

FOREIGN AGRICULTURAL SERVICE

Food Assistance Division
Office of Capacity Building and Development

FY 2019 Food Assistance Proposal
Guidance and Request for Applications

FOOD FOR PROGRESS PROGRAM (FFPr)
NOTICE OF FUNDING OPPORTUNITY (NOFO)

March 28, 2019

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U.S. DEPARTMENT OF AGRICULTURE
Foreign Agricultural Service

Notice of Availability of Funds and Funding Opportunity Announcement for the USDA Food for Progress program (FFPr)

ANNOUNCEMENT TYPE: Request for Application

FUNDING OPPORTUNITY NUMBER: USDA-FAS-FFPR-19-2

CATALOG OF FEDERAL DOMESTIC ASSISTANCE (CFDA) NUMBER: 10.606

DATES: Applications must be submitted to the United States Department of Agriculture (USDA) through the Food Aid Information System (FAIS) by 5:00:00 P.M. Eastern Daylight Time (EDT) by May 29, 2019. Applications received after this date will not be considered. The USDA Foreign Agricultural Services (FAS) advises Applicants **to begin the process early to allow time to address any information technology difficulties that may arise**. There will be no exceptions to this application deadline. Please be advised that incomplete applications will not be reviewed. Refer to Part C Section 3 and Part D Section 2 for application requirements to make an application considered complete. Questions regarding this request for applications will be considered to the extent practicable and should be submitted to PPDED@fas.usda.gov. Questions must be received no later than 5:00:00 P.M. EDT May 20, 2019. Responses will be posted on FAIS.

EXECUTIVE SUMMARY: FAS is soliciting applications for the FFPr program for Fiscal Year (FY) 2019. FAS expects to award multiple cooperative agreements under FFPr, totaling up to $155 million. This funding amount includes awards announced in Notice of Funding Opportunity Number USDA-FAS-FFPR-19, published on March 14, 2019 as well as awards issued under this announcement. Applications for cooperative agreements under this announcement prioritize the country of Venezuela. The FAS thematic area is agricultural recovery. To fulfill its mandate under the Agriculture Improvement Act of 2018, FAS will enter into cooperative agreements with eligible organizations to implement field-based projects which aim to improve agricultural production and expand trade of agricultural products in developing countries. This program provides for the donation of U.S. agricultural commodities. Programs are primarily funded through the sale of donated commodities within the foreign market where the program is implemented. Some examples of past projects have included: training farmers in improved animal and plant production, establishing and building capacity of agricultural cooperatives, providing microfinance to farmers, and developing agricultural value chains. FAS proposes these FFPr guidelines in accordance with 7 CFR § 1499.

NEW IN FY19

This year's proposal submission changes are outlined below:

- Individualized NOFOs for each country: This year's solicitation is an umbrella announcement containing separate NOFOs for each country. Applicants should reference the Venezuela country NOFO number: USDA-FAS-10.606-0700-19-529. Applicants may submit more than one application. The country specific NOFO number can be found in Part A 4 and Appendix B.

- **Page Limits:** Please adhere to the following page limit guidance in Fiscal Year 2019 (FY 2019). Regional program proposals may have an additional three pages per section. If an application exceeds the limit for any section, the application will be reviewed, but the review will be restricted to the section's page limit. If an application is missing any required section or form, the submitted proposal will be considered incomplete and will not be reviewed.
    - Introduction and Strategic Analysis: a maximum of fifteen (15) pages
    - Plan of Operations: a maximum of twenty (20) pages
    - Results Framework: a maximum of five (5) pages
    - Monitoring and Evaluation: a maximum of sixteen (16) pages
        - Indicators: a maximum of four (4) pages
        - Evaluation Plan: a maximum of twelve (12) pages
    - Organizational Capacity and Staffing: a maximum of seven (7) pages
        - Organizational Capacity and Staffing: a maximum of three (3) pages
        - Curriculum Vitae: a maximum of four (4) pages
    - Commodity Management: a maximum of three (3) pages
    - Summary Budget: a maximum of one (1) page
    - Budget Narrative: a maximum of twenty (20) pages

- **Scoring:** Please refer to the updated table of scoring and points in Table 2, Part E 1 Criteria. Additionally, FAS will review and score Negative Factors and Positive Factors in FY 19. Please refer to Part E 6 Negative Factors and 7 Positive Factors. Negative factors will be scored and can result in a maximum deduction of five points from the Applicant's overall score. Positive factors will be scored and can result in a maximum bonus of five points added to the Applicant's overall score.

Table 1 outlines the thematic areas for work and relevant priority sectors.

Thematic Area	Priority Sector	Country
Agricultural Recovery	Agricultural Sector	Venezuela

LIST OF ACRONYMS

AfCFTA	African Continental Free Trade Area
CAGR	Compounded Annual Growth Rate
CFDA	Catalog of Federal Domestic Assistance
CFR	Code of Federal Regulations
CTMDA	Coffee & Tea Development and Marketing Authority
CV	Curriculum Vitae
DCFTA	Deep and Comprehensive Free Trade Areas
DTI	Department of Trade and Industry (Philippines)
DUNS	Data Universal Number System
EAC	East African Community
ECX	Ethiopian Commodities Exchange
EST	Eastern Standard Time
FAD	Food Assistance Division
FAIS	Food Aid Information System
FAO	United Nations Food and Agriculture Organization
FAS	Foreign Agricultural Service
FFPr	Food for Progress
FPMA	Food Price Monitoring and Analysis Tool
FSN	Food Safety Network
FY	Fiscal Year
GAIN	Global Agricultural Information Network
GAP	Good Agricultural Practices
GDP	Gross Domestic Product
GoE	Government of Ethiopia
GoP	Government of Paraguay
GoP	Government of The Philippines
HACCP	Hazard Analysis Critical Control Point
HVH	High Value Horticulture
IR	Intermediate Results
ITSH	Internal Transport, Storage, and Handling
IPPC	International Plant Protection Convention
JARC	Jimma Agricultural Research Center
LDC	Least-Developing Dountry
M & E	Monitoring and Evaluation
MIFIRA	Market Information and Food Insecurity Response Analysis
MRL	Maximum Residue Levels
MT	Metric Tons
MY	Market Year
NGO	Non-Governmental Organization

