

The Association Liaison Office for University Cooperation in Development  
*Promoting Higher Education Partnerships for Global Development*



2003 Special Request for Applications  
**U.S.-India Higher Education  
Partnerships in Agriculture**

Date Issued: October 17, 2003  
Closing Date: December 17, 2003



The United States Agency for International Development (USAID) awarded a Cooperative Agreement in September 1997 to the American Council on Education (ACE), with the American Association of Community Colleges (AACC), the American Association of State Colleges and Universities (AASCU), the Association of American Universities (AAU), the National Association of Independent Colleges and Universities (NAICU), and the National Association of State Universities and Land-Grant Colleges (NASULGC).

The Agreement (HNE-A-00-97-00059-00) seeks to mobilize the resources of American higher education in support of international development cooperation. One portion of the Agreement supports partnerships between higher education institutions in the United States and in cooperating countries to demonstrate how they can apply their expertise collaboratively to development challenges, and to increase the capacity of institutions in USAID-assisted countries to contribute to development.

These partnerships, which involve the institutions' private and public sector partners, expand ways in which universities, colleges, and community colleges may meet their mandate of service to include the development of the local community, the region, the nation, and another part of the world. The program is administered by the Association Liaison Office for University Cooperation in Development (ALO).

### **Institutional Partnership Program Objectives**

ALO and USAID seek to support U.S. academic institutions as they engage with higher education institutions in developing and newly independent countries to:

- collaboratively address an array of complex economic, social, educational, and development issues and challenges;

- strengthen their respective capacities for conducting the educational missions of teaching, research, and service to address development priorities including the improvement of basic and higher education;
- contribute to the preparation of a responsible citizenry and a skilled workforce engaged in a global marketplace;
- increase attention to and understanding of international education and development issues on campuses and among the institutions' constituencies; and
- disseminate information and share results of development cooperation both abroad and in the United States.

### **Where and How USAID Works**

Through the Institutional Partnership Program, ALO links the technical and human capacity-building strengths of higher education institutions in the United States with their counterparts abroad to address USAID's goals:

- to promote broad-based economic growth, agricultural development, and trade;
- to strengthen democracy and good government;
- to build human capacity through education and training;
- to stabilize world population and to protect human health;
- to protect the world's environment for long-term sustainability; and
- to reduce suffering associated with natural or man-made disasters and to re-establish conditions necessary for political and/or economic development.

For further information on USAID, refer to:  
[www.usaid.gov](http://www.usaid.gov).

## Partnerships in the Indian Context

USAID/India has a long history of cooperation with local and international groups in the design and implementation of programs, and will continue to strengthen Indian institutions and promote partnerships among Indian and U.S. institutions in support of India's sustainable development. A key component of USAID/India's exit strategy is testing concepts and operating partnership principles that can sustain linkages between entities in India and the United States as development assistance ends.

## Special Request for Applications (RFA)

ALO, in cooperation with USAID/India, is issuing this special request for applications (RFA) for higher education partnerships between U.S. universities, colleges, community colleges, associations or consortia, and Indian higher education institutions in various regions to stimulate India's economic development through a stronger agricultural sector (Note: "agriculture" here refers to the entire food system, sometimes called "farm-to-fork," and includes policies, standards, regulations, technologies, marketing and market linkages, education, *inter alia*). The partnerships will address promising opportunities for agricultural development in India and the shared interests of the cooperating institutions as these relate to the strategic priorities of USAID/India. The partnerships should be problem-focused, policy-informative, and demonstrate operating principles and best practices for driving agricultural development. They should enhance the strength and durability of linkages between U.S. and Indian higher education institutions.

Each partnership application must be oriented to a clear and specific development issue related to India's agricultural sector. This issue should have been identified by the partner in India as the core of the partnership activities. This will ensure that those most affected by the problems take an active and lead role in the formulation and implementation of solutions and determine the nature of the partnership.

The identified development issue must directly support improved efficiency, productivity and competitiveness of the Indian agricultural sector, and show attention to issues of equity.

## USAID/India's New Strategy

Agriculture is one of USAID's priority areas for India's development. USAID/India's Country Strategy Plan for FY2003-FY2007, "The Last Mile: Completing the Development Agenda" ([www.usaid.gov/in/specialfeatures/newstrategy\\_summary.htm](http://www.usaid.gov/in/specialfeatures/newstrategy_summary.htm)), states:

"The sector remains over-regulated, with an array of incentives that distort production and marketing. Public resources are used inefficiently, mostly for salaries and the financing of subsidies for water, electricity, fertilizer, and food. These subsidies realize neither intended welfare benefits, nor economic efficiency objectives. Half of subsidized food does not reach the poorest segment of society. Basic reforms are needed to eliminate market distortions and better integrate India into world markets, while increasing investment in agricultural technology and rural infrastructure, and protecting the poor." (p.4)

"Agriculture is the country's biggest contributor to income and employment, but it has been virtually untouched by modern economic reforms. It employs 75% of the rural workforce and generates 70% of rural earnings. After strong annual growth for twenty years, its share of GDP has fallen since the first wave of economic reforms in the early 1990s. Growth issues have shifted from crop yields to counterproductive public subsidies, product diversity, marketing, and distribution. Although agriculture had been carrying the economy, without policy change it could become a drag on higher levels of growth." (p.9)

Given an agricultural sector that remains the single largest contributor to income and employment but that suffers from extremely low productivity, USAID/India's new strategy seeks to: (1) restart U.S. assistance to the agriculture sector, shifting from past production-oriented interventions of the "Green Revolution" to policy analysis and advocacy on marketing and distribution; (2) establish and convene national forums and dialogues on promoting and sustaining Indian agriculture in a global economy; and (3) encourage the use of cutting edge technologies.

