



MODIFICATION 01 – TO ANNUAL PROGRAM STATEMENT

September 13, 2022

Dear applicant,

The Transformational Strategies for Farm Output Risk Mitigation (TRANSFORM) project is a five-year, United States Agency for International Development (USAID) financed activity implemented by Cargill Inc, and a critical part of the Global Health Security Program. TRANSFORM is advancing market-driven animal health solutions to increase global health security and increase access to safe, affordable animal-sourced nutrition.

On July 29, 2022, TRANSFORM released an annual program statement (APS), seeking concept papers and applications for conducting research in holistic nutrition for shrimp in Vietnam and India. Through this modification #1, Cargill is amending the annual program statement for this funding opportunity to extend the deadline to receive concept papers by an additional month, until October 12, 2022. Further information on this funding opportunity can be found below and in the content of this modified solicitation.

ANNUAL PROGRAM STATEMENT (APS) (Modification 01) TRANSFORM – HOLISTIC NUTRITION – SHRIMP RESEARCH

Funding Opportunity Title	Holistic Nutrition – Shrimp Research
Announcement Type:	Annual Program Statement
Funding Opportunity Number:	<i>TR-HNR-APS- 2022-01</i>
Issuance Date	July 29, 2022
Deadline for Questions	September 30, 2022 (additional questions may be submitted after this initial date)
Deadline for Concept Papers (1st stage)	October 12, 2022; 23:00 hrs EST time
Closing Date Full Applications (2nd stage)	Instructions will be provided for applicants pre-selected from concept papers
Estimated Start Date of Awarded Grants:	December 2022 – March 2023
APS Closing Date:	April 30, 2023
Submit Questions to	Transform_Ops@cargill.com
Submit Concept Papers to:	Transform_Ops@cargill.com
Submit Full Applications to	Transform_Ops@cargill.com
Website with APS and information	https://www.cargill.com/sustainability/transform-current-opportunities

This APS is issued to provide a fair opportunity to qualify for funding to interested and qualified organizations. To be considered for award, applicants must respond to all the requirements and instructions of this APS. Cargill will review applications on the basis of the criteria and instructions set forth in this APS. Cargill will issue sub-awards under the USAID TRANSFORM project to be implemented in accordance with Cargill procedures and USAID and U.S government regulations

Issuance of this APS does not constitute an award or commitment on the part of Cargill Inc, or the USAID TRANSFORM project, nor does it commit Cargill Inc nor USAID TRANSFORM to pay for costs incurred in the preparation and submission of an application.

Cargill Inc reserves the right to fund any or none of the concept papers or applications submitted. Further, Cargill Inc reserves the right to make no awards as a result of this APS.

Cargill and USAID TRANSFORM employees may not ask for, and applicants are prohibited from offering any money, fee, commission, credit, gift, gratuity, item of value or compensation to obtain or reward improper favorable treatment regarding this solicitation. Any improper requests should be reported to Transform_Ops@cargill.com

We thank you for your interest in the USAID TRANSFORM Project.

USAID TRANSFORM Project

Cargill, Inc.

ANNUAL PROGRAM STATEMENT (APS)

TR-HNR-APS- # 2022-01 (MOD 1)

I. Funding Opportunity Description

The Transformational Strategies for Farm Output Risk Mitigation (TRANSFORM) project is a five-year, USAID-financed activity implemented by Cargill Inc. and its direct and indirect subsidiaries (collectively, “Cargill”), in partnership with contractor Ausvet, and sub-awardees Heifer Project International and the International Poultry Council (IPC). The goal of TRANSFORM is to sustainably strengthen animal-sourced food systems to prevent antimicrobial resistance (AMR), zoonoses, and transboundary animal diseases (TAD).

Animal health is the cornerstone for achieving this goal. TRANSFORM’s strategy focuses on improving animal health so significantly that the risk of disease and zoonotic pathogens is considerably lower, animal production is considerably higher, and the use of antibiotics as a treatment for illness, to prevent disease, or to enhance performance is significantly reduced. In this way, animal health improvements reduce the risk of AMR and other threats to human health. In alignment with the Global Health Security Agenda, TRANSFORM will take a systems approach to address this complex challenge, working across three inter-related components:

- *Data Collection, Analysis, and Application:* Data enables farmers to make data-driven decisions to maintain and improve animal health, and more broadly, it reveals patterns that help actors, including governments and industries, prevent, predict, identify, and respond to threats. To improve on-farm disease prevention surveillance among farmers, TRANSFORM will expand the data and analytics platform developed by Ausvet to serve a broader range of stakeholders and to be available in the market.
- *Animal Industry Policies and Practices:* Industry-wide commitment is essential to the widespread adoption of any threat-prevention practice. TRANSFORM will support the development and adoption of industry-wide principles, policies, and standards around antimicrobial use stewardship within the poultry industry, led by the International Poultry Council. The data and analytics platform and on-farm animal health resources included in TRANSFORM’s system will enable the sustained adoption of the principles and policies.
- *On-Farm Practices that Support both Animal Health and Economic Sustainability:* Animal health is core to preventing animal disease and thus essential to threat-reduction. TRANSFORM will conduct applied research on holistic nutrition, including a market-based immune support product. TRANSFORM will also develop cost-effective tools based on research results and provide training to establish sustained on-farm practices that improve animal health, support the economic viability of small to large-scale farm operations, and decrease the risk of AMR, zoonoses and TADs.

As part of activities under the On-Farm Practices component, Cargill will work to conduct research on the effects of holistic nutrition on antimicrobial use, survivability, and return on investment in shrimp in two target countries.

Through this Annual Project Statement (APS) the USAID TRANSFORM project implemented by Cargill is seeking applications from research organizations to conduct research on holistic nutrition and its effects in shrimp in Vietnam and India as detailed in the scope of work below. This solicitation has a two-phased

approach, comprised of an initial concept paper, followed by a formal technical (protocols) and financial application for the activities defined in the APS. Only applicants that are selected under the first phase of this process will be invited to submit the full application for consideration.

II. Award Information

Type of Award: Cargill will issue subawards ranging between USD\$20,000 to USD\$40,000 per research trial, per country, to support research activities in shrimp in the areas defined under the scope of work, (see section IV). The total funding amount available for the APS will be approximately \$80,000 over a 12-month period.

Subawards: Subawards awarded through this APS will be honored on the basis of completed milestones incorporated in the subaward documents, that will be negotiated prior to being awarded. Subawards will be Fixed Amount Sub-Awards to be entered into between Cargill and the selected applicant and will be compliant with USAID requirements for fixed amount award.

Number of Subawards: Cargill expects to award up to two (2) awards (one per country) under this APS, during the proposed nine-month period.

Cargill may choose to extend this APS until all funding has been awarded. The number of awards and amount of available funding may be subject to change. Cargill may choose to fully fund or incrementally fund selected application(s). Cargill reserves the right to make no awards as a result of this APS. Cargill will evaluate concept papers and full applications on a rolling basis until the closing date of the APS.

Period of Performance: TRANSFORM estimates subawards awarded under this mechanism will not exceed a period of performance of nine (9) months.

Questions: Please submit questions regarding the APS process or proposed activities before 17:00 your local time on September 30, 2022. Questions should be addressed to:

- Transform Operations (Transform_Ops@cargill.com).

III. Eligibility Information

Who can apply: public or private universities, research institutes or private firms, registered in country –India or Vietnam– with capacity to perform applied research in shrimp are eligible to apply under this APS.

If short-listed, applicants will be requested to provide proof of registration/s as part of the full application process for this award. Offerors must not be included in any list maintained by the U.S. government of entities debarred, suspended, or excluded for US Government awards and funding.

IV. Application Process

The USAID TRANSFORM project will apply a two-stage review and selection process that begins with submitting a concept paper. Only applicants shortlisted based on the content of their concept papers will be invited to submit a full application as part of Stage 2 of the selection process. Stage 2 requires the

applicant to submit a full protocol, an accompanying budget and budget notes. Additionally, applicants will need to complete a financial and organizational due diligence assessment in order to complete the application process. Applications will undergo a second round of review resulting in final award decision.

PROJECT DESCRIPTION AND SCOPE OF WORK

1. Activity Objectives and Scope of Work

The USAID TRANSFORM project implemented by Cargill is seeking applications from research organizations to conduct research on holistic nutrition and its effects in shrimp in Vietnam and India.

TRANSFORM's shrimp holistic nutrition field research will be conducted to simulate conditions on bio-secure commercial shrimp farms in any region of the target countries. This research will determine whether feeding a *Saccharomyces cerevisiae* fermentation product (SCFP; specifically, DVAqua, Diamond V) and at least one other category of feed additive to be proposed by the applicant (e.g. botanical additives), can :

1. Reduce the need for antimicrobial use on these farms and consequently minimize the risk of antimicrobial resistance development
2. Maintain or increase survivability relative to the absence or use of antimicrobials for therapeutic purposes
3. Demonstrate that the benefits observed offer sufficient ROI to ensure sustained use across farm sizes and species

While the animal health impact should decrease the need for therapeutic antibiotics, we anticipate the productivity gains will serve as a disincentive for farmers to begin antibiotic usage for productivity. Additional areas of interest for this research include studying the effect of these feed interventions on common shrimp pathogens and on immune function of shrimp.