NICRA	Negotiated Indirect Cost Recovery Agreement
NIFA	National Institute of Food and Agriculture
NOFO	Notice of Funding Opportunity
NTFC	National Trade Facilitation Committee
OCBD	Office of Capacity Building and Development
OECD	Organization for Economic Co-operation
OIE	World Organization for Animal Health
OMB	Office of Management and Budget
PIN	Personal Identification Number
PPP	Private-Public Partnership
PMP	Performance Monitoring Plan
PVO	Private Voluntary Organization
R&R	Rehabilitation and Renovation
RCT	Randomized Control Trial
RF	Results Framework
SAM	System for Award Management
SCP	Structure, Conduct and Performance Framework
SF	Standard Form
SO	Strategic Objective
SPS	Sanitary and Phytosanitary Systems
TFA	Trade Facilitation Agreement
UN	United Nations
UNDP	United National Development Programme
USAID	United States Agency for International Development
USDA	United States Department of Agriculture
USG	United States Government
USTR	Office of the United States Trade Representative
WB	World Bank
WTO	World Trade Organization

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A. PROGRAM DESCRIPTION

1. Issued By
Foreign Agricultural Service, Office of Capacity Building and Development, *Food Assistance Division*

2. Catalog of Federal Domestic Assistance (CFDA) Number and Title
10.606 USDA Food for Progress Program

3. Notice of Funding Opportunity Title
UNITED STATES DEPARTMENT OF AGRICULTURE FOOD FOR PROGRESS PROGRAM

4. Notice of Funding Opportunity Number
Country-Specific NOFO Number
USDA-FAS-10.606-0700-19-529 -- Venezuela

Please refer to Appendix B for country specific guidance.

5. Authorizing Authority for Program
The Food for Progress (FFPr) Program is authorized in section 1100 of the Food for Progress Act of 1985, 7 USC 1736o as amended by the Agriculture Improvement Act of 2018 Public Law 115-334.

6. Apropriation Authority for Program
The Food for Progress (FFPr) Program is given appropriation authority in section 1100 of the Food for Progress Act of 1985, 7 USC 1736o as amended by the Agriculture Improvement Act 2018, P.L. 115-334

7. Announcement Type
New

8. Program Regulations
Awards made within this funding opportunity will be subject to 7 CFR 1499 and 2 CFR 200 as adopted by 2 CFR 400. The regulations (7 CFR § 1499) supporting FFPr were issued on July 1, 2016. These regulations are currently being revised in accordance with the Agriculture Improvement Act of 2018.

9. Program Overview, Objectives, and Priorities

The FFPr program has two principal objectives: to improve agricultural productivity and to expand trade of agricultural products. The FFPr program provides for the donation of U.S. agricultural commodities to developing countries and emerging democracies committed to introducing and expanding free enterprise in the agricultural sector. The commodities are generally sold on the local market and the proceeds are used to support agricultural development activities.

FFPr has developed a strategy that addresses three priority issues: Sanitary and Phytosanitary (SPS) standards, Trade Facilitation in support of the Trade Facilitation Agreement (TFA), Specialty Crops (Spices, Cashews, Coffee, and Cacao). FFPr's annual prioritization process is grounded in these key objectives. For each annual Notice of Funding Opportunity, FFPr will release a list of priority countries and/or regions which represent the best investment opportunities to address priority issues and meet FFPr's principal strategic objectives.

FFPr will conduct annual data-informed analyses to identify countries or geographic regions in each priority area. Coordinated, well-defined program investments in key priority areas and sectors will result in measurable, scalable, and sustainable impacts. This approach formalizes the country and sector prioritization process and will concentrate FFPr investments in a few key focus areas.

In addition, the Global Food Security Act of 2016 and corresponding U.S. Government Global Food Security Strategy (GFSS) affirms the United States' commitment to ending global hunger, poverty, and child malnutrition. Where appropriate, entities are encouraged to align proposed interventions with the objectives found in the GFSS and are required to ensure that proposed activities are complementary and not duplicative.

Proposals must demonstrate how the requested amount of funding will achieve the most cost-effective use of the funds in supporting and achieving the key objectives of the proposed project.

B. FEDERAL AWARD INFORMATION

1. Award Amounts

Anticipated Funding: Up to $155 million (total) in FY 2019.

The FFPr Program anticipates making one award ranging between $8 and $10 million for this NOFO. The total anticipated funding amount of $155 million includes awards announced in Notice of Funding Opportunity Number USDA-FAS-FFPR-19, published on March 14, 2019 as well as awards issued under this announcement. Please refer to

Appendix B Country Guidance for additional details. Issuance of this solicitation does not constitute an award or commitment on the part of the U.S. Government (USG) to make awards, nor does it commit the USG to pay for costs incurred in the preparation and submission of a concept note or full application.

2. Period of Performance

All awards will be fully funded up front for up to three years. FAS seeks proposals for a three-year implementation period, unless otherwise indicated under Country Specific Guidance.

Projected Period of Performance Start Date(s):	10/01/2019
Projected Period of Performance End Date(s):	09/30/2022

3. Extensions

Food for Progress Program awards may be eligible for extensions to their period of performance. Refer to Part H 2 Extensions.

4. Funding Instrument

All awards will be made in the form of cooperative agreements as a result of this solicitation (2 CFR § 200.24). In a cooperative agreement, FAS will be substantially involved throughout the award implementation period**.** Substantial involvement may include, but is not limited to, the following:

- FAS specifies the manner, method, performance, or timing of the work in an approved work plan;
- FAS review and approval of one stage of work before a subsequent stage may begin during the performance period;
- FAS review and approval of an evaluation plan;
- FAS review and approval of a monetization plan;
- FAS review and approval of proposed sub-grants and contracts, prior to award;
- FAS participation in the selection and approval of the individuals or organizations that will conduct all required evaluations;
- FAS participation in data collection and analysis for required evaluations and other performance reports;
- FAS approval of an organizational chart identifying the names, roles and responsibilities of all of the Applicant's key personnel and any subsequent changes or absences; and
- FAS provision of specific direction or redirection of the work during the period of performance.

