



# FY 2013 Food Aid Proposal Guidance

Food Assistance Division  
Office of Capacity Building and Development

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## HOW TO USE THIS DOCUMENT

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This document provides applicants to the U.S. Department of Agriculture's (USDA) Foreign Agricultural Service's (FAS) two food assistance programs (Food for Progress (FFPr) and the McGovern-Dole Program (MGD)) with specific guidance for preparing application content. All proposal applications must be entered into FAS's Food Aid Information System (FAIS).

For ease of use, this document has been laid out in the same sequence as the FAIS proposal module, so that applicants can reference this guide while entering their proposals into FAIS. Specifically, FAIS requires applicants to complete five sections in order to submit a complete proposal: (1) Proposal Summary, (2) Introduction, (3) Results, (4) Commodity, and (5) PVO Budget. This document is also structured into these five sections.

The document contains five annexes that provide important supplementary information: (1) program-level results frameworks, (2) standard and illustrative indicators, (3) a manual for the use of results frameworks and indicators, (4) FAS's monitoring and evaluation policy, and (5) instructions for physically entering proposals in FAIS. FAS recommends that applicants review all of this information prior to preparing an application.

## Checklist for Submitting Proposals in FAIS

### Proposal Summary Section

- SF-424 Attached
- Strategic Analysis Attached
- Project Level Frameworks Attached
- Performance Monitoring Plan Attached
- Evaluation Plan Attached
- Letters of Support Attached (Not Required)

### Introduction Section

- All required boxes are filled in for country, project dates, etc.
- Introduction box includes descriptions based on Proposal Guidance for the following areas:
  - One paragraph summary of proposed project
  - In-Country Registration Status
  - Organizational Capability
  - FFP only: Lasting Impact
  - MGD only: Local Capacity Building
  - MGD only: Commitment to Education
  - MGD only: Graduation and Sustainability
- Completed Program Administration Tab

### Results Section

#### **Results Tab**

- Each result depicted on the proposal's Project Level Framework has a Result listed in FAIS
- Each result listed in FAIS has performance indicator and target
- Each result listed has a result description

#### **Activities Tab**

- Each activity listed has an activity description
- Each activity has an output indicators with targets for each year of the program
- Each activity has direct and indirect beneficiaries listed

#### **Mapping Tab**

- All activities are mapped to at least one result

#### **Other Details Tab**

- Cash and Non-Cash Contributions section completed
- Sub-recipients section completed
- Government and Non-Government Agencies section completed
- Method of Choosing Beneficiaries section completed
- Method of Educating Beneficiaries section completed
- Target Geographic Area section completed

## **Checklist for Submitting Proposals in FAIS (continued)**

### **Commodity Section**

#### **Commodity Tab**

- All proposed commodities are selected including basic information and monetization or barter details if applicable

#### **Special Needs & Distribution Methods**

- Transportation and Storage section completed
- Processing and Packaging section completed
- Duty Free Entry section completed
- Economic Impact section completed
- Other Remarks section completed and includes program specific information requested in guidance

#### **Monetization Tab (if applicable)**

- Impact on Other Sales section completed
- Private Sector Participation in Sale of Commodity section completed
- Sales Proceed Usage Activity Implementation section completed
- Assuring Receipt Procedures section completed
- Expected Interest Earned section completed

### **PVO Budget Section**

- Complete project budget uploaded or entered per Proposal Guidance

## PROPOSAL SUMMARY SECTION

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### Required Attachments

All applicants must upload the following required documents to the Proposal Summary section:

- **Strategic Analysis**
- **Project-level Framework**
- **Performance Monitoring Plan**
- **Evaluation Plan**
- **Negotiated Indirect Cost Rate Agreement (NICRA)**
- **SF-424**
- **AD-3030**

Applicants may also attach **Letters of Support** to the Proposal Summary. Although these letters are optional, they are encouraged.

The following pages include specific guidance for each of these attachments.

## Guidance for Strategic Analysis

All applicants are required to attach a strategic analysis to the Proposal Summary section of their application. The strategic analysis should not exceed five pages, using no smaller than size 10 font. Your submission of the strategic analysis must include the following information:

- 1) **Explanation of Need:** Proposals must include a comprehensive analysis of the existing needs, challenges, opportunities, and constraints that may impact a project in the recipient country. This section should cite sources or the applicant's analysis. Applicants should address all of the following points in this section:
  - Explain the needs and/or sectors that the proposed project intends to address.
  - Identify the targeted beneficiaries and regions, the specific needs of the targeted population.
  - Identify existing host country government and other donor organizations' programs, policies, and strategies that affect the proposed project.
  - Identify specific in-country constraints that could obstruct the program's efforts to address the identified needs.
  - **Food for Progress (FFPr) Only:** Explain how and justify why the applicant will target specific geographical regions under the proposed project. Although all regions on the FFPr list of priority regions are equally prioritized, applicants must sufficiently justify the regions they chose, particularly if it is not a Feed the Future (FtF) region.
  - **McGovern-Dole (MGD) Only:** Explain the need for a school feeding program in the targeted country or region and information regarding: (1) The country's current school feeding operations and funding resources, if they exist, and the length and sessions of a typical school year; and (2) Teacher training, parent-teacher associations, community infrastructure, and health, nutrition, water and sanitation conditions; (3) Nutritional needs or micronutrient deficiencies in the targeted beneficiaries that will be addressed by school feeding.
  
- 2) **Description of Project Response and In-country Coordination:** Proposals should also use the strategic analysis to describe how they are leveraging other development resources to achieve their results.
  - An analysis linking the needs in the recipient country with the proposed activities, explaining how/why they are appropriate in addressing the needs.
  - Description of the project's targeted response and how it complements existing efforts.
  - Description of the organization's coordination with the host Government, US Government agencies, and other stakeholders to ensure that efforts and activities are not duplicated.

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- Distinguishes which results the implementer will address and which ones others will address in a coordinated approach.

3) **Description of Project-Level Framework in the greater program context:** Proposals should explain how their project ties into the overall goals of the Food Assistance Division's programs in this part of the strategic analysis.

- Description of how the Project-Level Framework supports the FFPr or MGD Program Results Frameworks.
- Explain how activities link to specific Results within the Project-Level Framework.
- Where applicable, justification for why specific results were not selected from the FFPr and MGD Program Framework(s).
- Where applicable, justification for why new result(s) need to be included in addition to those in FFPr and MGD Program Framework(s).
- The analysis should also include a list of critical assumptions for the proposed project. Critical assumptions are the external conditions that must hold in order to achieve the results in the project-level RF. These assumptions are beyond the control of the implementing organization. Each application should identify the critical assumptions that are specific to the country context in which the proposed project will operate.

Please see Annex I and III of this document for the FFPr and MGD program-level results frameworks and for FAS's Manual for the Use of Results Frameworks and Indicators, respectively.

## Guidance for Project-level Framework

All applicants are required to attach a project-level results framework (RF) to the Proposal Summary section of their application. The project level RF should illustrate how the project will contribute to Food for Progress or McGovern-Dole's highest level result(s) (strategic objectives) in the program-level RF. (Please see Annex I of this document for the program-level RFs.) The project-level RF should be a graphical representation that shows the linkages between activities and results. Proposed activities should lead to the achievement of initial results, which support the achievement of mid-level results, which support the achievement of higher level results. Note that proposed activities can link directly to both low and/or mid-level results.

