage and transport, & conduct a 3-day workshop and demonstration for women's farmer groups.

- Outcomes (Deliverables/Outputs). Expected results of the activities. e.g. documented effects of plastic bags and evaporative coolers on weight loss, 50 women farmers trained in postharvest technology
- Measure of Success. How will you decide if your activity was successful? e.g. perforated plastic bags and evaporative cooling significantly reduce water loss of leafy greens, trainees have a significantly increased understanding of postharvest technology
- Documentation of Success. How will you objectively document the success of your activities? e.g. extension bulletin in local language(s) on benefits of perforated bags and evaporative cooler, results of pre- and post-training quizzes to document knowledge gained.
- Impact. What is the long-term result of the activities and outcomes, e.g. reduced losses of leafy greens after harvest

Objective 1:				
Activities	Outcomes	Measure of Success	Documentation of Success	Impact
Insert more rows as needed.				

m. Performance Indicators. The following indicator table must be completed for each proposed project. Progress towards indicators will be measured on a regular basis during the project and are one way that projects are continually evaluated. Only a subset of these indicators may be relevant for any given project and some indicators will remain blank. The indicator table is available in Microsoft Excel at <http://hortcrsp.ucdavis.edu/main/2011comprehensivecall.html> and includes definitions of most of the indicators as links.

Agriculture Indicators

Implementing Partner:

4.5.1 Agriculture Enabling Environment

Total for Project **Notes**

<u>Number of policies/regulations/administrative procedures analyzed as a result of USG assistance.</u>		
<u>Number of policy reforms, regulations, administrative procedures prepared with USG assistance passed/approved drafted and presented for public/stakeholder consultation as a result of USG assistance</u>		
<u>Number of policy reforms/regulations/administrative procedures presented for legislation/decreed as a result of USG assistance.</u>		
<u>Number of policy reforms/regulations/administrative procedures passed for which implementation has begun with USG assistance.</u>		
<u>Number of individuals who have received USG supported short-term agricultural enabling environment training - Female</u>		
<u>Number of individuals who have received USG supported short-term agricultural enabling environment training - Male</u>		
<u>Number of individuals who have received USG supported long-term agricultural enabling environment training - Female</u>		
<u>Number of individuals who have received USG supported long-term agricultural enabling environment training - Male</u>		

4.5.2 Agriculture Sector Productivity

Total for Project **Notes**

<u>Number of new technologies or management practices under research as a result of USG assistance.</u>	Agricultural Production	
	Postharvest	
	Markets	
	Other (specify)	
	Total	
<u>Number of new technologies or management practices made available for transfer as a result of USG assistance.</u>	Agricultural Production	
	Postharvest	
	Markets	
	Other (specify)	
	Total	
<u>Number of new technologies or management practices being field tested as a result of USG assistance.</u>	Agricultural Production	
	Postharvest	
	Markets	
	Other (specify)	
	Total	
<u>Number of additional hectares under improved technologies or management practices as a result of USG assistance.</u>	Agricultural Production	
	Postharvest	
	Markets	
	Other (specify)	
	Total	
<u>Number of farmers, processors, and others who have adopted new technologies or management practices</u>	Agricultural Production	
	Postharvest	
	Markets	

Technologies or management practices as a result of USG assistance - Female	Other (specify) Total	
Number of farmers, processors, and others who have adopted new technologies or management practices as a result of USG assistance - Male	Agricultural Production Postharvest Markets Other (specify) Total	
Number of rural households benefiting directly from USG interventions - Female Headed Household	Agricultural Production Postharvest Markets Other (specify) Total	
Number of rural households benefiting directly from USG interventions - Male Headed Household	Agricultural Production Postharvest Markets Other (specify) Total	
Number of producers organizations receiving USG assistance.	Agricultural Production Postharvest Markets Other (specify) Total	
Number of water users associations receiving USG assistance.	Agricultural Production Postharvest Markets Other (specify) Total	
Number of trade and business associations receiving USG assistance.	Agricultural Production Postharvest Markets Other (specify) Total	
Number of community-based organizations (CBOs) receiving USG assistance.	Agricultural Production Postharvest Markets Other (specify) Total	
Number of producers organizations who have adopted new technologies or management practices as a result of USG assistance.	Agricultural Production Postharvest Markets Other (specify) Total	
Number of water user associations who have adopted new technologies or management practices as a result of USG assistance.	Agricultural Production Postharvest Markets Other (specify) Total	
Number of trade and business associations who have adopted new technologies or management practices as a result of USG assistance.	Agricultural Production Postharvest Markets Other (specify) Total	