C. ELIGIBILITY INFORMATION

1. Eligible Applicants

In accordance with FFPr Regulations (7 CFR § 1499.3(a)) a private voluntary organization, a nonprofit agricultural organization or cooperative, a nongovernmental organization, or any other private entity is eligible to submit an application to become an Applicant under FFPr. See 7 CFR 1499.2 for the definition of a private voluntary organization. In accordance with the Agriculture Improvement Act of 2018, public and non-profit college and universities are also eligible to submit an application under FFPr.

2. Eligibility Criteria

a. Unique Entity Identifier and System for Award Management (SAM)

Refer to Part D 3 where SAM requirements are also discussed.

Each Applicant, unless excepted under 2 CFR § 25.110(b) or (c), or has an exception approved by USDA-FAS under 2 CFR § 25.110(d), is required to: (i) be registered in SAM before submitting its application; (ii) provide a valid unique entity identifier in the application; and (iii) continue to maintain an active SAM registration with current information at all times during which the Applicant has an active federal award or an application or plan under consideration by FAS. Applicants without an active SAM registration will be found ineligible and the application will not be considered for funding. All subrecipient organizations must also have active SAM registrations before the subaward is signed.

Applicants must include a valid data universal number system (DUNS) number in the organizational unit section of Block 8 of the SF-424. All proposed subrecipients listed in the proposal must have a current DUNS number. Organizations that do not have a DUNS number can obtain a DUNS number at no cost by using the web-based form available at http://fedgov.dnb.com/webform.

Instructions for registering in SAM can be found at https://www.sam.gov. After initial registration in SAM the Applicant is required to review and update the registration every 12 months from the date of initial registration to ensure the information is accurate.

Applicants registering in SAM are encouraged to register early. The registration process can take approximately four weeks to be completed. Therefore, registration should be done in sufficient time to ensure it does not impact your ability to meet required submission deadlines.

Effective as of June 2017, you can no longer access the System for Award Management (SAM) using Internet Explorer (IE) Versions older than IE11. You either need to upgrade to an Internet Explorer version of IE11 or higher, or access SAM with another supported browser type (Chrome, Firefox, Safari, etc).

Each Applicant must have an active registration in SAM prior to the closing date of the announcement.

b. Debarment and Suspension

An entity (including subcontractors, subapplicants and key personnel) will be considered ineligible if the entity has been designated by the United States Government (USG) as debarred or suspended in USG funded procurements or otherwise prohibited by applicable U.S. law or executive order or U.S. policies. FAS will review, inter alia:

i. U.S. State Department, Terrorist Exclusion List: http://www.state.gov/j/ct/rls/other/des/123086.htm
ii. U.S. Department of Treasury, Specially Designated Nationals List: http://www.treasury.gov/resource-center/sanctions/SDN-List/Pages/default.aspx
iii. General Services Administration, System for Award Management (SAM): http://www.sam.gov
iv. All Applicants and sub-Applicants must comply with the conflict of interest requirements in 2 CFR § 400.2.

3. Other Submission Requirements and Information

An Applicant must submit all required sections and forms as listed in Part D 2 b Required Sections to be considered complete. Incomplete applications will not be considered. There is no limit on the number of applications which an Applicant may submit.

4. Cost Share or Matching Requirements

Cost sharing, matching, or cost participation is not required for eligibility, but is encouraged. Applicants must identify and explain any cost sharing in the budget summary and narrative (7 CFR § 1499.4(b)(4)(i)). Applicants should include cost share and in-kind contributions as part of the total award value on the SF-424 and other required budget documents. If an award is made, the Applicant will be responsible for obtaining these resources. Award Applicants shall not procure these resources with FAS funding.

D. APPLICATION AND SUBMISSION INFORMATION

1. Address to Request Application Package

This NOFO and instructions for submitting the application can be located on the FAIS

home page (https://apps.fas.usda.gov/fais/public). This document is also located on Grants.gov at www.grants.gov. However, your application must be submitted via FAIS. If an Applicant does not have access to the Internet or experiences trouble accessing the home page, the Applicant should contact FAS in writing at 1400 Independence Ave. SW, Room 4159, Washington, DC 20250 or by calling (202) 720-9059 between 9:00 A.M. and 5:00 P.M. EDT to request the NOFO application and instructions via mail.

2. Content and Form of Application Submission

a. Application Format

Applications submitted must:

- Be written in English;
- Be written using Times New Roman, 12 point font;
- Be written with 1-inch margins;
- Be paginated with each page consecutively numbered;
- Cite source information and/or provide an explanation of the analysis undertaken;
- Adhere to page limits: adhere to the following page limit guidance in FY 2019. Regional program proposals have an additional three pages per section. If an application exceeds the limit for any section, the application will be reviewed, but the review will be restricted to the section's page limit. If an application is missing any required section or form, the submitted proposal will be considered incomplete and will not be reviewed.
    - Introduction and Strategic Analysis: a maximum of fifteen (15) pages
    - Plan of Operations: a maximum of twenty (20) pages
    - Results Framework: a maximum of five (5) pages
    - Monitoring and Evaluation: a maximum of sixteen (16) pages
        - Indicators: a maximum of four (4) pages
        - Evaluation Plan: a maximum of twelve (12) pages
    - Organizational Capacity and Staffing: a maximum of seven (7) pages
        - Organizational Capacity and Staffing: a maximum of three (3) pages
        - Curriculum Vitae: a maximum of four (4) pages
    - Commodity Management: a maximum of three (3) pages
    - Summary Budget: a maximum of one (1) page
    - Budget Narrative: a maximum of twenty (20) pages