"The productivity gains from Green Revolution technologies have essentially ended, yet Indian agricultural policy remains dominated by incentives instituted three decades ago to encourage farmers to adopt high-yielding rice and wheat varieties. The increasing subsidy costs of inputs (i.e., fertilizer, irrigation, and power) constitute a serious misallocation of public resources at the national and state levels, further aggravating the fiscal deficit. Concurrently, a

costly food subsidy, which originally assured the minimum price for rice and wheat, is now used to purchase 80% of the marketable supply of rice and wheat, discouraging private food grain marketing and distorting on-farm production and resource allocation decisions. Rather than diversifying into other crops, farmers continue growing food grain for which there is no market other than the government food parastatal. Food grain stocks may soon reach 80 million tons, more than four times India's emergency needs." ([www.usaid.gov/in/specialfeatures/newstrategy\\_S01.htm](http://www.usaid.gov/in/specialfeatures/newstrategy_S01.htm), p.3)

"In spite of paralyzing fiscal deficits, most elected officials are extremely wary of reducing agricultural subsidies for fear of offending their rural constituencies. Both elected officials and their constituencies may be more amenable to change if they can sense the possibility of alternative, better futures." ([http://www.usaid.gov/in/specialfeatures/newstrategy\\_S01.htm](http://www.usaid.gov/in/specialfeatures/newstrategy_S01.htm), p.3)

"Understanding the high opportunity cost of agricultural subsidies, GOI [Government of India] officials recognize the need for a new revolution in Indian agriculture. The revolution would be initiated by a wave of decontrol and deregulation to create a new investment climate, which mobilizes and reallocates resources within the sector. Over the short term this will include the removal of restrictive practices that have limited private sector purchase, storage, processing and transport of agricultural products including food grain. This will have to be complemented by improvements in targeted food grain distribution programs, which will allow India to draw down its extraordinary food grain stocks in ways that benefit its most vulnerable households. Over the long term, sustaining the new investment climate must encompass changes in agricultural policy and technology. This will improve productivity, and promote competitiveness and integration with the global economy." ([http://www.usaid.gov/in/specialfeatures/newstrategy\\_S01.htm](http://www.usaid.gov/in/specialfeatures/newstrategy_S01.htm), p.9)

### Terms of the Solicitation

ALO plans to conduct a peer-review competition to award **up to six (6) grants of up to \$300,000 each** to implement cooperative partnerships involving higher education institutions in the United States and India. Partnership activities are expected to commence in April 2004 and extend over an approximately 30 month period.) These awards are designed to launch new partnerships or build on existing relationships. Awards are not intended to augment partnership activities funded by the Collaborative Research Support Program (CRSP)

ALO  
The Association Liaison Office  
for University Cooperation in Development

or the Agricultural Biotechnology Support Project (ABSP). However, professional relationships forged through CRSP or ABSP may be used as a starting point for developing new initiatives that address issues of common interest.

Successful applications will be characterized by clear articulation of the issue of importance and common interest related to agricultural development that the partners will address, and the way in which the proposed activities will lead to successful development outcomes; the strength of the partnership, and details of a mutually beneficial relationship in which both sets of institutions stand to gain (e.g., access to knowledge or information, technologies or techniques, market access or commercial linkages) and the likelihood of sustainability of the partnership once seed funding is ended; inclusion of additional partners to broaden the scope of the partnership and contribute to future sustainability. Topics may include, among others, policy, regulation, economics, communication, processing, marketing, national or international trade, technology or biotechnology. Appropriate attention should be paid to issues of equity.

Applications must identify clearly: (1) the specific agriculture-related development issue to be addressed and the potential of the partnership to contribute to India's economic growth; (2) support for USAID's goal to "Promote Economic Growth, Agricultural Development, and Trade" and for USAID's strategic objective that "the contribution of host-country institutions of higher education to sustainable development increases;" (3) support for USAID/India's Economic Growth Strategy as this relates to Agriculture; (4) the rationale and design of the collaboration; (5) strengths and interests of the U.S. and Indian partner institution(s) proposed to undertake the initiative and role of other collaborating partners; (6) the activities to be accomplished; (7) the development outcomes to be achieved over the course of the partnership; (8) a monitoring and evaluation plan that indicates in quantifiable and objective terms the expected development outcomes; (9) the schedule of activities by year; and (10) the budget summary, annual budgets, and budget narrative, including cost-sharing and other leveraging of contributions from the partner institutions, the private sector, and other parties. Applicants must budget funds (travel and per diem) to cover the required participation of at least one representative each from the U.S. and Indian institutions in ALO's Annual Meeting in Washington, D.C. during each year of the partnership under ALO funding. Applications must also include an abstract (3 pages maximum) summarizing items (1) through (10).

**Applications must indicate a total cost sharing of at least 25% from the U.S. institution(s).** Additional cooperating institutions, private sector partners, and other U.S. institutions are also encouraged to contribute resources. Both the quality and the quantity of cost sharing and other contributions proposed in the application will be taken into account by the peer reviewers toward determining the most competitive and highest ranked applications for funding. Applicants should itemize all cost sharing on the budget form, including waivers of tuition and other academic costs, faculty release time, fringe benefits, stipends, professional development funds, travel, supplies, equipment, other direct costs, indirect costs, etcetera. Other contributions, cash or in-kind, should be included on the accompanying "Statement of Contributions." In the past, applications with a total cost share that significantly exceeds 25 % have been found to be the most competitive.

