

PD-AAW-966

AGENCY FOR INTERNATIONAL DEVELOPMENT
WASHINGTON D C 20523

AUG 3 1987

Mr. Robert N. Havener
President
Winrock International Institute
for Agricultural Development
1611 N. Kent St., Suite 600
Arlington, Va., 22209

938 02510

Subject: Cooperative Agreement No. OTR-0290-A-00-7203-00

Dear Mr. Havener:

Pursuant to the authority contained in the Foreign Assistance Act of 1961, as amended, the Agency for International Development (hereinafter referred to as "A.I.D." or "Grantor") hereby provides to Winrock International Institute for Agricultural Development (hereinafter referred to as "Recipient"), the sum of \$950,000 to provide support for a program titled "On-Farm Seed Project for Sub-Saharan Africa" as described in the Schedule and the Program Description of this Cooperative Agreement.

This Cooperative Agreement is effective May 15, 1987 and shall apply to commitments made by the Recipient in furtherance of program objectives during the period beginning with the effective date and ending May 15, 1992.

This Cooperative Agreement is made to the Recipient on condition that the funds will be administered in accordance with the terms and conditions as set forth in Enclosure 1, entitled "Schedule", Enclosure 2, entitled "Program Description," and Enclosure 3 entitled "Standard Provisions," which have been agreed to by your organization.

[Handwritten signature]

Please sign the original and six copies of this letter to acknowledge your receipt of the Cooperative Agreement, and return the original and five copies to the Office of Procurement.

Sincerely yours,

Carolyn R. Eldridge

Carolyn R. Eldridge
Grant Officer
Management Support Branch
Office of Procurement

Enclosures:

1. Schedule
2. Program Description
3. Standard Provisions
4. Payment Forms
5. Report Guidance

ACKNOWLEDGED:

Winrock International Institute for Agricultural Development

BY:

HUGH T. MURPHY

TITLE:

Vice President

DATE:

Finance and Administration

11/2/87

FISCAL DATA

Total Estimated Amount: \$950,000
Total Obligated Amount: \$360,000
PIO/T No.: 7381309 Project No.: 938-0290
Appropriation: 72-1171021.3
Budget Plan Code EDNA87 13810 KG11
Allotment: 743-38-099-00-76-71
Funding Source: AID/W
Financial Management Paying Office: M/FM/PAFD
Grant Administration: Shane MacCarthy, FVA/PVC
Recipient DUNS No.: 075654418

FUNDS AVAILABLE

J. Stoddard
AUG 31 1987
o/c 4190

Program Acctg Fin Division
Office of Financial Management

ENCLOSURE 1

SCHEDULE

A. Purpose of Cooperative Agreement

The purpose of this Cooperative Agreement is to provide support for the Recipient's program to identify and promote improve methods of selection, production, saving and distribution of seeds and vegetative planting materials by small farmers as more specifically described in Enclosure 2 to this Cooperative Agreement entitled "Program Description." and the Recipient's proposal dated October 1986 which is incorporated herein by reference. In the event of an inconsistency between the Recipient's proposal, the program description, and this schedule; the schedule and then the program description shall take precedence.

B. Period of Cooperative Agreement

1. The effective date of this Cooperative Agreement is May 15, 1987. The expiration date of this Cooperative Agreement is May 15, 1992.

2. Funds obligated hereunder are available for program expenditures for the period from May 15, 1987 to May 15, 1989 as shown in the Budget below. In the event there are funds remaining after this date, the Recipient is authorized to utilize them for the purposes of the Agreement as long as they are used within the period shown in B.1 above.

C. Method of Payment and Amount of Cooperative Agreement

1. The total A.I.D. estimated amount of this Cooperative Agreement for the period shown in B.1 above is \$950,000.

2. AID hereby obligates the amount of \$360,000 for program expenditures during the period set forth in B.2. above and as shown in D below.