<u>Number of community-based organizations (CBO) who have adopted new technologies or management practices as a result of USG assistance.</u>	Agricultural Production Postharvest Markets Other (specify) Total	
<u>Number of agriculture-related firms benefiting directly from USG supported interventions.</u>	Agricultural Production Postharvest Markets Other (specify) Total	
<u>Number of women's organizations/associations assisted as a result of USG interventions.</u>	Agricultural Production Postharvest Markets Other (specify) Total	
<u>Number of public-private partnerships formed as a result of USG assistance.</u>	Agricultural Production Postharvest Markets Other (specify) Total	
<u>Number of individuals who have received USG supported short-term agricultural sector productivity or food security training - Female</u>	Agricultural Production Postharvest Markets Other (specify) Total	
<u>Number of individuals who have received USG supported short-term agricultural sector productivity or food security training - Male</u>	Agricultural Production Postharvest Markets Other (specify) Total	
<u>Number of individuals who have received USG supported long-term agricultural sector productivity food security training - Female</u>	Agricultural Production Postharvest Markets Other (specify) Total	
<u>Number of individuals who have received USG supported long-term agricultural sector productivity or food security training - Male</u>	Agricultural Production Postharvest Markets Other (specify) Total	
<u>Value of new private sector investment in the agriculture sector or food chain leveraged by FTF implementation.</u>	Agricultural Production Postharvest Markets Other (specify) Total	
<u>Number of jobs attributed to FTF implementation (disagregated by gender, ag vs non-ag)</u>	Agricultural Production Postharvest Markets Other (specify) Total	
Number of research projects and/or	Agricultural Production Postharvest	

technologies of potential benefit to U.S. horticultural industries	Markets	
	Other (specify)	
	Total	

Capacity Building (Horticulture CRSP Indicator)		Total for Project	Notes
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Number of host country institutions, agencies and organizations in direct cooperation or collaboration	Agricultural Production	
	Postharvest	
	Markets	
	Other (specify)	
	Total	

Number of workshops conducted for host country institution, agency, and organization personnel	Agricultural Production	
	Postharvest	
	Markets	
	Other (specify)	
	Total	

Number of host country professionals attending workshops, training conferences, or similar - Female	Agricultural Production	
	Postharvest	
	Markets	
	Other (specify)	
	Total	

Number of host country professionals attending workshops, training conferences, or similar - Male	Agricultural Production	
	Postharvest	
	Markets	
	Other (specify)	
	Total	

Number of graduate degrees earned by host country as a result of Hort CRSP project - Female	Agricultural Production	
	Postharvest	
	Markets	
	Other (specify)	
	Total	

Number of graduate degrees earned by host country as a result of Hort CRSP project - Male	Agricultural Production	
	Postharvest	
	Markets	
	Other (specify)	
	Total	

Number of certificate training programs conducted	Agricultural Production	
	Postharvest	
	Markets	
	Other (specify)	
	Total	

Number of certificates earned by host country professionals - Female	Agricultural Production	
	Postharvest	
	Markets	
	Other (specify)	
	Total	

Number of certificates earned by host country professionals - Male	Agricultural Production	
	Postharvest	
	Markets	
	Other (specify)	
	Total	