Applicants should use the FFPr and MGD program-level RFs as the basis of their project-level RFs. When constructing a project-level RF, applicants should include all activities and results that the proposed project will address. Projects are not required to reach every result in the program-level result frameworks. However, applicants should not eliminate mid-level results when including low- and high-level results in their project-level RFs. Additionally, applicants may add results that are not included in the program-level RFs to their project-level RFs if their strategic analysis justifies why the additional result is necessary. Applicants may not change the specific title of any existing result from the program-level RFs when including it in their project-level RF. Applicants may choose to show results that that are being achieved by other organizations to show their coordination with other donors can lead to higher level results.

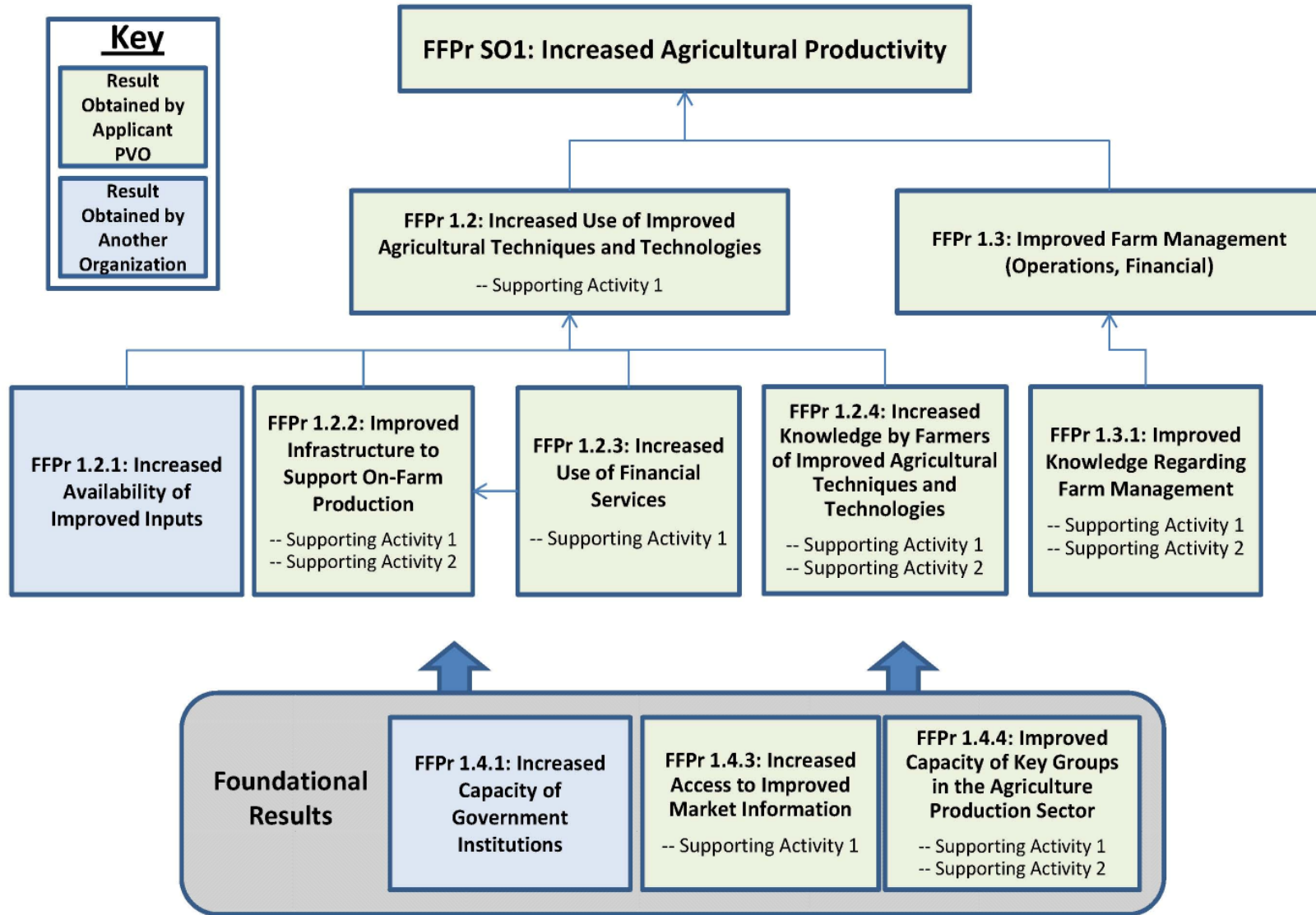
Project-level frameworks must have the following components:

- A highest level result (numbered according to program-level RFs)
- Mid- and lower-level results (numbered according to program-level RFs)
- All activities the project intends to implement
- Any foundational results with supporting activities
- If applicable, distinguish which results the applicant will address and which results other organizations will address, in a coordinated approach

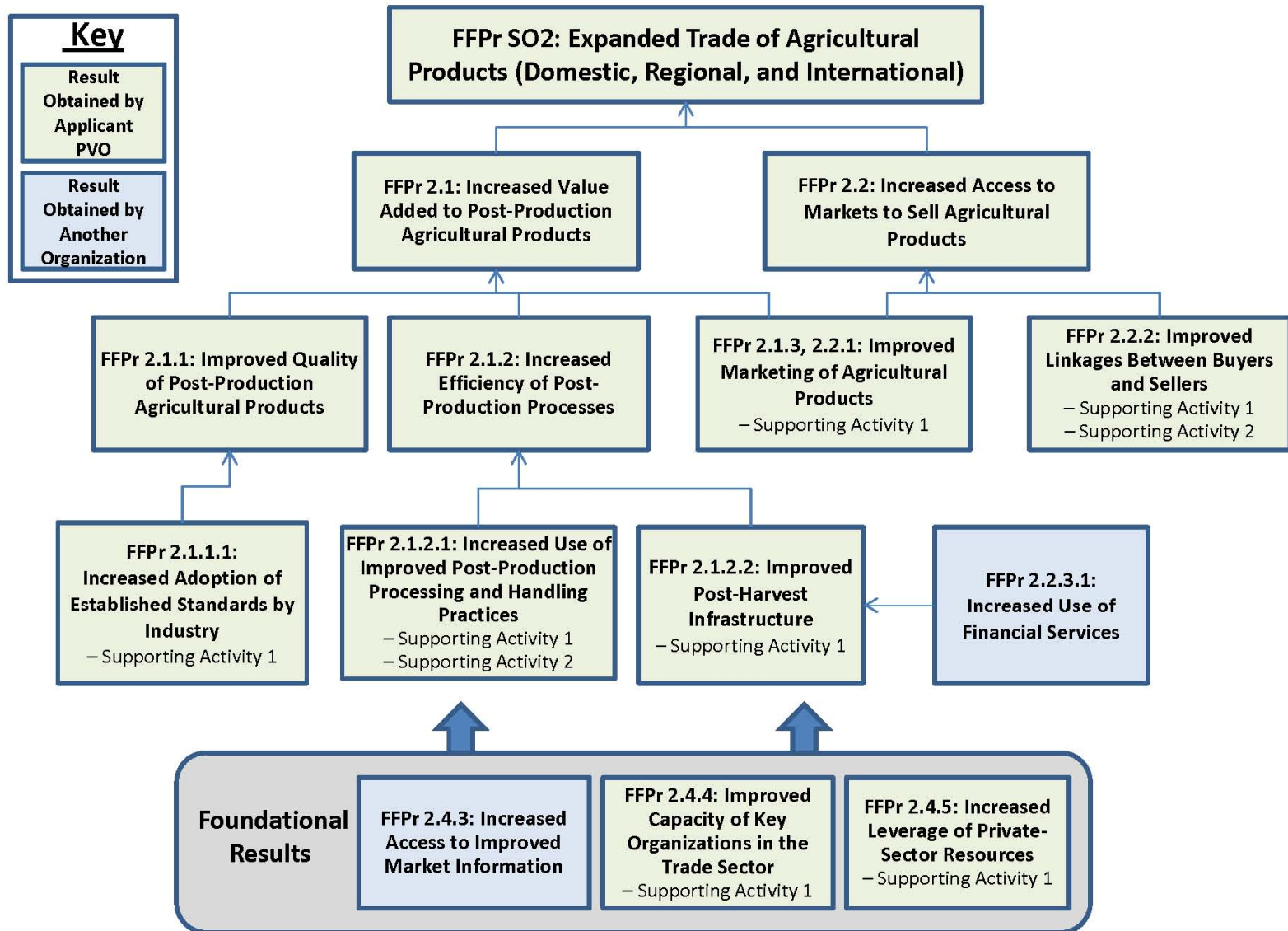
The next four pages contain illustrative project-level results frameworks and are an example of what project-level frameworks may look like. These frameworks were adapted from the Food for Progress and McGovern-Dole Program Results Frameworks.