Both cash and in-kind contributions will be accepted as part of the applicant's cost sharing when such contributions are: (a) verifiable from the applicant's records; (b) not included as contributions for any other federally-assisted program; (c) reasonable for the accomplishment of partnership objectives; and (d) not paid by the federal government under another grant.

Contributions that do not meet the above definition of cost share should be indicated on the Statement of Contributions. These may include the cooperating institutions' contributions of personnel and other direct and indirect costs in support of the development efforts.

Applications must be received at ALO **by 5:00 p.m., Eastern Standard time (EST), December 17, 2003.** Faxed or electronically transmitted applications will not be accepted. Peer review of applications is slated for late-January 2004 and notification about the awards is expected in February 2004.

Awards will be executed as subagreements between the lead U.S. university, college, community college, association, or consortium, and the American Council on Education (ACE), through the Association Liaison Office for University Cooperation in Development (ALO), under USAID Cooperative Agreement HNE-A-0097-00059-00. Institutions recommended for awards will receive a draft version of the subagreement to review. Subagreements are slated for full approval in late March 2004, and work is expected to begin immediately thereafter. **No ALO award or any cost share funds may be expended prior to a fully executed (i.e., signed by both parties) subagreement between ACE/ALO and the lead U.S. institution.**

ALO  
The Association Liaison Office  
for University Cooperation in Development

Award funds for the partnerships will be disbursed to the lead institution, association, or consortium in the U.S., based on the applicant's implementation of the work plan, stated budget, and submission to ALO of financial reports and narrative progress reports. It is the lead U.S. institution's responsibility to provide disbursements (reimbursements) for its collaborating partner in accordance with the agreed-upon activity schedule and budget.

USAID/India serves as the principal funding source for this special initiative, and is providing funds through USAID/Washington to ACE/ALO specifically for these awards. USAID/India will monitor partnership activities and will occasionally invite presentations and consultations. The lead U.S. institutions for the awards will be responsible for submitting semi-annual (twice yearly) progress reports, on behalf of the partner Indian institutions, to ALO and to USAID/India. USAID/India is responsible for ensuring that the partnership activities conform to its development agenda. More information on USAID/India programs can be found at: <http://www.usaid.gov/in>.

USAID requires overseas participants to enter the U.S. for training and related partnership activities on **J-1 exchange visitor visas**. USAID expects the lead U.S. institutions to use TraiNet, the USAID J-1 visa procurement system. USAID expects that institutions would not directly use SEVIS (Student and Exchange Visitor Information System) to issue DS-2019s (applications for the J-1 visa) for participants partially or wholly funded by USAID. U.S. institutions should allow approximately three months to process visas for their overseas partners. More information about the USAID's J-1 visa requirements may be found at: <http://www.usaidtraining.net>.

## **Eligibility and Review of Applications**

ALO welcomes applications from the member institutions of ACE, AACC, AASCU, AAU, NAICU, and NASULGC, and from other regionally accredited, degree-granting, U.S. higher education institutions. ALO also welcomes applications from higher education associations and consortia.

Applications will be reviewed by panels comprised of higher education experts in international agricultural development and an officer of USAID/India. Six (6) awards of up to \$300,000 each will be made on the basis of the reviewers' recommendations of merit and the final concurrence of USAID/India.

USAID/India has indicated that no more than one award may be made to a single U.S. institution, and no more than one award may involve the same Indian institutional partner.

## Application Review Guidelines

Peer reviewers will use the following criteria to evaluate the applications:

### I. Development Issue and USAID/India Focus [20 points]

Importance, appropriateness and relevance of the development issue to India's agricultural sector and how this relates to improved economic growth and trade; clear alignment with USAID/India's development objectives for agricultural sector reforms to increase economic efficiency, raise productivity and reduce rural poverty as articulated in USAID/India's new Country Strategy Plan for FY2003-FY2007, "The Last Mile: Completing the Development Agenda."

### II. Partnership Design and Potential Results [25 points]

Strength, appropriateness, and feasibility of the partnership design including conceptualization of development issue and ways in which this will be addressed; quality and soundness of the activities proposed; new and proven approaches and techniques including effective knowledge management and engagement of women in the partnership activities; potential to contribute to the success of USAID/India's new agricultural strategy through achievement of important development outcomes; quality of the implementation plan and timetable and likelihood of achieving demonstrable results.

### III. Mutuality, Commitment, and Sustainability of the Partnership [30 points]

Strength of institutional commitment, (engagement of faculty, students, and/or administrators) including participation by the Indian institution(s); fit with the existing strengths and mutual interests of the partnering institutions; quality and appropriateness of the partnership director(s), other experts, and support personnel; strength of multiple partners to assure enduring relationships and continued impact of joint U.S.-Indian efforts to improve the agricultural sector (e.g., other higher education institutions, other relevant institutions in the public and private sectors, NGOs and community groups); quality and quantity of the proposed cost sharing and other contributions from the lead higher education partners; and quality of plans for partnership sustainability beyond USAID funding.

ALO  
The Association Liaison Office  
for University Cooperation in Development

## IV. Monitoring and Evaluation [15 points]

Strength of plan for monitoring and reporting on how proposed partnership activities have affected agricultural development, including plans for measurement of interim performance and assessment of development outcomes; appropriateness of instruments for determining how the capacity of individuals, institutions, and the wider community has been affected by the partnership; and quality of plans to inform USAID of mid-course correction through utilization of assessment for program improvement.

## V. Overall Presentation and Budget [10 points]

Overall quality, cohesion, and substance of the application narrative; appropriateness and adequacy of the budget plan and narrative relative to the breadth and scope of the proposed collaboration, and accuracy of the budget figures.