Note: If an application exceeds the limit for any section, the application will be reviewed, but the review will be restricted to the section's page limit.

b. Required Sections and Forms

Each application must include the following sections and forms to be considered complete:

- Introduction and Strategic Analysis;
- Plan of Operation and Activities;
- Results Framework and Monitoring and Evaluation
  - Results Framework
  - Indicators
  - Evaluation Plan
- Commodity Management;
- Organizational Capacity and Staffing;
  - Organizational Chart
  - Curriculum Vitae
  - In-Country Registration
  - Past Performance Records
  - Audited Financial Statements (outside of page limit restrictions)
- Budget;
  - Standard Budget Summary
  - Budget Narrative
  - Applicant's most recent Single Audit (if applicable) (outside of page limit restrictions)
  - Applicant's most recent approved NICRA agreement (outside of page limit restrictions)
- USDA AD-3030
- USDA AD-3031
- USDA AD-1047 or USDA AD-1048 Certification Regarding Debarment, Suspension (depending on organization type)
- USDA AD-1049, USDA AD-1050, or USDA AD-1052 Certificate Regarding Drug Free Workplace Requirements (depending on organization type)
- SF-424 https://www.grants.gov/web/grants/forms/sf-424-family.html
- SF-424B https://www.grants.gov/web/grants/forms/sf-424-family.html
- The Certification Regarding Lobbying. If paragraph two of the certification applies, then complete and submit the SF-LLL Disclosure of Lobbying.
- Project-specific commitment letters from anticipated subrecipients (if subrecipients are proposed).

Applications that do not provide the required information outlined within this NOFO will be considered incomplete and will not be considered for funding. All Applicants must refer to and follow the FFPr regulations, 7 CFR § 1499.4, as well as the guidance within this notice. Further details can be found in the Content Guidance section below. An Application Content Checklist can be found in Appendix A.

Applicants should review the FAS guidance for each of these sections, which requires data input directly into FAIS or submission as an attachment.

Please be aware that OMB Memorandum 18-24: Strategies to Reduce Grant Recipient Reporting Burden has been approved. After January 1, 2020, the following forms will need to be completed in SAM on an annual basis and will no longer be required to be submitted as part of your application package:

- USDA AD-3030
- USDA AD-3031
- USDA AD-1047 or USDA AD-1048 Certification Regarding Debarment, Suspension (depending on organization type)
- USDA AD-1049, USDA AD-1050, or USDA AD-1052 Certificate Regarding Drug Free Workplace Requirements (depending on organization type)
- SF-424B https://www.grants.gov/web/grants/forms/sf-424-family.html
- The Certification Regarding Lobbying. If paragraph two of the certification applies, then complete and submit the SF-LLL Disclosure of Lobbying.

c. Content Guidance

All FFPr proposals must include the following, either entered into FAIS or included as an attachment:

Attachments

Attachment A: Introduction and Strategic Analysis (15 pages)

This section must include a comprehensive analysis of the existing needs, challenges, value chain sector opportunities, and constraints that may impact the implementation of a project in the recipient country(s), including those related to climate resilience. This section should explain the strategy behind the method of intervention to alleviate the sector needs and how the project will implement this strategy through the activities. This section should include the Applicant's analysis and cite sources. Applicants should also identify the targeted beneficiaries and geographical regions, how and why they were selected, the specific needs of the targeted population, and explain how the Applicant will target specific geographical regions under the proposed project. Applicants should also outline how the project will coordinate with other stakeholders (host government, USG, other donors, private sector, etc.) and will complement and not duplicate their current activities.

Attachment B: Plan of Operation and Activities (20 pages)

Activities should be described in the Plan of Operation. The descriptions should include the targeted geographic area, anticipated beneficiaries, the steps included in implementation,

and the anticipated completion date. This section should include an in-depth description of each activity, and how each activity will be implemented and lead to the identified project-level results. It is important to show how the activities will address the needs as identified in the strategic analysis (see above in attachment A Strategic Analysis). The applicant should also show how their plan of operation complements existing efforts by USDA, other agencies/donors and public private partnerships. Thus, the section should distinguish which activities will be implemented only by the Applicant, and those that will be implemented in a coordinated approach with other partners.

Attachment C: Results Framework and Monitoring and Evaluation (21 pages)

Results Framework [5 page limit]:
All Applicants are required to submit a Project-Level Results Framework (RF). The RF submitted as part of the application process should be no more than 5 pages. A results framework has two components:

- A graphical representation of the project's theory of change, describing the cause-and-effect linkages outlined in the strategic analysis. This must clearly identified and articulate how the proposed project will contribute to USDA Food Assistance Program results frameworks, as shown in Appendix E – Food for Progress Results Framework. The Project-Level Results Framework should:
    - Serve as a graphical representation of the set of intermediate results (IR) that must be attained in order to achieve the highest-level result (Strategic Objective (SO)).
    - Use the FFPr 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 RFs, and proposals reaching more results will not be prioritized over those reaching less. Rather, proposals will be evaluated on how well they address, through the results framework, identified needs. 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 included.
    - Be constructed of components that are:
        i. Statements of result, not a process or activity
        ii. Uni-dimensional, generally one element per result statement
        iii. Precise and clearly understood without having to look at indicators or other project documents for definition
        iv. Measurable and objectively verifiable so that it can be monitored and used for management purposes

- Identify intermediate results which are necessary and sufficient to achieve the SO.
- Identify which results are being targeted by the proposed project and which are being targeted by another organization. In such cases where results are being targeted by another organization, the strategic analysis should identify a strong and realistic relationship between the project and external partner, especially with results that are strategic to achieving the highest level results.
- Provide a framework that can be effectively monitored, analyzed, reported on, and evaluated in a manner that supports the methodology outlined in the evaluation plan.