For additional information on Results Oriented Management in FAS's food assistance programs, see Annex II for FAS's "Manual for the Use of Results Frameworks and Indicators."

# PVO, Country, FY13 FFPr Proposal: Project-level Results Framework

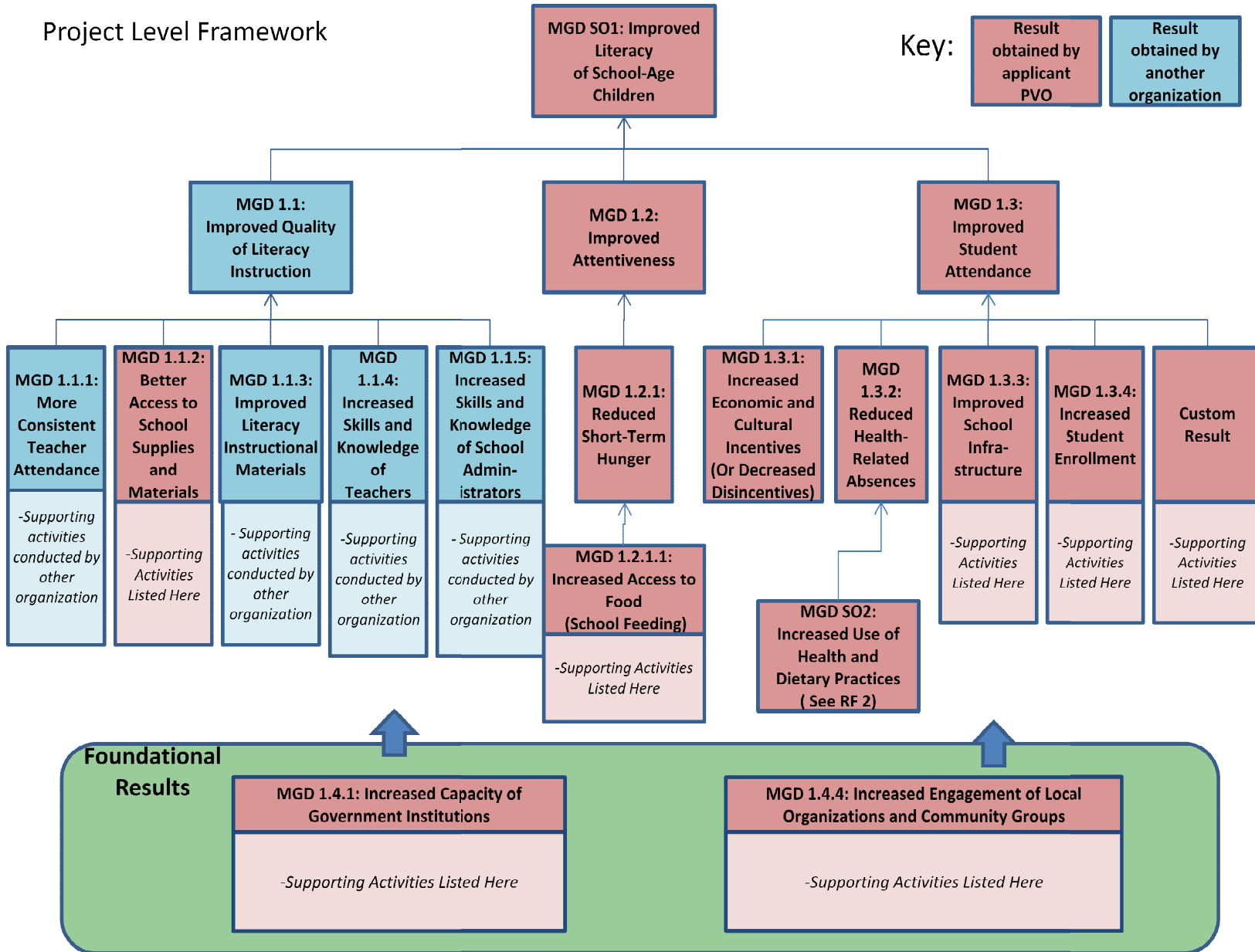
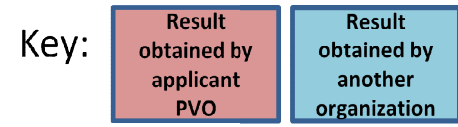