**TOTAL POSSIBLE POINTS 100 points**

## Application Format

The contents of the application should be provided in the order listed below:

**Title page** (see form included), Key Personnel, total Award Amount requested, Cost Sharing (U.S. institutions), Total Cost of Partnership, Signatures of authorized officials.

### Table of Contents

**Abstract** (not to exceed 3 typed, double-spaced pages, 12-point font)

**Narrative** (not to exceed 20 typed, double-spaced pages, 12-point font), of the proposed partnership describing:

- The specific agriculture-related **development issue(s)** to be addressed and the potential of the partnership to contribute to India's economic growth.
- Alignment with USAID's goals and USAID/India's **agricultural development strategy**.
- The **Rationale** for and **Design** of the collaboration.
- **Strengths, Mutual Interests of the Partnering Institutions, Sustainability of the Partnership, and Benefits** to the cooperating institutions.
- **Activities** to be accomplished over the course of the partnership.
- **Anticipated Results/Development Outcomes**.

- **Methodology and Instruments for Assessment of Development Outcomes.** Results indicators, methodology, and instruments for assessment of development outcomes and reporting of progress.

**Appendices** (*Attachments beyond the stated appendices will not be read nor taken into consideration*):

- **Summary Budget Form and Annual Budget Forms** to be completed for each year of activity indicating costs of personnel, fringe benefits, travel, equipment, supplies, other direct costs, and indirect costs requested for the award and contributed as cost sharing.
- A detailed **Budget Narrative** to explain the basis for the calculations of the figures presented in the summary budget and annual budgets; i.e., cost computations and explanation for personnel, fringe benefits, travel expenses (including transportation and per diem), equipment, supplies, other direct costs, and indirect costs.

- **Statement of Contributions**, other than “cost share,” from other partners.
- **Schedule of Planned Activities** over the funding period, with completion dates by year of all proposed activities, specifying components of the partnership and anticipated development results.
- 1-2 page **Résumés** of the proposed lead U.S. and Indian institution director(s) and other expert personnel.
- **Signed Letters of Support** from the presidents, chancellors, or other chief executive officers of the cooperating institutions in the U.S. and India, in addition to the signature of the proposed U.S. partnership director, and letters of support from other participating organizations.
- **Signed Letter from Appropriate Official at Applicant Institution** verifying that all costs cited conform to established institutional policies and practices.

## **Application Summary**

### **2003 Special Request for Applications U.S.-India Higher Education Partnerships in Agriculture**

**Notification to ALO of Intent to Submit Application:** U.S. higher education institutions intending to submit an application should notify ALO by **December 1, 2003**, providing contact name, title, address, e-mail, and telephone. Such persons will be notified of any changes to this RFA. Any changes or clarifications will also be posted to ALO's web site: [www.aascu.org/alo](http://www.aascu.org/alo).

**Deadline:** Applications must be received by **5:00 p.m. (EST), December 17, 2003**. Faxed or electronically submitted applications will **not** be accepted.

**Eligible Applicants:** All members of the American Council on Education (ACE), the American Association of Community Colleges (AACC), the American Association of State Colleges and Universities (AASCU), the Association of American Universities (AAU), the National Association of Independent Colleges and Universities (NAICU), and the National Association of State Universities and Land-Grant Colleges (NASULGC), and other regionally accredited, degree-granting, U.S. higher education institutions. Higher education associations and consortia are also eligible.

**Award Period:** Activities funded through this competition are expected to commence immediately after the final subagreement has been fully executed and extend over approximately 30 months.

**Award Amount:** Up to \$300,000 for each of the six (6) awards.

**Cost Sharing:** The minimum 25 percent total cost sharing of the award amount must be met by the U.S. institution(s). Evidence of cash or in-kind support from public or private sources is required. Such support may include faculty release time, stipends, professional development funds, travel, supplies, equipment, other direct costs, indirect costs, etc.

**Commitments:** Successful applicants must collaborate with ALO, USAID, and Institutional Partnership Program participants. One representative from the U.S. partner institution and one representative from the partner India institution must attend the annual ALO meeting in Washington, DC. Partners share resource materials with Institutional Partnership Program colleagues and other interested parties.

Financial expenditure and cost sharing reports must be submitted to ALO at least quarterly and narrative progress reports semi-annually. Partners must brief USAID/India on the partnership and share progress reports. Within 30 days of completion of activities under the award, partners must submit a final report to ALO to be forwarded to USAID, and agree to its broad dissemination throughout USAID and the higher education community.

**Note:** Once an application has been received, there is to be no contact with the ALO office until the completion of the peer review process in order to ensure fairness to all parties concerned. Letters of communication from members of the U.S. Congress in support of an application are discouraged as these may be thought to prejudice the peer-review process. Upon final announcement of the award, all applicants are invited to request copies of their peer reviewers' scores. Neither personal reviews nor comparative score tabulations will be shared.