- A narrative text that, referring to existing research that supports the proposed causal linkages, accomplishes the following:
  - Provides a cause-and-effect theory of change often referring to existing research
  - Identify critical assumptions that support the theory of change. Critical assumptions are external conditions that are necessary for success of the project, but over which the project implementers have little or no control. While assumptions regarding macroeconomic and climatic stability are important, this section should emphasize the critical assumptions activity-specific critical assumptions that support the theory of change. Critical assumptions that have a high-probability of occurring and, if realized, will prohibit the project from achieving its desired results are defined as "killer assumptions." This section should identify killer assumptions and demonstrate how the project design either avoids killer assumptions or mitigates their impact.
  - Sustainability and Lasting Impact: Proposals should provide a convincing argument that the project's Theory of Change will not only achieve the intermediate and highest-level results described above, but that these results will be sustained beyond project completion. The sustainability argument should acknowledge relevant microeconomic, business, management, international development, and agronomic theory and practice.

Finally, the results framework should reflect sound, causal thinking. The project logic should follow a chain of cause and effect relationships. This includes activities that lead to specific outputs which lead to initial results or intermediate results which lead to the strategic objective(s) of the project. There should be no significant causal gaps or large leaps from one level in the causal hierarchy to the next. Proposed activities should be sufficient to achieve the identified results. If activities do not align with results, these

should be reconsidered and the budget should be revised to include activities that directly support results.

For additional information on Results Oriented Management in FAS's food assistance programs, see Appendix F - Manual for the Use of Results Frameworks.

Monitoring and Evaluation (16 pages)

Applicants must provide a table identifying appropriate project standard and custom performance indicators and annual and life of project targets. Applicants must also provide an evaluation plan that explains how the Applicant proposes to monitor the program and assess project outcomes and impact.

Indicators [4 page limit]

Applicants must identify and submit a table of both standard and custom performance indicators and annual and life of project targets for each indicator. Performance indicators identify how to recognize the success of the project and help to clarify results. Applicants should include, at a minimum, these columns in the table: Performance Indicator, Standard or Custom, Baseline Value, Year 1 Target, Year 2 Target, Year X Target (number to correspond to number of years in the project), and Life of Project Target. The table should include columns for annual targets for each year of the project (Year 1, Year 2, Year X, etc.). The indicator table submitted as part of the application process should be no more than four pages.

If an application includes an activity that has a corresponding FFPR standard indicator, the Applicant must include that FFPR standard indicator. Furthermore, Applicants must propose corresponding custom indicators to measure project performance. FAS does not require a specific number of indicators, however the proposed indicators should be sufficient for monitoring the proposed project's performance. Each project performance indicator must meet a basic level of standard. As defined in the Food Aid Division Monitoring and Evaluation Policy, high-quality performance indicators should be direct, objective, adequate, and practical. Data must be gender disaggregated, and gender impacts should be included in the overall analysis of the project results. The Applicant must use effective and efficient mechanisms to monitor progress and determine success of the activities. FAS expects awarded Applicants to be innovative and creative in their efforts to capture, document, and report all the outcomes of the program.

Please see Appendix G for standard indicator definition sheets.

If an award is made, the Applicant will be required to submit a full performance monitoring plan (PMP), which will include additional detail and information regarding indicator definitions, units of measurement, data sources, frequency of data collection, roles and

responsibility for data collection, and how and when the data will be used. During agreement negotiation, Applicants will also be responsible for describing how the project will ensure and maintain the quality of monitoring data collected by field staff/monitors through the analysis and reporting process. Criteria, defined in the Food Aid Division Monitoring and Evaluation Policy, for assessing data such as accuracy, validity, reliability, timeliness, and integrity must be considered. Applicants should detail the monitoring and evaluation (M&E) process to be undertaken to verify and validate the data collected.

Evaluation Plan [12 page limit]

According to 7 CFR § 1499.13(d), all Applicants must, as provided in the agreement, submit to FAS an interim and final evaluation of the implementation of the agreement. Applicants must also submit baseline data for performance monitoring indicators and a baseline report. Final evaluations must be conducted by an independent third party that:

- Is financially and legally separate from the Applicant's organization;
- Employs staff with demonstrated knowledge, analytical capability, language skills and experience in conducting evaluations of development programs involving agriculture, nutrition, or procurement and logistics projects;
- Utilizes acceptable analytical frameworks such as comparison with non-project areas, surveys, involvement of stakeholders in the evaluation, and statistical analyses;
- Employs local consultants, as appropriate, to conduct portions of the evaluation; and
- Provides a detailed outline of the evaluation, major tasks, and specific schedules prior to initiating the evaluation.

Applicants must submit a draft evaluation plan as an attachment. Each evaluation plan should include a comprehensive approach to evaluating the project's performance and impact. All FFPr projects must include, as part of their evaluation plan, key evaluation questions that aim to assess the project's effect on the strategic objectives of the FFPr program. The evaluation plan should be developed as a stand-alone document that can be shared with key project partners, stakeholders, and the public. The evaluation plan submitted as part of the application process should be no more than 12 pages (excluding annexes). The Applicant must include an evaluation plan that includes, at a minimum, the following information:

- **Executive Summary**
  Provide a brief description of the purpose of the evaluation plan and how it will be used by the project, its partners, and key stakeholders.

- **Project Overview**

Provide a summary description of the project strategy including the project strategic objectives and expected results. The project-level RF can be referenced here and the overview should provide a brief description of the project activities and corresponding targeted project beneficiaries. The project overview will provide important context to the evaluation plan and methodology proposed.

- **Alignment with the Food for Progress Learning Agenda**
  Review the Food for Progress Learning Agenda. The Learning Agenda was designed to address key research and evaluation questions that align not only with the theory of change outlined in the Food for Progress program-level Results Framework, but also the broader agricultural development program theory. Recognizing that some questions posed in the Learning Agenda lend themselves to broad research, the project-level evidence developed in the course of implementing an FFPr project can contribute to building the evidence base for many of the questions. Applicants must include a short section in their evaluation plan explaining which questions in the Learning Agenda their proposed evaluations and/or special studies will help answer, and how.