3. Additional funds up to the total amount of the Cooperative Agreement shown in C.1. above may be obligated by AID subject to the availability of funds, and to the requirements of the Standard Provision of the Cooperative Agreement, entitled "Revision of Budget"

4. Payment shall be made to the Recipient in accordance with procedures set forth in Attachment 3, Standard Provision No. , entitled "Payment, Letter of Credit."

D. Budget

The following is the Budget for this Cooperative Agreement. Revisions to this Budget shall be made in accordance with the Standard Provision of this Cooperative Agreement, entitled "Revision of Budget."

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BUDGET

	Year I 5-15-87 to 5-15-88	Year II 5-16-88 to 5-16-89	Year III 5-16-89 to 5-16-90	Year IV 5-16-90 to 5-16-91	Year V 5-16-91 to 5-16-92	Total
HQ Program Costs	\$ 47,332	\$ 48,821	\$ 50,492	\$ 52,225	\$ 53,984	\$ 252,800
HQ Procurement	3,400	3,449	3,500	3,552	3,606	17,500
HQ Indirect Costs	18,671	19,295	19,987	20,668	21,390	100,000
HQ Evaluation	-0-	-0-	-0-	-0-	10,000	10,000
Senegal Program	87,243	85,044	86,946	88,906	91,912	440,000
Senegal Procurement	29,500	30,081	35,370	31,276	32,760	159,000
Senegal Indirect Costs	23,018	22,287	24,626	23,844	26,343	120,000
Senegal Evaluation	-0-	-0-	10,000	-0-	10,000	20,000
Gambia Program Costs	85,541	83,744	85,646	88,086	89,500	432,800
Gambia Procurement	29,400	30,081	35,370	31,276	32,760	158,800
Gambia Indirect Costs	23,018	22,256	24,526	23,844	26,343	120,100
Evaluation	-0-	-0-	10,000	-0-	10,000	20,000
Total	\$347,400	\$345,000	\$386,400	\$363,600	\$408,600	\$1,851,000

Total Program Costs

	<u>HQ</u>	<u>Senegal</u>	<u>Gambia</u>	<u>Total Program</u>	<u>Winrock</u>	<u>A.I.D. MG</u>
Program Mgmt.						
Project Leader	\$ 55,740	\$111,480	\$111,480	\$278,700	\$155,870	\$122,830
Program Assit.	48,240	56,280	56,280	160,800	-0-	160,800
Part Time Staff	107,419	80,124	80,143	267,686	165,748	101,906
Consultants	-0-	22,487	22,487	44,974	44,974	-0-
Travel/Per Diem	41,455	101,866	94,255	237,576	34,911	202,665
Supplies	7,507	91,500	91,500	190,507	2,687	187,820
Computer Services	10,000	45,000	45,000	100,000	100,000	-0-
PVO Participation	-0-	90,301	90,301	180,602	90,301	90,301
Evaluation	10,000	20,000	20,000	50,000	-0-	50,000
Indirect Costs	100,000	120,088	120,088	340,187	-0-	33,678
Total	\$380,361	\$739,126	\$731,513	\$1,851,000	\$901,000	\$950,000

NOTES TO BUDGET:

1. Recipient is allowed 15% flexibility among programmatic line items in the budget with the exception of evaluation, and procurement. No flexibility is authorized for the evaluation, and procurement line items. The Recipient must obtain written authorization from the Grant Officer to exceed the percentage of flexibility among programmatic line items or to make any changes in the evaluation, procurement, or indirect cost line items.

2. Cost-Sharing Arrangement: The Recipient has agreed to expend from their non-Federal funds by the end of the life-of-program (LOP) period at a ratio of at least 1 to 1. The only exception to this is the evaluation contract in the amount of \$50,000 which does not require any Recipient match. The Recipient is required to meet the requirements of the Standard Provision of this Agreement entitled "Cost Sharing/Matching".

If this award was made on the basis that the Recipient has offered to cost share at a rate greater than 1 to 1, the Recipient is required to notify the Grant Officer of any changes in the amount to be cost shared by the Recipient in accordance with the Standard Provision entitled "Revisions to Grant Budget". Such a change may impact on future funding decisions under this Agreement.