## Application Title Page

### 2003 Special Request for Applications U.S.-India Higher Education Partnerships in Agriculture

*Please refer to the electronic version available on the ALO Web site at [www.aascu.org/alo](http://www.aascu.org/alo).*

1. **Lead U.S. institution(s):** \_\_\_\_\_

2. **Lead India institution:** \_\_\_\_\_

3. **Name of proposed partnership project:** \_\_\_\_\_

4. **Key personnel:**

U.S. partnership director's name: \_\_\_\_\_

Title: \_\_\_\_\_ Dept.: \_\_\_\_\_

Address: \_\_\_\_\_

City: \_\_\_\_\_ State: \_\_\_\_\_ Zip: \_\_\_\_\_

Telephone: \_\_\_\_\_ Fax: \_\_\_\_\_

E-mail address: \_\_\_\_\_

India partnership director's name: \_\_\_\_\_

Title: \_\_\_\_\_ Dept.: \_\_\_\_\_

Address: \_\_\_\_\_

City: \_\_\_\_\_ Postal Code: \_\_\_\_\_

Telephone: \_\_\_\_\_ Fax: \_\_\_\_\_

E-mail address: \_\_\_\_\_

5. **Other cooperating U.S. institution(s) and director(s), if any (add sheets as necessary):**

Institution: \_\_\_\_\_

Co-partnership director's name: \_\_\_\_\_

Title: \_\_\_\_\_ Dept.: \_\_\_\_\_

Address: \_\_\_\_\_

City: \_\_\_\_\_ State: \_\_\_\_\_ Zip: \_\_\_\_\_

Telephone: \_\_\_\_\_ Fax: \_\_\_\_\_

E-mail address: \_\_\_\_\_

6. **Other partners** (e.g., other higher education institutions, business, industry, community-based organizations, NGOs, government agencies) (add sheets as necessary): \_\_\_\_\_

7. **Funds requested of ALO:** \$ \_\_\_\_\_
8. **Cost sharing from the U.S. institutional partner(s):** \$ \_\_\_\_\_ (Percentage of award: \_\_\_\_ )
9. **Total cost of partnership activity** (award + cost share): \$ \_\_\_\_\_
10. **Abstract of the partnership activity and anticipated results** (attach separate sheets)
11. **Please list any other U.S. federal agencies where you have submitted this particular proposal or any similar/overlapping application for funding. Also, if this proposal is a component of a larger project that has been funded or for which funds are being sought, please explain.**

\_\_\_\_\_

\_\_\_\_\_

\_\_\_\_\_

12. **Signatures:** An officer from each cooperating institution must authorize this application.

U.S. Institution Partnership Director Name	Signature	Date
--------------------------------------------	-----------	------

U.S. Institution Partnership Director Title

U.S. Institution CEO (or designee) Name	Signature	Date
-----------------------------------------	-----------	------

U.S. Institution CEO (or designee) Title

India Institution Partnership Director Name	Signature	Date
---------------------------------------------	-----------	------

India Institution Partnership Director Title

India Institution CEO (or designee) Name	Signature	Date
------------------------------------------	-----------	------

India Institution CEO (or designee) Title

Cooperating U.S. Institution Partnership Director Name	Signature	Date
--------------------------------------------------------	-----------	------

Cooperating U.S. Institution Partnership Director Title

Cooperating U.S. Institution CEO (or designee) Name	Signature	Date
-----------------------------------------------------	-----------	------

Cooperating U.S. Institution CEO (or designee) Title

## Budget Instructions and Forms

Applications must include a line-item summary budget and annual budgets for each year of the partnership together with a narrative explanation of the budget figures. Clearly indicate the method of cost computation and how the total charge for each budget item was determined for the ALO award, the cost sharing by the applicant institution, and contributions from other partners. The items on the five-column budget form are: (1) Personnel (wages and salaries); (2) Fringe Benefits; (3) Travel; (4) Equipment (if applicable; typically a cost shared item); (5) Supplies; (6) Other Direct Costs; (7) Total Direct Costs; (8) Indirect Costs; and (9) Totals.

All of the items listed in the five column budget, whether supported by ALO award monies or cost sharing contributions, must be reasonable, necessary to accomplish partnership objectives, allowable in terms of the applicable federal cost principles, auditable, and incurred during the award period. U.S. Institutional cost sharing must meet the minimum 25 percent requirement.

**1. Personnel (Line I).** Personnel includes all individuals involved in the partnership who are employed by the applicant institution. Stipends for any individuals not employed by the applicant institution are usually listed and documented under Other Direct Costs. The detailed budget narrative must provide the position, title, and the method of cost computation of the actual wages/salary, including summer salary, for each individual. Calculations should be shown as a percentage of academic year or annual salary and must conform to established institutional policies and practices.

Example 1.	ALO Award	Applicant Institution Cost Share
Partnership Director: 10% time x \$75,000/yr.		\$7,500
Partnership Coordinator: 20% time x \$60,000/yr.	\$12,000	
Graduate Student Assistant: 10% time x \$24,000/yr.		\$2,400
Administrative Assistant: 50% time x 4 wks x 40 hrs./wk x \$10/hr. = \$800		\$800

Example 2.	ALO Award	Applicant Institution Cost Share
The Partnership Director will spend 10% time during the academic year and one month each in summer 200X and summer 200Y based on a 9-month salary of \$75,000/yr. Calculation: $\$75,000/9 = \$8,333$ . $\$8,333 \times 2 = \$16,666$ .	\$16,666	\$7,500

**2. Fringe Benefits (Line II).** Fringe benefits may include established institutional contributions for social security, employee insurance, pension plans, etc. Only those benefits which are not included in the institution's indirect cost pool may be considered direct costs. Fringe benefits are calculated on the basis of a certain percentage of annual salary. Where more than one fringe benefit rate is used, include each as appropriate.

Example:	Applicant Institution Cost Share
Partnership Director: 25% x \$75,000/yr.	\$18,750

**3. Travel (Line III).** In compliance with the “Fly America Act” (for reference, see <http://www.tvlin.com/resources/FlyAct.html>), all international air travel rates must be based on the use of U.S.-registered carriers and/or international carriers “code-shared” with U.S. carriers when available. In the latter instance, travelers must have tickets issued by a registered U.S. carrier. Provide the actual calculations for each trip (domestic and international) by specifying the trip origin, trip destination(s), the number of individuals traveling, the length of the trip in days, and the per diem for each of the destination(s). For international travel per diems, refer to: <http://www.state.gov/m/a/als/prdm>. For domestic travel per diems, refer to <http://policyworks.gov/org/main/mt/homepage/mtt/perdiem/travel.shtml>.