# PVO, Country, FY13 FFPr Proposal: Project-level Results Framework



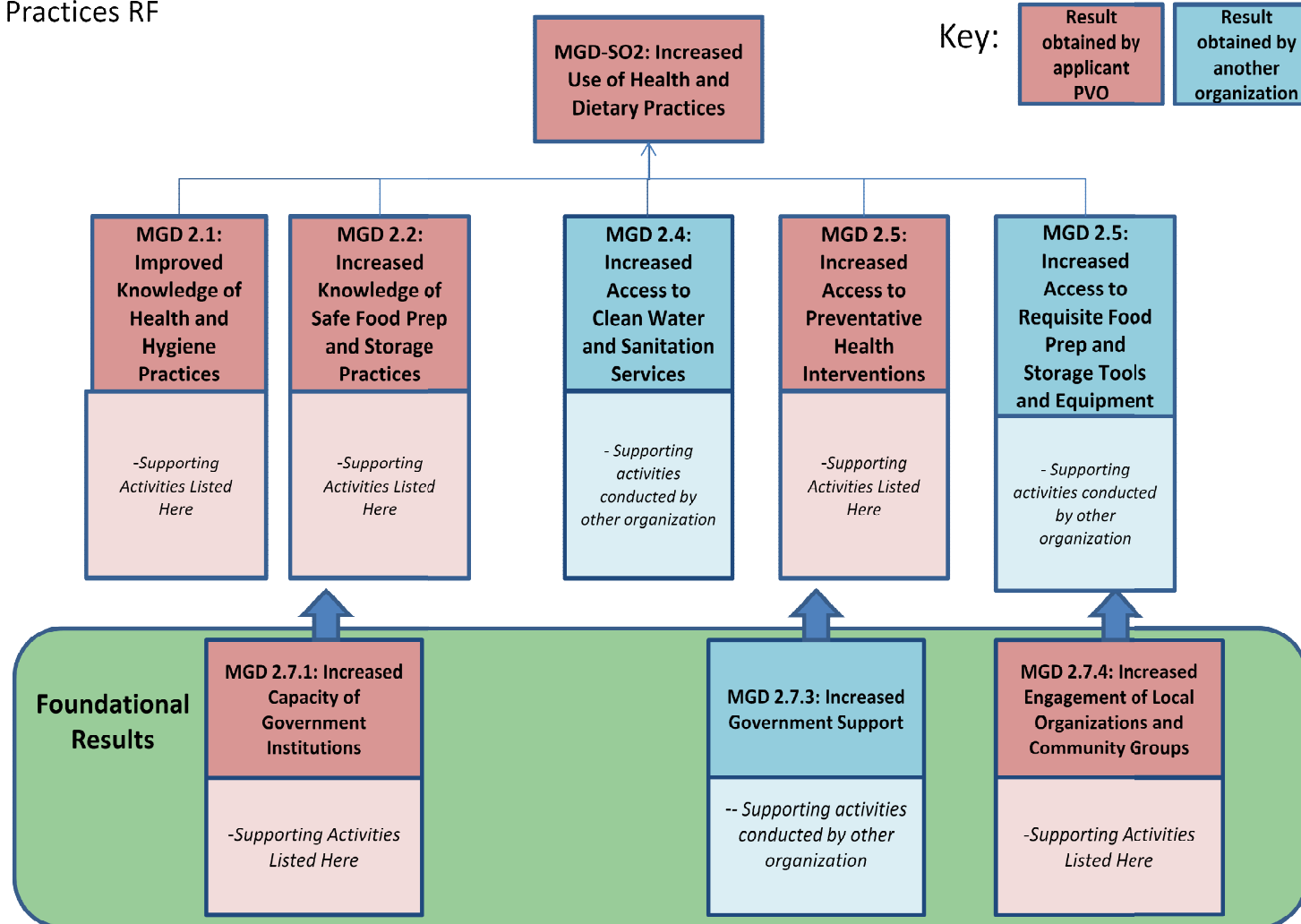
# PVO, Country, FY13 McGovern-Dole Proposal – Project-level Results Framework

Project Level Framework



# PVO, Country, FY13 McGovern-Dole Proposal – Project-level Results Framework

Health and Dietary Practices RF



## Guidance for Performance Monitoring Plan

In addition to submitting a project-level results framework, the proposal must include a draft plan for monitoring project performance. This Performance Monitoring Plan (PMP) should identify indicators for monitoring progress in achieving results and present a strategy for collecting performance data. Note that the plan should not include activities and activity outputs. The plan should include performance indicators that are linked to all results targeted by the project. Performance indicators should include FAS's standard indicators. FAS standard indicators are available in Annex II of this document. The standard indicators will allow FAS to report progress among all of its projects across results areas (i.e. literacy, good health and dietary practices, agricultural productivity and trade) or country specific achievements. Projects are required to report on FAD's standard indicators where relevant.

Applicants also may choose to develop custom indicators because the FAS standard indicators alone do not adequately measure the results or activities. Applicants may design custom indicators using FAS's list of illustrative indicators as a guide. The illustrative indicator lists are intended to provide examples of indicators that implementing partners may use to track progress towards results. As a good practice, these custom indicators should be based on broad stakeholder input. Although not required, proposals should include custom indicators that have been developed through a participatory approach involving key stakeholders. The applicant may wish to hold a stakeholders meeting to develop the project's proposed results framework, performance monitoring plan and performance indicators.

In the development of performance indicators, FAS believes indicators should meet the following criteria:

- **Direct:** the indicator should, as closely as possible, measure exactly the relevant result.
- **Objective:** the indicator should be precise and unambiguous about what is being measured and how. There should be no doubt on how to measure or interpret the indicator.
- **Adequate:** the indicator(s) should sufficiently capture all of the elements of a result.
- **Practical:** the data can be obtained to inform the indicator in a timely and efficient manner and the data are of high-quality.

The full set of indicators selected to monitor project performance should be kept to the minimum necessary to inform project management and oversight. They should also be realistic in terms of project resources allocated to performance management including data collection, analysis and reporting. For more information and a sample PMP, see Annex IV of this document for FAS's Monitoring and Evaluation Policy.

## Performance Monitoring Plan Template

Applicants should use the following template when preparing a performance monitoring plan.

Performance Indicator	Indicator Definition and Unit of Measurement	Data Source	Method/ Approach of Data Collection or Calculation	Data Collection		Analysis, Use and Reporting	
				When	Who	Why	Who
<b>[Result Title]</b> (from project-level results framework)							
<ul style="list-style-type: none"> <li>- Identify the performance indicator</li> <li>- Include all standard indicators</li> </ul>	<ul style="list-style-type: none"> <li>- Provide definitions of terms</li> <li>- Numerator /Denominator</li> <li>- Unit of measurement (number, percent, percent change)</li> <li>- Disaggregation</li> </ul>	<ul style="list-style-type: none"> <li>- Baseline survey</li> <li>- Project records</li> <li>- Student standard assessments</li> <li>- Admin Records</li> <li>- Etc.</li> </ul>	<ul style="list-style-type: none"> <li>- Sampling techniques</li> <li>- Questionnaires</li> <li>- Direct observation with standard forms</li> <li>- Etc.</li> </ul>	<ul style="list-style-type: none"> <li>- Quarterly</li> <li>- Semi-annual</li> <li>- Annual</li> <li>- Etc.</li> </ul>	<ul style="list-style-type: none"> <li>- Specify who is collecting data</li> <li>- Specify who will review and verify</li> </ul>	<ul style="list-style-type: none"> <li>- Why is the data important</li> <li>- How will it be used</li> </ul>	<ul style="list-style-type: none"> <li>- Who is using or requiring the data</li> </ul>

## **Guidance for Evaluation Plan**

All FAS food assistance applications must include an evaluation plan. As described in the Food Assistance Division's Monitoring and Evaluation Policy (available in Annex IV of this document) each evaluation plan should detail the proposed evaluation activities, including the purpose and scope of midterm and final evaluations, evaluation methodology, timing of evaluation activities, and dissemination of findings and lessons learned. Please note that FAS requires that an independent, third party conducts both the mid-term and final evaluation (as stipulated in 7 CFR1499/1599.13). When preparing the evaluation plan, all applicants should review the policies outlined in the Monitoring and Evaluation Policy.