Number of U.S. faculty providing training or instruction in host country - Female	Agricultural Production	
	Postharvest	
	Markets	
	Other (specify)	
	Total	
Number of U.S. faculty providing training or instruction in host country - Male	Agricultural Production	
	Postharvest	
	Markets	
	Other (specify)	
	Total	
Number of host country extension workers, university faculty or other host country professionals involved in providing training to other host country professionals - Female	Agricultural Production	
	Postharvest	
	Markets	
	Other (specify)	
	Total	
Number of host country extension workers, university faculty or other host country professionals involved in providing training to other host country professionals - Male	Agricultural Production	
	Postharvest	
	Markets	
	Other (specify)	
	Total	
Number of host country professionals directly involved in conduction Hort CRSP research activities - Female	Agricultural Production	
	Postharvest	
	Markets	
	Other (specify)	
	Total	
Number of host country professionals directly involved in conduction Hort CRSP research activities - Male	Agricultural Production	
	Postharvest	
	Markets	
	Other (specify)	
	Total	

IV. Statement of Institutional Experience (1 page limit). Include a description of the international development experience for each institution involved in the project and a description of successful projects conducted by institutions in similar project area(s).

V. Curriculum vitae (CV). Include one curriculum vitae or bio-sketch for the lead PI, Co-PIs, and key project personnel (2 pages maximum per CV).

VI. Budget. Budget must be submitted using the Horticulture CRSP Interactive Budget Form found at <http://hortcrsp.ucdavis.edu/Forms/2010budget.xlsx>.

VII. Budget Justification and Cost Sharing Narrative. A separate budget justification and cost-sharing narrative is required for each institution requesting funding. Each budget justification (items a. – j.) is limited to three pages per institution, and each cost-sharing narrative (item k.) is limited to one page per institution. The justification should be formatted in the order listed below. Incomplete justifications may be returned without budget review.

- a. Senior Personnel. Provide names and titles for all senior personnel, including those who are not being paid by the project. State the appropriate amount of effort as a percentage or calendar months for each key person on the project. Senior personnel from another institution should be reflected on the corresponding budget and budget justification for that institution.
- b. Support Personnel. Provide the title/position/role for all support personnel. Administrative salary is not allowed as a direct cost.
- c. Travel. Detail domestic travel using applicable rates (mileage, etc.). Provide a full explanation for each anticipated international trip—this explanation needs to include the following information (per trip):
 - names and/or number of travelers
 - destination country

Provide the method of calculation for each international trip including applicable per diem rates. All USAID funded travel must be purchased in compliance with the Fly America Act. Entry to and exit from the U.S. **must** be on a U.S. flag air carrier. Travel budget must include air travel and lodging for the U.S. P.I. plus at least one focus country collaborator to attend three annual Hort CRSP project meetings at the following tentative locations: 1) Bangkok, Thailand February 8-12, 2012; 2) East Africa in February-March 2013 (suggested Nairobi); 3) Central America in February-March, 2014 (suggested Honduras).

- d. Materials and Supplies. List specific supplies and costs if possible; if specifics are unknown, list specific categories of supplies. No miscellaneous or contingency categories are allowed. All goods and services must meet the source, origin, and nationality requirements set forth in 22 CFR Part 228 for the authorized geographic code 000, the United States. The following goods are restricted and may not be purchased without prior approval:
 - agricultural commodities
 - pharmaceuticals
 - pesticides
 - US Government-owned excess property
 - fertilizer

PRIOR APPROVAL will be deemed to have been met when:

- the item is of US source/origin;
 - the item has been identified and incorporated in the program description or schedule of the award (initial or revisions), or amendments to the award; and
 - the costs related to the item are incorporated in the approved budget of the award.
- e. Equipment. Equipment is defined as tangible, non-expendable property having a useful life of more than one year and an acquisition cost of \$5,000 or more per unit. Motor vehicles and used equipment are not allowed. All goods and services must meet the source, origin, and nationality requirements set forth in 22 CFR Part 228 for the authorized geographic code 000, the United States. Detail each piece of equipment by name/model/type.
- f. Participant Training. Guidelines for participant training are found in ADS Chapter 253 – Training for Development: <http://www.usaid.gov/policy/ads/200/253.pdf>. Detail each training program separately using one of the following identifiers: **in-country; third-country; US-based**. Each program **must** have a title/description, proposed country, approximate number of participants, and approximate dates. Costs for each program **must** be broken down into three categories: **instruction** (books, equipment, supplies, course handouts, registration fees, academic tuition and fees); **participant costs** (per diem, medical exams, visa fees, health and accident insurance premia, federal/state/local income taxes); **travel** (cost of transportation to and from the training site and travel within the training site. All USAID funded travel must be purchased in compliance with the Fly America Act. Entry to and exit from the U.S. **must** be on a U.S. flag air carrier.).
- For all in-country training, costs and allowances may be proposed by the training provider for review and approval by the Horticulture CRSP Management Entity.
 - For third-country and U.S.-based short-term training (fewer than six months), program allowance rates (such as standard per diem rates) are based on the General Services Administration (GSA)'s Standardized U.S. Government Federal Travel Regulations, as established by the General Services Administration (GSA). These rates are found at **41 CFR 301-7** and **301-8**.
 - For third-country long-term training (greater than 6 months), costs and allowances may be proposed by the training provider for review and approval by the Horticulture CRSP Management Entity.
 - For U.S. long-term training (greater than six months), please refer to The Institute for International Education (IIE) for the Department of State which researches and publishes the long-term training allowance rates for U.S. training sites which are available on request. Annual tuition caps for out-of-state students are currently at \$22,514 for undergraduate students and \$27,579 for graduate students (a five percent inflation factor may be added for each successive year).
- g. Other. Some examples are greenhouse fees, maintenance agreements, honoraria, repairs, analyses, and long-distance toll charges. All goods and services must meet the source, origin, and nationality requirements set forth in 22 CFR Part 228 for the authorized geographic code 000, the United States. Travel fees and insurance should be included under "Travel" or "Participant Training" as appropriate.
- h. Graduate Student Fees. Enter research graduate student fees here (i.e. student is working on the project in a research capacity and is not directly receiving training or units towards

a degree by virtue of employment). For program training, the fees should be reflected in the participant training section of the budget.

- i. **Subawards.** Briefly list each subaward here and include yearly and cumulative amounts. Each subaward will have its own, separate budget and budget justification. Do not fill in the subaward totals on the main budget sheet as they will auto-fill after entering in any applicable subaward budgets on the provided worksheets. The subaward budget sheets also allow for subawards—enter the appropriate total amounts for each on the worksheet and detail the budget in the justification.
- j. **Indirect Costs.** Institutions may claim indirect costs at the lesser of 20% of modified total direct costs (direct costs excluding equipment, tuition, participant training, and subaward expenses beyond the initial \$25,000 for each subaward) or their Institution's approved rate. If no approved rate applies, then the indirect cost rate should be zero. Administrative fees requested by foreign subawards should not exceed 8 – 10%. The budget spreadsheet is formatted to calculate indirect costs based on modified total direct costs. Please contact Heather Kawakami at hekawakami@ucdavis.edu if a different method of calculation is needed. **An approved indirect cost rate agreement for each institution claiming indirect costs must be provided at the time of proposal submission.**
- k. **Cost Sharing.** Cost sharing is required at 25% of the total federal funds requested from the Horticulture CRSP. The cost share must consist of non-federally funded contributions that meet the criteria detailed in 22 CFR 226.23. Cost sharing may include, but is not limited to: 1) principal investigator/senior personnel effort; 2) in-kind contributions; 3) cash contributions; 4) unrecovered indirect costs; 5) indirect costs on principal investigator/senior personnel effort. **Cost-sharing documentation from the contributing entity must be provided at the time of proposal submission** (in most cases, this will be in the form of a letter signed by the authorized organizational representative). Some items that are ineligible for cost sharing are existing equipment, administrative services, office and lab space, and administrative fees in lieu of indirect costs. The required cost share may come from any combination from the main institution and subaward(s) as appropriate. Provide a detailed cost-sharing narrative listing institution(s), dollar amounts, and descriptions.