The applicant will submit a concept note in the first phase of selection, that responds to the scope of work and activities described above. Once concept is reviewed and approved, a full proposal, with technical protocols and detailed budget, will be submitted for review, approval, and award.

Applicants, when thinking about type of farms to work with for this activity, will need to make sure that the following guidelines be considered:

- *Choose trial farms or sites located far from water bodies, to have minimal impact on key ecosystems and wildlife habitats*
- *Avoid farms or sites that are close to rare or endangered species habitats*
- *Avoid, as much as possible, farms with poor water treatment practices.*

Full applications must consider the environmental mitigation and monitoring measures that have been approved for TRANSFORM to implement field research trials, as well as to procure health and agricultural commodities. Applicants that are invited to participate in phase 2, will also receive a copy of the relevant mitigation and monitoring measures applicable for sub-awards.

2. STAGE 1: CONCEPT NOTE

A. INSTRUCTIONS FOR PHASE 1 OF THE SOLICITATION (CONCEPT NOTES)

Applicants are asked to submit a Concept Note to Cargill by October 12, 2022 by 23:00 EST hrs to Transform_Ops@cargill.com. Please include in the Subject Line of the e-mail: "Concept Note for APS TR-HNR-2022-01" and the name of your organization

Please include a cover sheet with the title of your Concept Note, the date of submission, your organization's name, and a contact person's name, phone number and email address.

Concept Notes should not be longer than 5 pages (exclusive of cover page and annexes), double-spaced, in size 11 Arial font with right, left, top, and bottom margin of 1 inch each and your organization's name indicated in a header or footer. The Concept Notes should be submitted in English.

Incomplete or late applications may be rejected.

Content of the Concept Note

The Concept Note should include the following:

- Background information for the proposed study
- Materials and Methods, and
- Data Processing and Statistical Analysis
- Annexes are not counted as part of the 5-page limit. They could include:
 - The curriculum vitae (CV) of the proposed Principal Investigator
 - Descriptions/ pictures the facilities where the research will be conducted (laboratory/ farm)
 - Copies of relevant publications involving the Principal Investigator

Please note that no detailed budgetary information is required at the Concept Note stage. However, invitees should include an estimated cost for the proposed research.

Applicants that are short-listed based on concept notes submitted will then be invited to submit a full application, which includes the detailed protocol and a detailed budget as part of their submission.

Deadline for submission of Concept Note: *October 12, 2022 (23:00 hrs EST).*

Submit Concept Notes via email to: Transform_Ops@cargill.com

B. EVALUATION AND SELECTION OF CONCEPT NOTES

Technical Selection Criteria: Concept Notes will be evaluated by a technical committee with expertise in animal nutrition and health. Based on committee recommendation, the successful applicant(s) will be invited to submit a full application. Evaluation of the Concept Notes will be based on applicants' demonstration of:

- a) An experimental design capable of addressing the objectives, and experience of Principal Investigator (50%)

- b) Evidence of successful collaborative research including cross-departmental or cross-organizational projects in Animal health (20 %)
- c) Institutional capacity to deliver results and manage international donor funds (30 %)

3. STAGE 2: FULL APPLICATION DEVELOPMENT AND SUBMISSION

A. INSTRUCTIONS FOR PHASE 2 OF THE SOLICITATION

Based on committee recommendation, the successful applicant(s) from Stage 1 will be invited to submit a full application (protocols and budget) and all required certifications per USAID guidelines for consideration. Detailed Instructions and templates will be provided to successful applicants selected during phase 1. The TRANSFORM project will collaborate with the applicant on the development of protocols.

Technical Evaluation: Full applications will be evaluated by a Technical and Evaluation Committee (TEC) for ensuring technical soundness and appropriateness of the submission. Once this Stage Gate is complete, the TRANSFORM Technical team will coordinate finalizing protocols and budgets for final review with the applicant.