Example:

ALO  
Award  
\$4,121.60

The partnership director and coordinator will make an initial visit to the overseas partner institution in Year 1. All rates are calculated using U.S. carriers and per diem according to the most recent U.S. Department of State rates for foreign travel.

Travel from City of Origin to Final Destination:

Transportation: 2 travelers x \$1000 (round-trip on Airline Name) = \$2,000

Lodging, Meals and Incidental Expenses (M&IE): 2 travelers x 10 days x \$100/day  
(no more than the maximum per diem for Destination City) = \$2,000

Ground transportation: From (place of origin) to airport (city of origin),  
2 travelers x 30 mile roundtrip @.36/mile = \$21.60

From airport (destination city) to hotel, 2 travelers by taxi = \$100

Total = \$4,121.60

**N.B.** Applicants must budget for attendance at ALO’s annual 2½ day conference in Washington, DC for each year during the award period. Partnerships are expected to send one representative from the U.S. institution(s) and one representative from the international institution(s). A maximum of four partnership representatives may be funded with ALO award monies to attend the conference each year (Additional project personnel may attend, subject to approval by ALO, if they are funded by other sources).

**4. Equipment (Line IV).** Permanent equipment is defined as non-expendable personal property with a useful life of more than one year and an acquisition cost of \$5,000 or more per unit. ALO discourages the use of award monies for equipment-related costs. In-kind equipment contributions, however, are appropriate and encouraged.

**5. Supplies (Line V).** Supplies include consumable supplies, materials to be used by the partners and items of expendable equipment; i.e., items costing less than \$5,000 and with an estimated useful life of less than one year. The detailed budget narrative must list the types of supplies with accompanying approximate total costs and indicate the approximate cost per unit, where applicable.

Example:

Paper, notebooks, pencils, pens, and magic markers: \$80

20 books x \$5/book = \$100

Total: \$180

**N.B.** Supplies consumed by the partnering overseas institution under a subaward from their partner U.S. institution should appear under Other Direct Costs (below).

**6. Other Direct Costs (Line VI).** Give the cost of all training activities including instruction, participant and travel costs per person and per activity. Indicate costs charged to the ALO award (USAID) and cost share by the applicant institution and other partners. Indicate training costs as unit costs per participant as well as totals, as in Example 1 below as appropriate. This information is required by the USAID J-1 visa procurement system (TraiNet).

**N.B. All ALO award monies to be expended by cooperating institution(s), under a subaward, must be itemized and explained in this section.**

The cost of photocopying and printing, long-distance phone calls, equipment rental, postage, and other services related to partnership activities, which are not included under other budget categories or under indirect costs should be included in this category.

Example 1:

*3-Week Short – term Training Program in the United States*

*a) Instruction Costs:*

Type	Per Participant Cost	Number of Participants	Duration of Training in Days	USAID Costs ALO Award	Non-USAID and other Contributions		Total Cost
					Applicant Institution Cost Share	Cooperating Institution Cost Share	
Books	\$35.00	6	20 days	\$210	\$0	\$0	\$210
Supplies	\$0	6	20 days	\$0	\$0	\$0	\$0
Course Materials	\$30.00	6	20 days	\$180	\$0	\$0	\$180
Academic Tuition	\$1,000	6	20 days	\$3,000	\$3,000	\$0	\$6,000
Registration Fees	\$75.00	6	20 days	\$0	\$450	\$0	\$450
<b>TOTAL COSTS</b>	<b>\$1,140</b>	<b>N/A</b>	<b>N/A</b>	<b>\$3,390</b>	<b>\$3,450</b>	<b>\$0</b>	<b>\$6,840</b>

Total USAID Instruction Costs: \$3,390

Total Applicant Institution Instruction Cost Share: \$3,450

Total Cooperating Institution Instruction Cost Share: \$0

*b) Participant Costs:*

Type	Per Participant Cost	Number of Participants	Duration of Training in Days	USAID Costs ALO Award	Non-USAID and other Contributions		Total Cost
					Applicant Institution Cost Share	Cooperating Institution Cost Share	
Per Diem Rates*	\$80**	6	20 days	\$9,600	\$0	\$0	\$9,600
Medical Examinations	\$100	6	20 days	\$600	\$0	\$0	\$600
Visa Fees	\$100	6	20 days	\$600	\$0	\$0	\$600
Taxes (Income, Federal and State)	\$0	6	20 days	\$0	\$0	\$0	\$0
<b>TOTAL COSTS</b>	<b>\$280</b>	<b>N/A</b>	<b>N/A</b>	<b>\$10,800</b>	<b>\$0</b>	<b>\$0</b>	<b>\$10,800</b>

Total USAID Participant Costs: \$10,800

Total Applicant Institution Participant Cost Share: \$0

Total Cooperating Institution Participant Cost Share: \$0

\*Lodging, meals and incidental rate per locality as stipulated by the U.S. Department of State or other rate used by sponsoring institution. In the case of the latter, give a brief explanation. For domestic travel and per diem rates, refer to <http://policyworks.gov/org/main/mt/homepage/mtt/perdiem/travel.shtml>.