The Recipient is required to report in their annual reports and in their incremental funding letters the total amount of cost-sharing to date. Although the Recipient is required to cost share on a life-of-program basis, they are also expected to expend those funds on a pro rata basis per year and not wait until the last year of the agreement to expend their cost share.

3. Procurement: The Recipient will use their own private cost-share funds for all non-U.S. procurement.

E. SUBSTANTIAL INVOLVEMENT:

1. Countries: The following countries are approved for direct in-country program support under the Agreement: Senegal and The Gambia.

Other countries may be approved during the period of the Agreement. Such approval will be communicated by A.I.D. in writing after consultation with the relevant A.I.D. Mission.

2. The scope of work for the project evaluation will be developed with, and the evaluator(s) chosen to carry out this activity must be approved in advance by, the AID/FVA/PVC project officer. The FVA/PVC project officer is to participate in the pre and post-evaluation briefings and is to receive six(6) copies of the completed evaluation report for FVA/PVC and one copy for each country evaluated.

F. Reporting and Evaluation

1. Ten copies of the Annual Report plus one copy for the A.I.D. Mission in each target country in the program will be submitted to the A.I.D./FVA/PVC Project Officer 60 days prior to each anniversary date of this Agreement. Annual reports will describe project activities and the Recipient's financial contribution to the project. Guidance for Periodic and Final Reports to FVA/PVC on Accomplishments under this Agreement is provided as Enclosure 5 for illustrative purposes. (A.I.D. is in the process of submitting this guidance format to OMB for their clearance. Once the OMB clearance is obtained, the suggested format will be required.

The Annual Report will also include a country data sheet for each subproject activity and will be furnished in the standard format prescribed by FVA/PVC for its grant information system (A.I.D. Form 1550-11 included in Enclosure 5). Other current grants or cooperative agreements to the Recipient, such as Operational Program Grants (OPGs), will be noted in the report with an explanation of any relationship of such assistance instruments to this Agreement.

4. EVALUATION: Self-evaluation will be conducted by the Recipient in accordance with its normal evaluation program as described in its proposal which has been incorporated herein by reference. In addition, from time-to-time A.I.D. officers, with prior notification to the Recipient's headquarters will visit selected project sites. The Budget shown in D above includes funds to contract for a project evaluation in the final year of the Agreement. Special requirements for this project evaluation are delineated under the Substantial Involvement provision of this Agreement.

G. Title to Property:

Title to all property purchased under this Cooperative Agreement shall be vested in the Recipient and subject to the Standard Provisions entitled "Title to Property - Grantee".

H. Special Provisions:

Travel: The standard provision requiring advance notification of the Recipient's travel intentions overseas is waived for this Agreement.

PROGRAM DESCRIPTION

I. Program Goal:

The goal of the proposed grant is to improve the nutrition, income and well being of small farmers and the food supply for urban consumers in the Gambia and Senegal.

II. Program Purpose:

The purpose of the proposed grant is to identify and promote improved methods of selection, production, saving and distribution of seeds and vegetative planting materials by small farmers.

III. Principal Activities:

To accomplish the goal and purpose, Winrock International has agreed to achieve the following sub-purposes:

- a. Patterns for collaboration between Peace Corps and PVOs and among PVOs will be developed, demonstrated and shared.
- b. Expertise of farmers in seed technology will be enhanced and farmers encourage to develop private seed enterprises, either individually or as cooperatives.
- c. The potentials to be realized by addressing the seed problem of small farmers will be demonstrated to public and private sector seed operations.
- d. Model(s) of on-farm seed production models will be tested and demonstrated, these then becoming available for possible adoption or adaptation in other sub-Saharan countries where similar conditions exist or crops are grown.
- e. Farmers will gain increased confidence in agricultural research and agricultural scientists and specialists, will acquire a greater awareness of the needs of small farmers and how these can be met on a practical basis.
- f. The possibilities and infrastructure for the introduction of new crops, as well as improved varieties of traditional crops, will be enhanced.
- g. Farmers will develop increased appreciation for good seed and an understanding of the processes necessary to ensure the production and storage of good seed.