Cost Evaluation Applications costs will be reviewed based on cost effectiveness, reasonableness, allocability and allowability. Costs that do not meet these criteria will be deemed non-responsive. The following questions will help make that determination:

- **Are costs effective?** Will proposed costs provide a good value in achieving desired outcomes at a relatively low cost or becoming more cost-effective over time?
- **Are costs reasonable?** Are proposed costs generally recognized as ordinary and necessary and would they be incurred by a prudent person in the conduct of normal business?
- **Are costs allocable?** Do proposed costs have a legitimate justification for the funding amount requested and is the cost clearly captured in the budget and concept paper?
- **Are costs allowable?** Are proposed costs strictly for the achievement of the partnership and are they free of any restrictions or limitations, such as vehicles, alcohol, luxury goods, etc.?
- **Ineligible cost items include:** profit or fee; application preparation costs; payment of debts; political elections; fees for public and elected government officials; fines and penalties; creation of endowments; military equipment, surveillance equipment; commodities and services for support of police and other law enforcement activities; abortion equipment and services; luxury goods and gambling equipment; alcohol; purchases of restricted goods without prior USAID prior approval, such as: motor vehicles, pesticides, used equipment, and fertilizer, and purchases of goods or services from any firm or individual whose name appears on the list of ineligible applicants.

Please note that Agricultural Commodities (including feed) and Pharmaceutical Commodities require additional approvals from USAID for procurement. Applicants will also need to follow environmental mitigation measures applicable to the procurement and use of these commodities. Applicants will receive a copy of the environmental plan which will be included as part of any resulting sub-award.

Awards will only start after approval by USAID and signature of the subaward between the applicant and Cargill. Costs incurred before signing of the subaward agreement will not be reimbursed.

Information on costs eligible for funding can be found in [2 CFR 200 Subpart E Cost Principles](#) for not-for-profit organizations and universities. For profit organizations may refer to [FAR Part 31 Cost Principles](#).

Pre-Award Responsibility Determination – TRANSFORM welcomes applications from organizations which have not previously received financial assistance from USAID; however, Applicants must have established financial management, monitoring and evaluation processes, internal control systems, and policies and procedures that comply with established U.S. Government standards, laws, and regulations. The successful Applicant(s) will be subject to a responsibility determination assessment by Cargill.

B. TERMS AND CONDITIONS OF THE SOLICITATION

The offeror is responsible for all costs of preparing and submitting its response to this solicitation.

Cargill reserves the right to reject any and all Concept Papers/full applications received in response to this solicitation and is in no way bound to accept any Concept Papers or full applications.

V. Award and Administration

Concept papers and applications will be reviewed on a rolling, ongoing basis, with awards anticipated to start in the period between December 2022 through March 2023, if any are to be awarded.

The final decision of the award(s) will be at the sole discretion of Cargill, based on responses received to the Concept Papers, and subsequently the request for application. Cargill reserves the right to **award one or more than one award** as part of this APS process.

Any resulting award, if any, will include terms and conditions required within Cargill's cooperative agreement with USAID including mandatory and required standard provisions. Cargill expects to issue a fixed amount subaward to the selected applicant(s) which will be subject to USAID approval. Cargill reserves the right to change the mechanism type during award negotiation. During award negotiation Cargill will engage in final review, negotiation, responsibility determination, definition of deliverables and payment amounts, and will craft an award instrument with the apparently successful offeror.

In addition, before receiving an award, the applicant is required to provide a valid Unique Entity Identifier (UEI) number which can be obtained via www.sam.gov.

VI. Additional Information and Notifications.

Applicants that receive award funds will be required to comply with USAID required rules and regulations, including:

- **Environmental Procedures:** The approved Environmental Mitigation and Monitoring Plan for TRANSFORM will be included in subawards, as well as general procedures for USAID-funded initiative (<http://www.usaid.gov/policy/ads/200/>). In addition, the partner must comply with host country environmental regulations unless otherwise directed in writing by USAID. In case of conflict between host country and USAID regulations, the latter will govern.
- **Branding:** All USAID-sponsored assistance awards are required to adhere to branding policies and revised marking requirements for grants and cooperative agreements in accordance with ADS 320.

www.usaid.gov/sites/default/files/documents/320.pdf. Cargill will include relevant branding requirements in any resulting subaward.

- **Combatting Trafficking in Persons (TIP):** Any resulting subaward will include clauses related to TIP.
- **Certifications, Assurances, Other Statements of the Recipient and Solicitation Standard Provisions:** <https://www.usaid.gov/sites/default/files/documents/303.pdf>. In accordance with ADS 303.3.8, Cargill will awardees to submit signed copies of required certifications and assurances.
- **Standard provisions for U.S. and Non-U.S. nongovernmental organizations receiving fixed amount awards:** Accessible via <https://www.usaid.gov/sites/default/agency-policy/303mat.pdf>. These will be included in any resultant subaward.