The evaluation plan should be developed as a stand-alone document that can be shared with key project partners, stakeholders, and the public. FAS expects the evaluation plan to be no more than **10 pages**. The evaluation plan should adhere to the following outline:

### **I. Introduction**

Provide a brief description of the purpose of the evaluation plan and how it will be used by the project and its partners.

### **II. Project Overview**

Provide a summary description of the project including the project strategic objectives and expected results. The project overview should only provide important context to the evaluation plan and methodology proposed.

### **III. Midterm Evaluation**

Provide a description of the project's midterm evaluation strategy and process. The evaluation plan should identify the purpose and scope of the evaluation, preliminary key evaluation questions, methodology, selection of the evaluation team, and key audience for the evaluation. The evaluation plan should include a timeline for the conduct of key evaluation activities and a description of how the project plans to utilize the evaluation findings and recommendations. For further guidance on the design and conduct of the midterm evaluation please review the M&E policy.

### **IV. Final Evaluation**

Provide a description of the project's final evaluation strategy and process. The evaluation plan should identify the purpose and scope of the evaluation, preliminary key evaluation questions, methodology and baseline and follow-up data collection, and the key audience for the evaluation. The evaluation plan should describe the methodology selected and the strengths and weaknesses in the proposed methodology for measuring impact and

assessing attribution. The evaluation plan should include a timeline for conducting key evaluation activities and address issues of independence, coordination and the use of participatory methods. For further guidance on the design and conduct of the final evaluation please review the M&E policy.

**V. Special Studies (as applicable)**

Proposals may include plans to conduct special studies focused on a particular intervention, sector or thematic area that may aid in identifying project effectiveness, impact, or lessons learned complimentary to the required midterm and final evaluations. Proposals may also include qualitative or anthropologic studies that help to triangulate evaluation information, provide context to evaluation findings, or provide a better understanding of evaluation findings.

**VI. Evaluation Management**

Provide a description of the management of the evaluation activities addressing issues of independence and quality assurance as described in the M&E policy. Descriptions of evaluation management may include an organizational chart and must include a description of roles and responsibilities of the organization and project staff, M&E staff and M&E consultants or contractors, as applicable. The evaluation plan should also address the roles and responsibilities of the project partners and key stakeholders throughout the evaluation process. The evaluation plan should address the regular review and updating of the evaluation plan throughout the life of the agreement. The evaluation plan should describe the project's dissemination strategy for improving the knowledge base and sharing evaluation findings and lessons learned.

## **Guidance for NICRA**

Applicants should attach the organization's most up-to-date Negotiated Indirect Cost Rate Agreement (NICRA). If your organization does not have a NICRA, attach a brief note explaining why it does not have a NICRA.

## **Guidance for SF-424**

Please complete, sign, and attach the SF-424. It is not necessary to include supplementary SF-424 forms (i.e. SF-424A, SF-424B, etc.) Please note that unsigned SF-424s will not be accepted.

Applicants can download a blank form on the FAS website at:

<http://www.fas.usda.gov/excredits/FoodAid/SF424.pdf>

## **Guidance for AD-3030**

All domestic applicants that are corporations should complete, sign, and attach the one-page AD-3030 form: "Representations Regarding Felony Conviction and Tax Delinquent Status for Corporate Applicants." (Note that a "corporation" is defined as any entity that has filed articles of incorporation in one of the 50 States, the District of Columbia, or the various territories of the United States including American Samoa, Federated States of Micronesia, Guam, Midway Islands, Northern Mariana Islands, Puerto Rico, Republic of Palau, Republic of the Marshall Islands, or the U.S. Virgin Islands. Corporations include both for profit and non-profit entities.) Unsigned AD-3030s will not be accepted.

Applicants can download a blank form on the FAS website at:

<http://www.fas.usda.gov/excredits/FoodAid/AD3030.doc>

## INTRODUCTION SECTION

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### Introduction Guidance for Food for Progress Applicants

The Introductory Statement for all Food for Progress proposals must include the following information:

- **Summary:** Provide a one-paragraph summary of the proposed project.
- **Explanation of Need:** The Food for Progress program regulations (7 CFR 1499.4) specify that an “explanation of need” shall be included in the introduction. To meet this requirement, include an explanation of need in your Strategic Analysis (and not in the introductory statement), as outlined in the strategic analysis section of this guidance.
- **Organizational Capacity:** Provide information about the organization’s capabilities to implement the proposed program. Applicants should discuss previous experience implementing food assistance and/or agricultural development programs. Applicants should also discuss any in-country experience. Applicants should reference quantitative examples of results achieved under past programs, where applicable.
- **In-Country Registration Status:** State whether or not the applicant is a registered organization in the recipient country. If it is not, discuss the organizations ability and plan to become registered.
- **Lasting Impact:** Provide information on how the proposed program will achieve long-lasting results. How will program achievements be sustained after the project ends?
- **Proposed Budget:** The Food for Progress program regulations (7 CFR 1499.4) specify that a budget shall be included in the introduction. To meet this requirement, complete the “PVO Budget” section in FAIS (and not in the introductory statement), as outlined in the budget section of this guidance.

## Introduction Guidance for McGovern-Dole Applicants

The introductory statement for all McGovern-Dole proposals must include the following information:

- **Summary:** A one-paragraph summary of the proposed project.
- **Explanation of Need:** The McGovern-Dole program regulations (7 CFR 1599.4) specify that an “explanation of need” shall be included in the introduction. To meet this requirement, please include the explanation of need in your Strategic Analysis (and not in the introductory statement), as outlined in the strategic analysis section of this guidance.
- **Organizational Capability:** Information about the organization’s capabilities to implement the proposed program, with particular emphasis on school feeding, or other relevant development activities. This section should include 1) information on the applicant’s past experience in implementing food aid, education, or health and nutrition programs; and 2) its experience within the country where the program is proposed.
- **In-Country Registration Status:** Information on the applicant's registration status in the recipient country and its ability to become registered if it is not already.
- **Local Capacity Building:** Methods that the applicant proposes to use to involve indigenous institutions as well as local communities and governments in the development and implementation of the activities in order to foster local capacity building and leadership.
- **Commitment to Education:** A statement verifying the commitment of the government of the targeted country to work, through a national action plan, toward the goals of the World Declaration on Education for All convened in 1990 in Jomtien, Thailand, and the follow-up Dakar Framework for Action of the World Education Forum, convened in 2000.
- **Graduation and Sustainability:** Explain the steps to graduate the program activities from food aid and address sustainability, or sustainable program components, which will continue after the end of food aid donations. In addressing graduation or sustainability, please (1) Address how the program will sustain the benefits of the education, enrollment, and attendance of children in schools in the targeted communities when the provision of commodities and assistance to a recipient country under MGD terminates; (2) Estimate the time required until the recipient country or eligible organizations will be able to provide sufficient assistance without additional assistance under MGD; or in the absence of sustainability; and (3) Explain how the program will provide other long term benefits to targeted populations of the recipient country.
- **Proposed Budget:** The McGovern-Dole program regulations (7 CFR 1599.4) specify that a budget shall be included in the introduction. To meet this requirement, please complete the PVO Budget section in FAIS (and not in the introductory statement), as outlined in the budget section of this guidance.