- **Baseline Study**
  Baseline data will be collected for two purposes: (1) to measure progress on performance indicators and (2) to assess project outcomes and impacts using evaluation methods. The evaluation plan should provide a description of the organization's plan to establish performance indicator, baseline information, and targets for which the project will regularly measure performance every six months of the fiscal year in required progress reports. The baseline information for performance indicators and evaluation assessments must be measured and established prior to the start of project activities. Applicants should also describe data collection techniques and methodologies proposed for establishing baseline information for evaluation activities. The evaluation plan should describe the quantitative and qualitative evaluation methods that will be used throughout the length of the project (i.e. an evaluation design may include a randomized control trial (RCT), propensity score matching (PSM) design, repeat cross-sectional designs, or panel studies, and also may include direct observations, key informant interviews, and secondary data analysis). These methodologies should be described in detail, including sample design, expected sample sizes, and key informants. The methodological description of the baseline should also be linked to the final evaluation. For example, the evaluation plan should describe in detail if the project plans to use a PSM design with data collected at the baseline and final stages.

- **Midterm Evaluation**
  Provide a description of the project's midterm evaluation strategy and activities. 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. These questions should be organized according to standard evaluation criteria of relevance, effectiveness, efficiency, sustainability, and impact. 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.

- **Final Evaluation**
  Provide a description of the project's final evaluation strategy and activities. The evaluation plan should identify the purpose and scope of the evaluation, preliminary key evaluation questions, methodology, and the key audience for the evaluation. The evaluation questions should be organized according to standard evaluation criteria of relevance, effectiveness, efficiency, sustainability, and impact. 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 the conduct of key evaluation activities and address issues of independence, coordination, and the use of participatory methods. The evaluation plan must include a description of the expected qualifications of the evaluation team and provide a list of key stakeholders.

- **Special Studies (where 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 complementary to the required final evaluation. Proposals may also conduct qualitative or anthropologic studies that help to triangulate evaluation information, provide context to evaluation findings, or offer a better understanding of evaluation findings.

- **Evaluation Management**
  Proposals must describe an evaluation management structure that reflects standards and principles of evaluation, independence, and credibility. If the Applicant maintains an evaluation unit, FAS requires that the evaluation is managed by the Applicant's evaluation unit. If the Applicant does not have a dedicated evaluation unit, the review should be managed by a project staff person or the Applicant organizational staff person with significant knowledge and expertise concerning evaluation. Ideally, the Applicant will maintain an evaluation unit that is separated from the staff or line management function of the project being evaluated. Such a structure helps to ensure the independence and impartiality of the evaluation process and report of findings, conclusions, and recommendations.

The evaluation plan should also address the roles and responsibilities of the project partners and key stakeholders throughout the evaluation process. Additionally, the evaluation plan should address the regular review and updating of the evaluation plan throughout the life of the agreement, and should describe the project's dissemination strategy for improving the knowledge base and sharing evaluation findings and lessons learned. More detailed descriptions of the roles and responsibilities of the Applicant's M&E staff should be included in the staffing plan and organizational chart as described in Attachment E.

- **Evaluation Budget**
  An evaluation budget is directly related to the purpose, scope, timeline, and approach of the evaluation (includes all baseline and final evaluations). An evaluation budget is dependent on the required skills and expertise, specified deliverables, and any provisions provided by the evaluation commissioners. Costs vary considerably across evaluations--typical budget line items for evaluation include:

  - Costs for third-party evaluation contractors;
  - Costs associated with the development of a beneficiary monitoring system or data collection equipment and tools; and
  - Other costs for translators, data processors, meeting space, and support staff.

  The Food Aid Division Monitoring and Evaluation Policy (Appendix H) states that Applicants should include key monitoring and evaluation personnel in labor costs. Applicants must allocate, at a minimum, three percent (3%) of the project budget towards monitoring and evaluation. The three percent minimum is exclusive of organization monitoring and evaluation staff salaries and staff travel. Design of monitoring databases, database licenses, infrastructure for data collection such as tablets, and external contracts for evaluations and special studies are typically included in the three percent minimum. Cost share is not included in the project budget when determining the three percent minimum. For evaluation plans which include conducting impact evaluations, FAS expects costs to range between five to ten percent (5% - 10%) of the project budget.

  Evaluation budget information should be included as described in Appendix D 2: Administrative.

Attachment D: Commodity Management (3 pages)
The funding for this award is predicated on the sale of U.S. agricultural commodities within the recipient country, and the ability to manage the monetization of commodities is an essential element of successfully implementing a Food for Progress award. An Applicant must include documentation on the selected commodity(ies) and the potential

costs and benefits of the sale to the local economy. The proposal should document the appropriateness of the commodity(ies), and demonstrate that the type and quantity will not disrupt commercial sales or create disincentives for local production. In addition, the Applicant should describe the local demand for the selected commodity and how this will impact the cost recovery for the sale of the donated commodity(ies). In this section, Applicants should be able to demonstrate that an appropriate level of market analysis has been performed to determine the selected commodity.

Applicants should include a thorough plan for commodity monetization including specific country concerns, including: customs exemptions, import barriers, tariffs, port and warehousing capacity, handling concerns, packaging, etc. Information on payment terms, e.g., letter of credit, specific to the proposed country of monetization should be presented and justified.

Applicants that have experience successfully monetizing commodities should include information relevant to their capacity. If there is no prior experience, Applicants should describe their proposed plans to hire an experienced agent to perform this element of the award.

Commodity List

Each proposal must include information on the commodities requested. Applicants must complete the following required information.