VIII. **Supporting Budget Letters.** The following supporting budget letters must be attached.

- a. Indirect Cost Rate agreements for any institution (main and sub) that requests indirect costs.
- b. Signed letter(s) of commitment or support from all subawardees to the main applicant including any pledged cost-share dollars. Letter should be signed by the authorized organizational representative.
- c. Signed letter of commitment or support from the main applicant's institution that supports the level of cost-sharing on the proposal. Letter should be signed by the authorized organizational representative.

IX. **Letter of support from the USAID Mission(s) in the country(ies) impacted by project.** Letter should outline support from USAID and confirm that project aligns with country plan.

X. Additional Letters of Support (if any). Please provide general letters of support. Letters of support can include letters that indicate other sources of funding. Please indicate the objectives addressed by the additional funding in comparison with the current funding request and the respective costs.

XI. Statement of Current and Pending Support for Each PI. Please include active and pending projects, including this proposal, outline the supporting agency, amount of award, project dates, percent of time committed, and title of project. The form below can be used.

	Name of PI (list lead PI first)	Supporting Agency	Total \$ Amount	Effective and Expiration Dates	% of Time Committed	Title of Project
Current						
Pending						

XII. Signed Assurances Statement. The following assurances statement must be signed by the institution and included as the last part of the project proposal PDF.

ASSURANCES - NON-CONSTRUCTION PROGRAMS

Public reporting burden for this collection of information is estimated to average 15 minutes per response, including time for reviewing instructions, searching existing data sources, gathering and maintaining the data needed, and completing and reviewing the collection of information. Send comments regarding the burden estimate or any other aspect of this collection of information, including suggestions for reducing this burden, to the Office of Management and Budget, Paperwork Reduction Project (0348-0040), Washington, DC 20503.

PLEASE DO NOT RETURN YOUR COMPLETED FORM TO THE OFFICE OF MANAGEMENT AND BUDGET. SEND IT TO THE ADDRESS PROVIDED BY THE SPONSORING AGENCY.

NOTE: Certain of these assurances may not be applicable to your project or program. If you have questions, please contact the awarding agency. Further, certain Federal awarding agencies may require applicants to certify to additional assurances. If such is the case, you will be notified.

As the duly authorized representative of the applicant, I certify that the applicant:

1. Has the legal authority to apply for Federal assistance and the institutional, managerial and financial capability (including funds sufficient to pay the non-Federal share of project cost) to ensure proper planning, management and completion of the project described in this application.
2. Will give the awarding agency, the Comptroller General of the United States and, if appropriate, the State, through any authorized representative, access to and the right to examine all records, books, papers, or documents related to the award; and will establish a proper accounting system in accordance with generally accepted accounting standards or agency directives.
3. Will establish safeguards to prohibit employees from using their positions for a purpose that constitutes or presents the appearance of personal or organizational conflict of interest, or personal gain.
4. Will initiate and complete the work within the applicable time frame after receipt of approval of the awarding agency.
5. Will comply with the Intergovernmental Personnel Act of 1970 (42 U.S.C. §§4728-4763) relating to prescribed standards for merit systems for programs funded under one of the 19 statutes or regulations specified in Appendix A of OPM's Standards for a Merit System of Personnel Administration (5 C.F.R. 900, Subpart F).
6. Will comply with all Federal statutes relating to nondiscrimination. These include but are not limited to: (a) Title VI of the Civil Rights Act of 1964 (P.L. 88-352) which prohibits discrimination on the basis of race, color or national origin; (b) Title IX of the Education Amendments of 1972, as amended (20 U.S.C. §§1681-1683, and 1685-1686), which prohibits discrimination on the basis of sex; (c) Section 504 of the Rehabilitation Act of 1973, as amended (29 U.S.C. §794), which prohibits discrimination on the basis of handicaps; (d) the Age Discrimination Act of 1975, as amended (42 U.S.C. §§6101-6107), which prohibits discrimination on the basis of age; (e) the Drug Abuse Office and Treatment Act of 1972 (P.L. 92-255), as amended, relating to nondiscrimination on the basis of drug abuse; (f) the Comprehensive Alcohol Abuse and Alcoholism Prevention, Treatment and Rehabilitation Act of 1970 (P.L. 91-616), as amended, relating to nondiscrimination on the basis of alcohol abuse or alcoholism; (g) §§523 and 527 of the Public Health Service Act of 1912 (42 U.S.C. §§290 dd-3 and 290 ee-3), as amended, relating to confidentiality of alcohol and drug abuse patient records; (h) Title VIII of the Civil Rights Act of 1968 (42 U.S.C. §§3601 et seq.), as amended, relating to nondiscrimination in the sale, rental or financing of housing; (i) any other nondiscrimination provisions in the specific statute(s) under which application for Federal assistance is being made; and, (j) the requirements of any other nondiscrimination statute(s) which may apply to the application.
7. Will comply, or has already complied, with the requirements of Titles II and III of the Uniform Relocation Assistance and Real Property Acquisition Policies Act of 1970 (P.L. 91-646) which provide for fair and equitable treatment of persons displaced or whose property is acquired as a result of Federal or federally-assisted programs. These requirements apply to all interests in real property acquired for project purposes regardless of Federal participation in purchases.
8. Will comply, as applicable, with provisions of the Hatch Act (5 U.S.C. §§1501-1508 and 7324-7328) which limit the political activities of employees whose principal employment activities are funded in whole or in part with Federal funds.