## RESULTS SECTION

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### Guidance on Results

In this section, applicants must identify all results that the project will achieve, and they will be expected to report on the achievements of the identified results. These results should be consistent with the results captured in the project-level framework. FAIS allows the applicant to select results based on a hierarchy that captures the relationships in the Food for Progress and McGovern-Dole Program Results Frameworks. For more information on selecting results in the system, see Annex V of this document: FAIS Proposal Entry Instructions.

For each result selected in FAIS, applicants should provide the following information:

- **Result Description:** Applicants may leave this box blank or use it to add any additional information that they would like FAS to know about the result. Additionally, if selecting a “New Custom Result,” use this box to describe the custom result.

## Guidance on Performance Indicators

For each selected result, applicants must designate at least one performance indicator and provide the following descriptive information. Note that applicants can select multiple indicators for each result.

- **Performance Indicator:** Enter a performance indicator that corresponds to the result. This may be a standard or custom indicator. However, FAS requires the use of its standard indicators, if applicable. (See additional guidance below.)
- **Performance Indicator Target (#):** The applicant should enter the project target for the indicator for the length of the project.
- **Baseline #:** Enter the baseline data here or leave this box blank if your baseline data is to be determined.
- **Other Details:** If your applicant organization has existing baseline data you may enter information about the data, such as when it was measured, by whom, and with what methodology. If the applicant does not have established baseline data, explain your plan to measure the baseline data. Applicants may also enter any other information that they would like FAS to know.

Note: Information entered in this section should be consistent with the results and indicators in the application's project-level results framework and Performance Monitoring Plan.

For more information on performance indicators see Annex III: Guidance for Using Results Frameworks and Indicators.

## Guidance on Activities

In FAIS, activity descriptions are a critical component to the application. These descriptions give FAS an understanding of exactly how you will use either the commodities or cash requested in this proposal; therefore it is very important to explain each of your activities thoroughly in these boxes.

Applicants can select one of the standard activities from the list below in FAIS, or they can create a “custom activity.” If the activity is a “custom activity” (e.g. not found in the “Activity” drop down menu), provide an activity title. FAS does not require that applicants use a standard activity from this list, however the use of standard activities is encouraged. The standard activity titles are general so applicants need to describe activities thoroughly in the activity description box in FAIS. Please use the following guidance when completing the description for each activity:

- A detailed description of the activity, including the steps involved in its implementation;
- An explanation of who is conducting the activity, who benefits from the activity, what the activity involves, where the activity will take place, and when the activity will take place during the overall project implementation.
- An explanation of whether the activity would be carried out through the distribution or barter of the requested commodities or funded by sale proceeds, income, or a combination thereof.

For each activity entered, applicants must enter beneficiary and output information. See the next page for additional guidance on entering this information.

<b>LIST OF STANDARD ACTIVITIES</b>	
<b><i>Food for Progress</i></b>	<b><i>McGovern-Dole</i></b>
Capacity Building: Agricultural extension agents/services	Building/Rehabilitation: Kitchens
Capacity Building: Government Institutions	Building/Rehabilitation: Latrines
Capacity Building: Producer groups/cooperatives	Building/Rehabilitation: Schools
Capacity Building: Promote improved policy and regulatory framework	Building/Rehabilitation: Warehouses and Storerooms
Capacity Building: Provide business development services	Building/Rehabilitation: Wells and water stations/systems
Capacity Building: Trade associations	Capacity Building: Local, regional, national level
Cash for Work	Curriculum development
Financial Services: Develop savings & loan/village banking groups	Develop partnerships with farmer groups to supply food to schools
Financial Services: Facilitate agricultural lending	Distribute uniforms and/or shoes

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Financial Services: Leverage private and/or public investment	Distribution: De-worming medication, vitamins & minerals
Financial Services: Provide micro-finance	Distribution: School furniture and equipment
Financial Services: Provide SME finance	Distribution: School supplies and materials
Food for Work	Enrollment campaigns
Infrastructure: Market and trade	Establish activities to promote literacy
Infrastructure: Off-farm	Establish libraries
Infrastructure: On-farm	Establish Parent-Teacher Associations
Infrastructure: Post-harvest handling and storage	Establish school gardens
Infrastructure: Post-harvest processing	Extra-curricular activities
In-kind Grants: Equipment	Form savings and lending groups
In-kind Grants: Livestock	Monitor children's growth
In-kind Grants: Inputs	Production of books and supplementary reading materials
Inputs: Develop agrodealers and/or other input suppliers	Promote teacher attendance
Inputs: Develop seed banks	Provide energy-saving stoves
Inputs: Develop veterinary services	Provide School Meals
Market Access: Facilitate buyer-seller relationships	Provide transportation for students
Market Access: Facilitate private and/or public partnerships	Raising awareness on the importance of education
Public Information Campaign: Disperse improved market information	Student recognition
Public Information Campaign: Disperse nutritional information	Take home rations
Training: Demonstration plots	Teacher recognition
Training: Improved farm management	Training: Commodity management
Training: Improved marketing and branding	Training: Food preparation and storage practices
Training: Improved agricultural production techniques	Training: Good health and nutrition practices
Training: Post-harvest handling	Training: Government Officials
Training: Post-harvest processing	Training: Parent-Teacher Associations
Training: Sanitary and phytosanitary standards	Training: School administrators
	Training: Teachers

## Guidance on Outputs and Beneficiaries

Applicants must enter the number of beneficiaries and proposed outputs for each activity entered in the proposal. Applicants should use the following guidance when entering outputs for each activity. Note that you must enter an output and description for each fiscal year of implementation.

- **Output:** Applicants should enter a quantitative indicator to measure outputs that will be achieved by this activity. FAS defines output as “the immediate and tangible result of a project’s inputs, such as number of children fed, number of schools built, number of trainings provided, etc.”
- **Output #:** Enter a target for the selected output indicator for each year of the activity in this field.
- **Direct and Indirect Beneficiaries:** Applicants should select all applicable direct and indirect beneficiaries from the standard list of beneficiaries provided in FAIS. If your output is measuring beneficiary numbers, then FAS recognizes that this number may be the same as your output target.

COMPLETE LIST OF BENEFICIARIES	
Ag Producers	Local Public and Private Universities
Agribusiness Owners/Employees	Mothers
Agricultural Input/Service Providers	Municipalities
AIDS/HIV Patients	Natural Disaster Victims
Boy students	Nurses & Health Workers
Children under 5 years of age	Orphans
Communities	Parent Teacher Associations
Community Groups	Parents
Community Members	Pregnant and Lactating Women
Cooks	Principals
Cooperatives/Producer Associations	Processors
Elderly	Refugees/Displaced Persons
Extension Agents	Researchers & Scientists
Family Members	School Administrators
Field Agent	Schools
Financial Service Providers	Small Businesses
Financial Service Recipients	Students
Girl students	Teachers
Government Agencies/Offices	Traders
Government Officials	Other
Herders	Veterinarians
Households	Women
Lactating Mothers	Women Farmers

## Guidance on Activity and Result Mapping

Applicants should map their activities to results in FAIS. The purpose of this section is to capture the linkage between activities and results. These linkages should exactly reflect your project level framework submission.