\*\*U.S. State Department per diem rate is \$100 for X city, X state. University X is offering dormitory accommodations, meals and incidentals for \$80.00 per day.

c) Travel Costs:

Type	Per Participant Cost	Number of Participants	Duration of Training in Days	USAID Costs ALO Award	Non-USAID and other Contributions		Total Cost
					Applicant Institution Cost Share	Cooperating Institution Cost Share	
Airfare from X City of Origin to Y Final Destination	\$650	6	20 days	\$3,900	\$0	\$0	\$3,900
Ground Transportation: From (place of origin) to airport (city of origin)	\$30	6	20 days	\$180	\$0	\$0	\$180
Local travel	\$40	6	20 days	\$0	\$240	\$0	\$240
<b>TOTAL COSTS</b>	<b>\$720</b>	<b>N/A</b>	<b>N/A</b>	<b>\$4,080</b>	<b>\$240</b>	<b>\$0</b>	<b>\$4,320</b>

Total USAID Travel Costs: \$4,080

Total Applicant Institution Travel Cost Share: \$240

Total Cooperating Institution Travel Cost Share: \$0

Example 2:

Stipends for any individuals not employed by the applicant institution should be listed in this section.

Dr. X will be the outside evaluator. He will spend 3 days during each of two years on the partnership. His established fee is \$400/day x 3 days/year x 3 years.

ALO Award: \$3,600

Example 3:

Telephone: long-distance \$25/month x 18 months

ALO Award: \$450

**7. Total Direct Costs (Line VII).** Provide accurate calculation of total for Direct Costs. Total Direct Costs are calculated by adding lines I through IV (Personnel + Fringe Benefits + Travel + Equipment + Supplies + Other Direct Costs = Total Direct Costs)

**8. Indirect Costs (Line VIII).** Indirect costs are calculated by applying a negotiated indirect cost rate (NICRA) to a distribution base (usually some or all of the direct costs of the partnership; e.g., salaries plus fringe benefits). The budget narrative must state the applicant institution's NICRA and that of other collaborating U.S. institutions.

Example:

The Applicant Institution's current federally negotiated indirect cost rate is 26 % of salaries and fringe benefits.  
Calculation: 26% of \$60,000 = \$15,600

Applicant Institution  
Cost Share

\$15,600

**9. Totals (Line IX).** Provide accurate calculation of Totals. Totals are calculated by adding Direct and Indirect Costs (Lines VII and VIII).

**N.B.** Cost sharing by the applicant institution should be clearly stated in the budget as the applicant's contribution. Preference is given to applicants proposing to waive or substantially cost share indirect costs in order to utilize the highest possible proportion of award monies for direct partnership costs.

Upon completing the detailed budget narrative, applicants should double-check to ensure that the figures in the budget detail and narrative are consistent with those on the budget forms, are correct, and that all costs included in the application conform to established institutional policies and practices before the application is submitted to ALO.

Association Liaison Office for University Cooperation in Development  
 Promoting Higher Education Partnerships for Global Development

**Summary Budget  
 (Totals for Years 1-3)**

*Please refer to the electronic version of this form and budget forms for Years 1-3  
 (in Excel) on the ALO Web site [www.aascu.org/alo](http://www.aascu.org/alo).*

(Mth/Yr to Mth/Yr)	ALO  (Award)	Applicant Institution (Cost Share)	India Institution (Cost Share)	Other  (Cost Share)	Total
I. Personnel	_____	_____	_____	_____	_____
II. Fringe Benefits	_____	_____	_____	_____	_____
III. Travel	_____	_____	_____	_____	_____
IV. Equipment*	_____	_____	_____	_____	_____
V. Supplies	_____	_____	_____	_____	_____
VI. Other Direct Costs**	_____	_____	_____	_____	_____
VII. Total Direct Costs (=I+...+VI)	_____	_____	_____	_____	_____
VIII. Indirect Costs***	_____	_____	_____	_____	_____
IX. Totals (= VII+VIII)	_____	_____	_____	_____	_____

\* Institutions are discouraged from requesting award monies for equipment.

\*\* Amounts budgeted for training, which include instruction, participant and travel costs, should be itemized in the budget narrative under Other Direct Costs. These costs should be indicated as unit costs per participant as well as totals.

\*\*\* Institutions are encouraged to contribute indirect costs as part of their cost sharing.

**Note: If the contributions of the cooperating institution, or others, do not meet the terms of “cost share,” do not include on this form. Provide detail in a separate statement in the Appendices.**

Association Liaison Office for University Cooperation in Development  
*Promoting Higher Education Partnerships for Global Development*

### Budget Form Year 1

*Please refer to the electronic version of this form and budget forms for Summary and Years 2 and 3  
 (in Excel) on the ALO Web site [www.aascu.org/alo](http://www.aascu.org/alo).*

(Mth/Yr to Mth/Yr) <b>Year 1 of 3</b>	ALO  (Award)	Applicant Institution (Cost Share)	India Institution (Cost Share)	Other  (Cost Share)	Total
I. Personnel	_____	_____	_____	_____	_____
II. Fringe Benefits	_____	_____	_____	_____	_____
III. Travel	_____	_____	_____	_____	_____
IV. Equipment*	_____	_____	_____	_____	_____
V. Supplies	_____	_____	_____	_____	_____
VI. Other Direct Costs**	_____	_____	_____	_____	_____
VII. Total Direct Costs (=I+...+VI)	_____	_____	_____	_____	_____
VIII. Indirect Costs***	_____	_____	_____	_____	_____
IX. Totals (= VII+VIII)	_____	_____	_____	_____	_____

\* Institutions are discouraged from requesting award monies for equipment.

\*\* Amounts budgeted for training, which include instruction, participant and travel costs, should be itemized in the budget narrative under Other Direct Costs. These costs should be indicated as unit costs per participant as well as totals.