9. Will comply, as applicable, with the provisions of the Davis-Bacon Act (40 U.S.C. §§276a to 276a-7), the Copeland Act (40 U.S.C. §276c and 18 U.S.C. §874), and the Contract Work Hours and Safety Standards Act (40 U.S.C. §§327-333), regarding labor standards for federally-assisted construction subagreements.
10. Will comply, if applicable, with flood insurance purchase requirements of Section 102(a) of the Flood Disaster Protection Act of 1973 (P.L. 93-234) which requires recipients in a special flood hazard area to participate in the program and to purchase flood insurance if the total cost of insurable construction and acquisition is \$10,000 or more.
11. Will comply with environmental standards which may be prescribed pursuant to the following: (a) institution of environmental quality control measures under the National Environmental Policy Act of 1969 (P.L. 91-190) and Executive Order (EO) 11514; (b) notification of violating facilities pursuant to EO 11738; (c) protection of wetlands pursuant to EO 11990; (d) evaluation of flood hazards in floodplains in accordance with EO 11988; (e) assurance of project consistency with the approved State management program developed under the Coastal Zone Management Act of 1972 (16 U.S.C. §§1451 et seq.); (f) conformity of Federal actions to State (Clean Air) Implementation Plans under Section 176(c) of the Clean Air Act of 1955, as amended (42 U.S.C. §§7401 et seq.); (g) protection of underground sources of drinking water under the Safe Drinking Water Act of 1974, as amended (P.L. 93-523); and, (h) protection of endangered species under the Endangered Species Act of 1973, as amended (P.L. 93-205).
12. Will comply with the Wild and Scenic Rivers Act of 1968 (16 U.S.C. §§1271 et seq.) related to protecting components or potential components of the national wild and scenic rivers system.
13. Will assist the awarding agency in assuring compliance with Section 106 of the National Historic Preservation Act of 1966, as amended (16 U.S.C. §470), EO 11593 (identification and protection of historic properties), and the Archaeological and Historic Preservation Act of 1974 (16 U.S.C. §§469a-1 et seq.).
14. Will comply with P.L. 93-348 regarding the protection of human subjects involved in research, development, and related activities supported by this award of assistance.
15. Will comply with the Laboratory Animal Welfare Act of 1966 (P.L. 89-544, as amended, 7 U.S.C. §§2131 et seq.) pertaining to the care, handling, and treatment of warm blooded animals held for research, teaching, or other activities supported by this award of assistance.
16. Will comply with the Lead-Based Paint Poisoning Prevention Act (42 U.S.C. §§4801 et seq.) which prohibits the use of lead-based paint in construction or rehabilitation of residence structures.
17. Will cause to be performed the required financial and compliance audits in accordance with the Single Audit Act Amendments of 1996 and OMB Circular No. A-133, "Audits of States, Local Governments, and Non-Profit Organizations."
18. Will comply with all applicable requirements of all other Federal laws, executive orders, regulations, and policies governing this program.