- Commodity
- Package Size/Type
- Commodity Usage Type: Select monetization to specify how the commodity will be used. Barter and Food for Work are also options, but are considered extraordinary.
- Quantity MT: Tonnages should be whole numbers only and in multiples of 10
- Destination Country
- Delivery to U.S. Port (Month & Year)
- Estimated Sales Price per MT
- Estimated Proceeds

Special Needs & Distribution Methods

Each proposal must include detailed information on special needs and distribution of commodities. Each text section has a 5,000 maximum character limit in FAIS. 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. 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 and expected routing (especially if moving to another country) used to move the commodities from the discharge port to the Applicant's warehouse and/or to a buyer, (3) storage capacity at port of discharge and destination, structure and level of security at the port and during inland routing, (4) steps taken to prevent undue spoilage or waste, (5) efforts taken to ensure availability of the transportation and storage resources during the entire period required, including acceptance of risk for non- performance taken by contractors providing services. Participants should provide the names of any third party contractors (i.e., marine surveyors and/or cargo expeditors) used for this analysis and include their findings. Third party assessments and assistance are viewed favorably.

Processing or Packaging

In case special delivery or commodity needs are required, please provide information on any processing or repackaging the Applicant will arrange prior to the sale of the commodities. Also, provide justification on why processing or repackaging will occur.

Duty Free Entry

Provide information about local customs, duties, and taxes that may be applicable for the commodities to enter the country or countries if being transported through more than one country. For each country or region, the Applicant should list any special laws or taxes that may apply and explain how these could affect either distribution and/or monetization. For distribution or barter 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. 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. Outline any additional steps taken to ensure seamless entry into each country, including the employment of local expeditors or agents.

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. Participant should provide the names of third party “monetization agents” used for the analysis and include their findings. Third party assessments and assistance for the sale is viewed favorably.

Monetization

The Applicant must enter information on the proposed sale of commodity(ies). Please use the following guidance when entering this information.

Impact on Other Sales

Provide details that give 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 U.S. and other countries in this market. Discuss current trading partners including 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. Applicants should provide the names of third party “monetization agents” used for the analysis and include their findings. Please note that third-party assessments and assistance for the sale is viewed favorably.

Private Sector Participation in Sales of Commodity

Provide information that describes how the commodities will be sold (i.e., open tender, tender with negotiation, direct negotiation) and why this method of sale has been selected. Direct negotiation may only be approved under extenuating circumstances. Indicate who the potential buyers could be, while discussing market transparency (availability of data on recent sales of the same or similar commodities). Discuss how private sector buyers will be encouraged to participate in the sales process, and 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

This section should be used to account for how the proceeds from the monetization or barter of the commodity will be used. Total direct costs (activity costs, and other direct costs) and indirect costs must not exceed the estimated proceeds. In addition, Applicants must include a statement of how unexpected increases or decreases in proceeds or

additional funds will be distributed across activities. (Note: Administrative costs may not be increased.)

Assuring Receipt Procedures

Provide information 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, and the persons that 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

Provide a summary of anticipated interest to be earned on the monetization proceeds over the life of the project. If no interested is expected over the life of the project then describe the reasons for this.

Attachment E: Organizational Capacity and Staffing (3 pages, plus 4 pages for CV)

In a three-page narrative, Applicants must clearly demonstrate organizational capabilities to develop, manage, implement, monitor and report, and provide for accountability and sustainability for the proposed project in the target country. Project management capability and current and past experience in implementing food aid (agriculture, nutrition, or logistics and procurement projects), including experience within the target country, must be included in this narrative.

The narrative should also include a staffing plan that demonstrates the technical and regional/national expertise required for efficient and effective project implementation, administration and management. The staffing plan should include a brief description of all long-term staff positions and levels of experience. The staffing plan should be as cost effective as possible. The staffing plan should demonstrate a solid understanding of key technical and organizational requirements and an appropriate mix of skills, while avoiding excessive staffing. FAS may request changes to the final staffing plan during award negotiation or project implementation.

Within the three-page Organizational Capacity and Staffing narrative, Applicants must also identify any subrecipient that would be involved and provide a description of each subrecipient's responsibilities and capabilities. Subrecipient means a non-Federal entity which receives procured commodities, FAS-provided funds, program income, sale proceeds, or other resources from the Applicant for the purpose of implementing, in the target country, activities described in the agreement, and that is accountable to the Applicant for the use of such commodities, funds, program income, sale proceeds, or resources. The subrecipient DUNS number should be included in the description. If

subrecipients are proposed, project-specific commitment letters should be included. The project-specific commitment letters should be separate attachments beyond the three-page Organizational Capacity and Staffing narrative.

- *Organizational Chart (submitted as a separate attachment beyond the three-page Organizational Capacity and Staffing narrative):* Applicants must include an appropriate and adequate organizational chart that identifies key personnel and the roles of each position. The information on key personnel will be added to the Plan of Operations in the final award package, should the application be selected for funding. Applicants should refer to their organization's internal administrative policies for determining key personnel, which may include positions such as the Chief of Party, Country Director, or Program Manager etc.

- *Curriculum Vitae (CV) for proposed lead project manager (submitted as a separate attachment with a four-page maximum).* As part of the proposal, the Applicant must attach the CV for the lead FFPr project manager (e.g., Chief of Party, Country Director, or Program Manager etc.) for the proposed project. This person will provide major oversight of the proposed project. The CV must clearly demonstrate the lead project manager's relevant work experience and qualifications.

- *In-Country Registration (included in Organizational Capacity and Staffing three-page narrative):* The Applicant must disclose its registration status in the targeted country. Applicants not registered must include a plan to become registered and a timeline to complete the registration process.

- *Past Performance Records (submitted as separate attachments beyond the three-page Organizational Capacity and Staffing narrative):* Applicants should attach completed past performance records for no more than three grants, cooperative agreements, or contracts implemented by the organization. Include the contact information for the reference so that information may be verified. Applicants are encouraged to include past performance records of projects that are similar to the scope and size of programming in the Applicants' proposal, including those implemented in the proposed country and/or specifically mentioned in the Applicant's introduction section of the proposal. Applicants are stongly encouraged to include at least one past performance record for past or active awards outside of the McGovern-Dole Food for Education and Child Nutrition, Local and Regional Procurement or the FFPr programs. These reference forms are outside of page limit restrictions.