\*\*\* Institutions are encouraged to contribute indirect costs as part of their cost sharing.

**Note: If the contributions of the cooperating institution, or others, do not meet the terms of “cost share,” do not include on this form. Provide detail in a separate statement in the Appendices.**

Association Liaison Office for University Cooperation in Development  
*Promoting Higher Education Partnerships for Global Development*

### Budget Form Year 2

*Please refer to the electronic version of this form and budget forms for Summary and Years 1 and 3  
 (in Excel) on the ALO Web site [www.aascu.org/alo](http://www.aascu.org/alo).*

(Mth/Yr to Mth/Yr) <b>Year 2 of 3</b>	ALO (Award)	Applicant Institution (Cost Share)	India Institution (Cost Share)	Other (Cost Share)	Total
I. Personnel	_____	_____	_____	_____	_____
II. Fringe Benefits	_____	_____	_____	_____	_____
III. Travel	_____	_____	_____	_____	_____
IV. Equipment*	_____	_____	_____	_____	_____
V. Supplies	_____	_____	_____	_____	_____
VI. Other Direct Costs**	_____	_____	_____	_____	_____
VII. Total Direct Costs (=I+...+VI)	_____	_____	_____	_____	_____
VIII. Indirect Costs***	_____	_____	_____	_____	_____
IX. Totals (= VII+VIII)	_____	_____	_____	_____	_____

\* Institutions are discouraged from requesting award monies for equipment.

\*\* Amounts budgeted for training, which include instruction, participant and travel costs, should be itemized in the budget narrative under Other Direct Costs. These costs should be indicated as unit costs per participant as well as totals.

\*\*\* Institutions are encouraged to contribute indirect costs as part of their cost sharing.

**Note: If the contributions of the cooperating institution, or others, do not meet the terms of “cost share,” do not include on this form. Provide detail in a separate statement in the Appendices.**

Association Liaison Office for University Cooperation in Development  
*Promoting Higher Education Partnerships for Global Development*

### Budget Form Year 3

*Please refer to the electronic version of this form and budget forms for Summary and Years 1 and 2 (in Excel) on the ALO Web site [www.aascu.org/alo](http://www.aascu.org/alo).*

(Mth/Yr to Mth/Yr) <b>Year 3 of 3</b>	ALO (Award)	Applicant Institution (Cost Share)	India Institution (Cost Share)	Other (Cost Share)	Total
I. Personnel	_____	_____	_____	_____	_____
II. Fringe Benefits	_____	_____	_____	_____	_____
III. Travel	_____	_____	_____	_____	_____
IV. Equipment*	_____	_____	_____	_____	_____
V. Supplies	_____	_____	_____	_____	_____
VI. Other Direct Costs**	_____	_____	_____	_____	_____
VII. Total Direct Costs (=I+...+VI)	_____	_____	_____	_____	_____
VIII. Indirect Costs***	_____	_____	_____	_____	_____
IX. Totals (= VII+VIII)	_____	_____	_____	_____	_____

\* Institutions are discouraged from requesting award monies for equipment.

\*\* Amounts budgeted for training, which include instruction, participant and travel costs, should be itemized in the budget narrative under Other Direct Costs. These costs should be indicated as unit costs per participant as well as totals.

\*\*\* Institutions are encouraged to contribute indirect costs as part of their cost sharing.

**Note: If the contributions of the cooperating institution, or others, do not meet the terms of “cost share,” do not include on this form. Provide detail in a separate statement in the Appendices.**

## Application Checklist

### 2003 Special Request for Applications U.S.-India Higher Education Partnerships in Agriculture

Please use this checklist to ensure completeness of the application:

- \_\_\_ **Title Page** (form with all required signatures)
- \_\_\_ **Table of Contents**
- \_\_\_ **Abstract** (3 typed, double-spaced, 12-point font pages maximum)
- \_\_\_ **Narrative** (20 typed, double-spaced, 12-point font pages maximum, excluding appendices)
- \_\_\_ **Appendices** (*Attachments beyond the appendices below will not be read nor taken into consideration*):
  - \_\_\_ **Summary Budget and 3 Annual Budget Forms** (maximum of 4 forms)
  - \_\_\_ **Detailed Budget Narrative**
  - \_\_\_ **Statement of any Contributions**, other than “cost share,” from cooperating and other partners
  - \_\_\_ **Schedule of Planned Activities**
  - \_\_\_ **Résumés** (maximum of 1-2 pages each)
  - \_\_\_ **Signed Letters of Support**
  - \_\_\_ **Signed Letter from Official at Applicant Institution** (“Statement of Contributions”)

**Send the original application, and seven (7) hard copies of the complete application package (all on loose-leaf paper, clipped together – no three-ring binders, staples, or plastic bindings), and a diskette or CD (Microsoft Word/Excel for PCs) containing the entire application, including all the budget forms, detailed budget narrative, and other appendices to:**

Institutional Partnership Program: India  
Association Liaison Office for University Cooperation in Development  
1307 New York Avenue, N.W., Suite 500  
Washington, D.C. 20005-4701  
(Tel. 202-478-4700)

**Deadline: Receipt at ALO by 5:00 p.m., EST, December 17, 2003.  
Faxed and electronic applications will not be accepted.**

Association Liaison Office for University Cooperation in Development (ALO)  
1307 New York Avenue, N.W., Suite 500  
Washington, D.C. 20005  
Phone: (202) 478-4700; Fax: (202) 478-4715  
E-mail: [alo@aascu.org](mailto:alo@aascu.org); Web site: [www.aascu.org/alo](http://www.aascu.org/alo)