SIGNATURE OF AUTHORIZED CERTIFYING OFFICIAL	TITLE	
APPLICANT ORGANIZATION		DATE SUBMITTED

Proposal Evaluation Process

Proposals will be reviewed by at least three reviewers external to Horticulture CRSP. Reviewers are solicited worldwide and have relevant experience to the topic areas. External reviewer ratings and comments will be combined with those of the Horticulture CRSP Management Entity. Final approval of all Horticulture CRSP projects is made by the Horticulture CRSP Management Entity in consultation with the USAID AOTR and Hort CRSP International Advisory Board. Proposals will be rated by the following criteria:

- **Project Impact:** How well does the proposed project contribute to attainment of the Horticulture CRSP and Feed the Future goals, objectives and themes? What is the potential for success (20 points)
- **Capacity Building:** How well do the degree, faculty exchange, certificate and short-term training programs build capacity for sustaining future horticulture development in the focus countries? How well are university faculty, and graduate and undergraduate students from focus countries engaged in the project? Is a significant (and appropriate) amount of funding is being provided to the focus-country organizations? (15 points)
- **Scientific Merit:** How important is the proposed activity to advancing knowledge and understanding in the focus area of horticulture? To what extent are the activities focused on addressing bottlenecks in the system? To what extent do the proposed activities utilize “leap frog” or “disruptive” technologies and explore creative and original concepts? Are the proposed research and outreach methods appropriate? Can the proposed research be technically implemented within the proposed time frame and budget and given the available resources? Are proposed research and extension activities effectively targeted towards project objectives? (20 points)
- **Participatory Partnerships:** How well qualified is the research team to conduct the project? Is the proposed team sufficiently diverse institutionally (universities, IARCs, NGOs, Private Sector, etc.), disciplinarily (social, biological and physical scientists), and by gender for the intended research? Is a socio-economist included in the project? Were developing country stakeholders and/or USAID Missions sufficiently involved in the conception and design of the research application? How well does the research proposal integrate stakeholders into the research program? Have collaborations been forged with other groups involved in similar work? Effectiveness of identified groups of local stakeholders? (15 points)
- **Gender and Enabling Environment:** How well is the gender of stakeholders (end-users, trainees, and other participants) taken into account? To what extent has gender sensitivity been integrated into activities? How well does the proposed activity broaden the participation of women? Has significant consideration been given to gender issues in project development? Does the project contribute to policies and/or market access that will ultimately alleviate poverty, enhance quality of life, and improve economic livelihoods of woman and their families? (15 points)

- **Monitoring, Evaluation and Impact Plan:** How well is the Monitoring and Evaluation (M&E) plan developed and designed specifically for the proposed project? Are benchmarks established so progress toward achieving objectives can be measured? Are the measures of success measurable and the documentation of success legitimate? (15 points)

Appendix I - Cover Page Example

Horticulture Collaborative Research Support Program (Horticulture CRSP)

Comprehensive Project Proposal

Due: July 15, 2011

Proposal submitted to the Management Entity of the Horticulture CRSP under the Regents of the University of California

- Project Title:
- Lead Institution Applying for the Award:
- Names, titles, mailing addresses, email addresses, and telephone and FAX numbers of Principal Investigators and Collaborators:
- Contact information for person to contact for proposal questions:
- Contact information for person responsible for negotiating final contract:

Signature and contact information for authorized official from the Lead Institution:

By signing and submitting this proposal, the authorized official from the applicant's institution is certifying that statements made herein are true and complete to the best of his/her knowledge;

Authorized Signature

Name

Date

Phone number:

Fax:

Email address:

Appendix II - Gender Assessment

MINIMUM USAID GENDER GUIDELINES:

1. USAID guidelines on gender consider that ALL projects should be gender sensitive.
2. USAID guidelines ask everyone to do their utmost to include women as 50% of beneficiaries in ALL areas of your project. This means that if you cannot do so you need to provide justification or when possible find a creative way around constraints.