The activities necessary to plan, implement, and evaluate the On-Farm Seed Project will require inputs organized around the following major areas: Data collection and analysis, documentation and evaluation of farmer practices, training and orientation of personnel involved, processing and distribution of information to support training and communication programs, and development and testing of new practices prior to introduction into country programs.

IV. Program Management:

Dr. Ned S. Raun WI's Regional Representative in Washington will be principally responsible for the overall management and implementation of the Matching Grant Program. The major channel for coordination, communication and implementation of this project will be an Advisory Council to be established and monitored by the Joint Center. Membership on this Council will be U.S. based representatives of the participating PVOs, AID, and Peace Corps, with staff from the Joint Center and Winrock serving in an ex-officio capacity.

V. Proposed Evaluation Plan:

At least two types of evaluation will be important aspects of the On-Farm Seed Project: (a) ongoing appraisal of needs, inputs, and results on the part of Winrock International and collaborating organizations and individuals, and (b) evaluations by AID at the end of the third and fifth years. The ongoing evaluations will serve to keep the project on course, while at the same time identifying problems, possibilities for solution, and unanticipated consequences of project action. The evaluation by AID near the end of the third year will be instrumental in determining the direction and scope of activities in the fourth and fifth years.

As seed is the principal focus of this project, the evaluation process at any time will focus on the seeds farmers are using, multiplying saving, and distributing. This necessitate collection of data by observation and interview on the following points with respect to the target crops in specific communities:

--Principal varieties grown; estimated acreage of each; and shifts, if any, in varieties and area from year to year.

--Yields obtained by Farmers, indicating both averages and ranges, with documentation of varieties and practices associated with high yields.

--Number of farmers intending to save seed of varieties presently being grown.

--Changes, if any, in viability (germination rate) of seeds produced by local farmers, or available to them.

--Activities, if any, of farmers to establish seed production, processing, and marketing entities in community.

As another objective of the project is development of model(s) of an on-farm seed industry which might be replicated or adapted for use in other areas, it also will be important to gain some insight on the relative effectiveness of various training and informational methods and materials employed in local programs. This will be more difficult given that most farmers will be exposed to a variety of messages in a number of ways. It will be necessary for the communication staff of Winrock International to develop relatively simple materials and procedures for pre-testing and post-testing for use in the field.

Some of the possible indicators will be attendance at meetings, participation in field days and demonstrations, requests for and the use of field manuals, and willingness to serve on community panels and committees. As project activities mature, it will be useful to take note of farmer innovations and initiatives in seed production and storage technology as well as their willingness to share their knowledge and skills with other farmers and the PVO and Peace Corps personnel working in the community.

2. By the last day of the Cooperative Agreement period, one copy of the final report (last annual report) will be submitted to A.I.D/FVA/PVC and to the Grant Officer whose address appears on the Cooperative Agreement cover letter. The report shall include the following information as well as those items included in Enclosure 5 of this Agreement.:

a. A comparison of actual accomplishments with the goals established for the Cooperative Agreement period.

b. Reasons why established goals were not met; and

c. Other pertinent information including, when appropriate, analysis and explanations of cost overruns, or unusually high expenses.

3. Prior to the required final performance reporting date, events may occur that have significant impact upon the project. In such instances, the Recipient shall inform the Grant Officer as soon as the following types of conditions become known:

a. Problems, delays, or adverse conditions that will materially affect the ability to attain program objectives, prevent the meeting of time schedules and goals, or preclude the attainment of project work activities by the established time period. This disclosure shall be accompanied by a statement of the action taken, or contemplated, and any assistance needed to resolve the situation.

b. Favorable developments or events that enable time schedules to be met sooner than anticipated or more work activities to be performed than originally projected.