## Guidance on Other Details

All applicants must complete other details regarding the results entered in their proposal. Applicants should use the following guidance when entering this information:

- **Cash or Non-cash Contributions:** Explain any cash or non-cash contributions that the applicant expects to receive from non-CCC/FAS sources that are critical to the implementation of the proposed activities or enhance the implementation of the activities. If possible, provide an estimated dollar amount.
- **Sub-recipients:** Identify any entity that will receive FAS funds, commodities, or monetization proceeds from the applicant for the purpose of implementing program activities. Describe each entity's expected program responsibilities and capability to perform its responsibilities.
- **Government and Non-Governmental Agencies:** Specify any governmental or nongovernmental entities in the recipient country that will be involved in the program and explain how the program will strengthen or increase the capacity of the entities.
- **Method of Educating the Public:** State the methods of notifying consumers in the recipient country of the source of donated commodities and/or funding for program activities. In cases where beneficiaries will receive commodities directly, describe how they will be educated to prepare and consume them properly.
- **Method of Choosing Beneficiaries:** In a couple of paragraphs, identify the criteria and methodology used to target the geographic area(s) and the beneficiary group(s). Criteria and methodology should help to distinguish why some regions or beneficiary groups will receive resources (funds or agricultural products) while others will not. Consider the following questions when preparing your response:
  1. Why and with what methodology did you select the particular geographic area(s), institutions, and/or beneficiaries?
  2. Which sources of information did you use (i.e. government agency survey, computer database, interviews, assessments, etc.)?
  3. With whom did you collaborate to target particular regions, institutions, or beneficiaries?
- **Target Geographic Area:** List the targeted geographic areas where the proposed activities will take place.

## COMMODITY SECTION

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### Guidance on the Commodity List

Each proposal must include information on the commodity(ies) requested. Applicants must complete the following required information in FAIS:

- **Commodity**
- **Package Size/Type**
- **Commodity Usage Type:** Select barter, direct feed, food for work or monetization to specify how the commodity will be used. The direct feed option includes take home rations.
- **Quantity MT**
- **Destination Country**
- **Delivery to US Port (Month & Year)**
- **Estimated Sales Per MT:** Complete this information for monetization programs only.
- **Estimated Proceeds:** Complete this information for monetization programs only.

## Guidance on Special Needs & Distribution Methods

Each proposal must include information on special needs and distribution of commodities.

Please use the following guidance when completing this information:

- **Transportation and Storage:** The purpose of this section is to provide assurances to FAS that the port, transportation infrastructure, and storage facilities are sufficient to prevent undue spoilage or waste. Provide one or two paragraphs that describe the following: (1) the discharge port facilities in the importing country, including offloading and storage capacity, number of discharge berths, depth of draft, and who will receive the commodities at the discharge port, (2) the mode of transport used to move the commodities from the discharge port to the applicant's warehouse and/or to a buyer (if the commodity is to be monetized), (3) storage capacity, structure and level of security, (4) movement of food from warehouse to schools or feeding centers, (5) steps taken to prevent undue spoilage or waste.
- **Processing or Packaging:** In this section, explain any special delivery or commodity needs. Also provide information on any processing or repackaging that you, the applicant, will arrange prior to the sale of the commodities. (If no processing or repackaging will take place, please state this.)
- **Duty Free Entry:** Provide information about local customs, duties, and taxes that may be applicable for the commodities to enter the country. The applicant should list any special laws or taxes that may apply and explain how these laws and/or taxes will affect either distribution and/or monetization. For direct feeding programs only, the applicant must indicate that the commodities will be imported and distributed free from all customs, duties, tolls, and taxes. Please cite any written documentation that supports duty-free entry. For monetization programs, if the commodities will not enter duty free, indicate who will be responsible for paying applicable customs, duties, or taxes and how this payment will affect the amount of sales proceeds realized from the sale.
- **Economic Impact:** Please provide information indicating how the commodities were selected. Describe why the commodities can be imported and distributed without a disruption to local production and marketing patterns along with no adverse effect on prices of the same or like products (substitutable commodities) within the importing country. Highlight current local agricultural risks, aberrations, and marketing practices for locally produced foods. Discuss how these factors have been considered in the commodity selection process and monetization plan. Please include recent production and consumption statistics along with sources to support these statements.
- **Other Remarks:** All Applicants may use this box to address any areas not covered by the previous boxes and to further describe their proposed transportation and distributions methods. If applicable, the applicant may provide information on any commodities that

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would be acceptable substitutes for the proposed commodities. McGovern-Dole Applicants: explain how the requested commodities and ration size meet the nutritional needs and micronutrient deficiencies of the intended beneficiaries. Explain how the commodity selection was determined in the context of other feeding programs in the region or country and for the appropriateness of the local diet.

## Guidance on Monetization

If an applicant proposes to monetize commodities it must enter information on the proposed commodity sale. Please use the following guidance when entering this information.

Note: applicants who do not propose to monetize donated commodities may skip this section.

- **Impact on Other Sales Box:** Provide a paragraph or two that gives assurance that commercial markets and local production will not be adversely affected by the sale or barter of commodities. Include information on trade of the same and similar commodities from the United States and other countries in this market. Discuss current trading partners. Include both commercial as well as traditional regional stakeholders. Discuss the optimal timing of the sale in terms of periods of heightened demand, seasonality, harvest time, etc.
- **Private Sector Participation in Sales of Commodity Box:** Provide a paragraph or two that describes how the commodities will be sold. Indicate who the potential buyers are given the market for the commodities. Discuss how private sector buyers will be encouraged to participate in the sales process. Discuss any constraints that may hinder or aid the sales process, (e.g. number of buyers, number of banks, letter of credit fees, storage facilities at processing plants, etc). Indicate which measures the applicant will undertake to guard against an uncompetitive sale due to limited potential buyers.
- **Sales Proceeds Usage Box:** This section should be used to account for how the proceeds from the monetization or barter of the commodity(ies) will be used. Total direct costs (Internal Transportation Shipping Handling (ITSH), activity costs, and other direct costs) and indirect costs must not exceed the estimated proceeds. Also, include a statement of how unexpected increases or decreases in proceeds or additional funds due to reduced ITSH costs will be distributed across activities. (Note that administrative and ITSH costs may not be increased).
- **Assuring Receipt Procedures Box:** Provide a paragraph or two that describes how the applicant will ensure that it receives payment for the sales and that the proceeds are deposited into a separate interest-bearing account. Discuss how and when the proceeds will be disbursed from the account for program activities. Discuss who will have access to the funds and how the accounts will be monitored and audited. If special banking issues are involved, the applicant should describe any actions needed to safeguard deposits.
- **Expected Interest Earned:** Enter the expected interest earned from the monetization proceeds during the life of the project.