PRINCIPLES :

1. Gender refers to social characteristics of men and women, such as their different roles within the family or in farming and the types of behavior expected of them (for instance, women are gentle and faithful, men are strong and free). These issues speak to the ability of women and men in specific communities to carry out certain farming activities, to be able to travel outside their immediate area for training and meetings, to be sufficiently educated to participate in training, and so on.
2. Gender stereotypes will vary among cultural groups. It is necessary to be aware of how they function in your particular cultural group because they will affect constraints for both sexes. For instance, if you want to add more weeding on a man's crop and weeding is a woman's task in that culture, you may not get your technology adopted. Include in your proposal an assessment of how you will deal with this.
3. Gender issues also speak to who farms which crops and/or which practices do they do in farming. What are the differential usages of men and women regarding natural resources (water, firewood, etc.)? For instance, women's inability to participate in formal employment or their restraints in mobility may result in their using natural resources in order to get cash. For instance, in Africa women may cut down trees to sell the wood because they have no other income source.
4. Gender issues also exist in regard to scientists, extension agents, and students. This includes both numbers and in men's and women's perspectives.
5. Consider that one of the CRSP goals is to sensitize host country stakeholders at all levels - farmers, extension agents, local and national government officials, researchers, university faculty, etc. - to gender issues.

The Horticulture CRSP Management Entity can provide further help in formulating gender-sensitive criteria for your specific proposal. It can also offer training of trainers for teachers and trainers so they can incorporate gender training in their courses.

ASSESSMENT CRITERIA (Use those that apply to the work you are doing.)

General:

1. Review your stakeholder/participant list and consider the gender issues with each group.
2. In writing your proposal make the sex of your participants explicit - eg. Men and women farmers/students.
3. Go beyond numbers to consider gender stereotypes that might hamper participation of one group or other.
4. Add relevant gender training to all training programs, long and short term.

Farm/Enterprise level:

Specify the gender division of labor for Horticulture CRSP activities in your target area. Make it clear in your proposal what these are and the implications for your proposal.

1. Identify constraints on women - mobility, resources, etc. - so you can include ways of dealing with this in your proposal.
2. Clarify whether you will be dealing with men or women producers, marketers, and other stakeholders, or both. If not with both, please explain why not.
3. In addition to being gender sensitive, we ask you to be farmer sensitive. Show us that farmers and other stakeholders have been consulted on the various phases. And thus that what you are proposing corresponds to their needs.

Extension level:

1. Aim at working with a minimum of 50% women. If necessary figure out how to find relevant women in or near the communities who might be able to work as assistant extension agents. For instance, you will be working with extension services. You want to provide extension workers with bicycles but women in that area have traditionally not ridden bicycles. How will you handle this? Discuss the constraints in your research area in your proposal as also any relevant constraints on women/men farmers.
2. At the community level take into account how men and women are organized into associations, how group activities are structured, and what tasks provide for group communication such as doing laundry by the stream, or drinking tea under the shade tree.
3. Please provide gender assessment of the information knowledge transmission systems associated with your problem statement.

Training:

1. Short-term in-country training. Programs should be designed to include both sexes.
2. All courses should provide gender training at some level relative to the course subject and level.
3. Degree and certificate training should be offered to students of both sexes. The guidelines you should include in your proposal should be on the lines that 50% women is the desired percentage and the minimum percentage of female students should be 33%. If the percentage of women will be lower than 50% please provide an explanation for this and state what your project will do to ameliorate the situation.

Scientists:

Include women scientists in both the US and host countries. If you cannot do this, explain the constraints that have prevented this.