## PVO BUDGET SECTION

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### Guidance on Budgets

To enter a budget, applicants may either enter their budgets line by line, using the FAIS budget module, or they may upload their budgets, 100 lines at a time, using an excel spreadsheet. (For instructions on physically entering the budget in FAIS, see Annex V of this document, *FAIS Entry Instructions*.) Each budget line item requires 14 fields. Applicants should use the following guidance for completing each field in the program budget:

- **Fiscal year:** Select the fiscal year of funding. All applicants should select 2013.
- **Activity:** Select the activity that will be charged to the line item. If the expense relates to administrative costs, select “Administration,” and if it relates to internal transportation, shipping, and handling (ITSH), select “ITSH.”  
Note: FAS requires that all expenses in the program budget that support a specific activity should be linked to that activity. The only expenses that should be categorized as “administration” should relate to the entire project (i.e. rent, headquarter staff, office supplies, etc.).
- **Expense Type:** Select an expense type from the dropdown menu in FAIS. If none of these categories applies to the line item, select “unknown.” However, FAS prefers for applicants to use one of the standard expense types provided.  
The standard Expense Types are: Handling, Internal Transportation, Warehouse, Equip. Leases, Equipment, Office, Travel, Prof. Services, Benefits, Salaries, and Unknown.
- **Location:** Select either “Headquarter” or “Field,” depending on where the expense will be incurred.
- **Details:** Provide a thorough budget narrative. This description should account for all costs that are included in the line item. This field also provides the opportunity to explain if a cost is split amongst multiple activities and to note the length of time for which this cost will be incurred (i.e. 20 months, 1 year, etc.).
- **Quantity:** Note the quantity associated with this expense.
- **Price Per Unit (\$):** Enter the price per unit associated with this expense. See more information on the “quantity” and “price per unit (\$)” fields in the “Hints for Preparing a Concise Budget” section below.
- **Total Price (\$):** Enter the total cost of the line item. It should equal the amount in the “Quantity” field times the amount in the “Price Per Unit (\$)” field. This field will populate automatically if the applicant enters the budget using the FAIS budget module. If the applicant enters the budget by uploading an excel spreadsheet to FAIS, this item is not required in the spreadsheet.

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- **NICRA (%):** Enter the NICRA percentage to be charged against the line item.
- **Total After NICRA (\$):** Enter the total cost of the line item after NICRA is applied (direct plus indirect costs). If the applicant enters the budget using the FAIS budget module, this field will automatically populate once the “NICRA (%)” field is completed. If the applicant enters the budget by uploading an excel spreadsheet to FAIS, this item is not required in the spreadsheet.
- **Cash (%):** Enter the the percentage of the total line item that will be funded with cash.  
For McGovern-Dole Applicants: Under MGD, FAS has authority to provide cash for activities that compliment school feeding. Most applicants should enter 100 in this field, because most program participants do not monetize under MGD programs.  
For Food for Progress Applicants: Under FFPr, CCC has the authority to provide cash funds to cover administrative expenses.
- **Monetization (%):** Enter the percentage of the total line item that will be funded with monetization proceeds. If the applicant enters the budget using the FAIS budget module, this field will automatically populate once the “Cash (%)” field is completed. If the applicant enters the budget by uploading an excel spreadsheet to FAIS, this item is not required in the spreadsheet.
- **Cash (\$):** Enter the total dollar amount of the line item that will be funded with cash. If the applicant enters the budget using the FAIS budget module, this field will automatically populate once the “Cash (%)” field is completed. If the applicant enters the budget by uploading an excel spreadsheet to FAIS, this item is not required in the spreadsheet.
- **Monetization (\$):** Enter the total dollar amount of the line item that will be funded with monetization proceeds. If the applicant enters the budget using the FAIS budget module, this field will automatically populate once the “Cash (%)” field is completed. If the applicant enters the budget by uploading an excel spreadsheet to FAIS, this item is not required in the spreadsheet.

## Hints for Preparing a Concise Budget

Applicants should consider the hints below to keep their budgets as concise as possible:

- **Years:** In previous solicitations, FAS required applicants to separate line items by project implementation year. However, FAS no longer requires applicants to distinguish among implementation years. For FY 2013 proposals, applicants should select 2013.
- **Quantity/Unit:** When appropriate, FAS recommends that applicants minimize specificity in the “Quantity” and “Price Per Unit” columns. Because FAIS does not allow applicants to describe the “unit,” applicants should only enter quantities other than “1” when the unit is obvious. When the unit is unclear, applicants should use “1” for quantity, and the price per unit should match the total price. Always be sure to describe adequately what the line item includes in the “Details” column. See Example #1 below for further clarification.

Example #1: For a hypothetical “activity #1” that includes training in improved agricultural production techniques, the unit for employee salaries is obvious, so it makes sense to include the quantity. However, for in-country travel costs associated with the activity, it is difficult to distinguish the unit, so it does not make sense to include the quantity.

Year	Activity	Expense Type	Location	Details	Qty.	Price per Unit (\$)	Total Price (\$)
2013	Act # 1	Salaries	Field	3 agricultural technicians at 100% time for 40 months	3	\$30,000	\$90,000
2013	Act # 1	Travel	Field	Activity #1 LOP in-country travel expenses (per diem, lodging, car rental, gas)	1	\$27,000	\$27,000

- **Aggregate:** Applicants should aggregate costs whenever possible in order to reduce the overall number of budget line items. All items in the same cost category (i.e. equipment or office) should be grouped into the same line item. Use the “Details” column to account for exactly what is included in the aggregated line item.

Example #2: Aggregate all office supplies in the same line item. Do not disaggregate phones, computers, etc. Instead, note these items in the “Details” column. All office equipment can be tied to the field headquarter and should not be disaggregated by activity. Because multiple different items are included in this line item, the unit is not obvious; so use a quantity of 1.

Year	Activity	Expense Type	Location	Details	Qty.	Price per Unit (\$)	Total Price (\$)
2013	Admin	Office	Field	3 computers, M&E software package, 2 phones, 1 copier	1	\$5,000	\$5,000

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**Example #3:** When possible, aggregate all salaries for each activity into one line item per activity. Also aggregate all HQ “administration” salaries and all field “administration” salaries into their own line items. Be sure that the line item description notes the positions included, the percentage of time spent, and the duration of employment. If an employee will work on multiple activities, divide his/her time amongst the applicable activity line items. Because the unit is obvious, specify the quantity.

Year	Activity	Expense Type	Location	Details	Qty.	Price per Unit (\$)	Total Price (\$)
2013	Admin	Salaries	HQ	2 program staff at 20% time each for 40 months	2	\$15,000	\$30,000
2013	Admin	Salaries	Field	Country Director at 20% time, Deputy Country Director at 50% time, for 40 months	2	\$35,000	\$70,000
2013	Act#1	Salaries	Field	8 technicians at 50% time for 40 months	8	\$20,000	\$160,000
2013	Act #2	Salaries	Field	8 technicians at 50% time for 40 months	8	\$20,000	\$160,000
2013	Act #3	Salaries	Field	2 agronomists at 100% time for 40 months	2	\$40,000	\$80,000

- **Major Expenses:** The only time when applicants should not aggregate a line item is if it is for a very large cost (i.e. vehicles, monetization agent fee, subrecipient agreements, etc.)

**Example #4:** Don’t aggregate major expenses.

Year	Activity	Expense Type	Location	Details	Qty.	Price per Unit (\$)	Total Price (\$)
2013	Admin	Equipment	Field	1 vehicle (make, model) for use at in-country HQ	1	\$28,000	\$28,000
2013	Act #1	Equipment	Field	2 pick-up trucks (make, model) for use by extension agents	2	\$22,000	\$44,000
2013	Admin	Prof. Services	Field	Monetization agent fee (3% of total sale)	1	\$300,000	\$300,000
2013	Act #2	Other	Field	Subrecipient agreement with PVO to implement all components of Activity #3	1	\$250,000	\$250,000