- *Guidance for Audited Financial Statements (submitted as separate attachments beyond the three-page Org Capacity and Staffing narrative):* Applicants should attach the organization's most recent audited financial statements, if applicable. If the Applicant is subject to the audit requirements contained in the Single Audit Act Amendments of 1996 (31 U.S.C 7501-7507) and revised OMB Circular A-133, "Audits of States, Local Governments, and Non-Profit Organizations," the submitted financial statements should contain this supplemental document.

Attachment F: Budget (21 pages)

Per 7 CFR § 1499.4(b)(4), Applicants must submit a budget summary and budget narrative that details the amount of any FAS-provided funds and program income that the Applicant proposes to use to fund the administrative costs, internal transportation, storage, and handling costs, and activity costs. In order to assess the sales proceeds and overall cost effectiveness of a proposal, FAS requires all Applicants to provide the following budgetary materials:

- *A budget summary (one page)* (see Appendix C) that presents the proposed overall funding for administrative, internal transportation, storage and handling and activity expenses, and shows funding amounts for the specific line items that make up those expense categories (one page).
- *A budget narrative (20 pages)* (See Appendix D) that demonstrates in greater detail the composition of each line item, the budget's overall cost effectiveness, and an adherence to applicable cost principles (twenty pages).
- *A negotiated indirect cost rate agreement* (NICRA) *(attachment, no page limit)* that details the organization's current indirect rates; Applicants should attach the organization's most up-to-date NICRA. If the Applicant's organization does not have a NICRA, or it is not applicable, attach a brief note explaining the absence of this document.
- *A completed and signed SF-424 (attachment, no page limit).* Applicants must complete, sign, and upload the SF-424. Please note that an unsigned SF-424 will not be accepted. Applicants can download a blank SF-424 on the USDA-FAS website at: http://www.fas.usda.gov/grants/forms/default.asp.

- **Requirements to be Submitted in the Food Aid Information System (FAIS)**

The information submitted into FAIS will be duplicative information that has already been outlined in the attachments but is necessary. For an application to be submitted all sections of FAIS below must be filled out. This is a technical limitation of the system. Sections that must be filled out in FAIS are:

- Introduction Section

- Introduction Details [found elsewhere in the attachments]
- Key Personnel [found elsewhere in the attachments]
- Commodity Section [duplicative of Attachment D]
- Commodity List
- Special Needs & Distribution Methods
    - Transportation and Storage
    - Processing or Repackaging
    - Duty Free Entry
    - Economic Impact
    - Ration Justification
- Monetization
    - Impact On Other Sales
    - Private Sector Participation In Sale Of Commodity
    - Sales Proceed Usage Activity Implementation
    - Assuring Receipt Procedures
    - Expected Interest Earned
- Result Section
- Results [duplicative of Attachment C]
- Activities [duplicative of Attachment B]
- Mapping [duplicative of Attachment C]
- Other Details [found elsewhere in the attachments]
    - Cash or Non-cash Contributions
    - Subrecipients
    - Government and Non-Governmental Agencies
    - Method of Choosing Beneficiaries

3. Unique Entity Identifier and System for Award Management (SAM)

Each Applicant, unless excepted under 2 CFR § 25.110(b) or (c), or has an exception approved by USDA-FAS under 2 CFR § 25.110(d), is required to: (i) be registered in SAM before submitting its application; (ii) provide a valid unique entity identifier in the application; and (iii) continue to maintain an active SAM registration with current information at all times during which the Applicant has an active federal award or an application or plan under consideration by FAS. Applicants without an active SAM registration or exception will be found ineligible and the application will not be considered for funding. Each subrecipient organization must also have active SAM registrations before the subaward is signed, unless the organization has an exemption. approved by USDA-FAS under 2 CFR § 25.110(d).

4. Submission Dates and Times

Application Start Date: March 28, 2019
Application Submission Deadline: May 29, 2019 prior to 5:00:00 PM EDT

FAS will run a report from the FAIS system showing all submissions prior to 5:00:00 P.M. EDT on May 29, 2019**. Applications received after this time and date will not be considered**. Applicants should begin the application process early to allow time to address any difficulties that may arise. There will be no exceptions to the application deadline.

Anticipated Funding Selection Date: 08/15/2019

Anticipated Award Date: 09/30/2019

5. Intergovernmental Review

An intergovernmental review may be required by public universities, not private voluntary organizations. Applicant(s) must contact their State's Single Point of Contact (SPOC) to comply with the State's process under Executive Order 12372 (see *http://www.fws.gov/policy/library/rgeo12372.pdf)*. Name and addresses of the SPOCs are maintained at the Office of Management and Budget's home page at:

https://www.whitehouse.gov/wp-content/uploads/2017/11/SPOC-Feb.-2018.pdf

6. Funding Restrictions

Generally, funds may not be used in any manner that is prohibited by 2 CFR Part 200 and 2 CFR Part 400. Any funding restrictions stated in the Budget Narrative section or any section within this document also apply to FAS grant agreement funds. In addition, FAS grant agreement funds may only be used for the purpose set forth in the award, and must be consistent with the statutory authority for the award. Grant agreement funds and non-monetary support may not be used for matching contributions for other federal grants or cooperative agreements, lobbying, or intervention in federal regulatory or adjudicatory proceedings. Federal employees are prohibited from serving in any capacity (paid or unpaid) on any proposal submitted under this program. Federal employees may not receive funds under this award. Also, federal funds may not be used to sue the Federal Government or any other government entity. If an award is made, the Applicant may incur pre-award costs consistent with the guidance provided in the award letter.

a. Management and Administration (M&A) Costs

M&A costs are not allowable.

b. Indirect Facilities & Administrative (F&A) Costs

F&A costs are allowable. Organizations with a current Negotiated Indirect Cost Rate Agreement (NICRA) from a cognizant U.S. Government agency, must submit that NICRA with their proposal; indirect costs will be allowable as defined in that NICRA. Organizations that have never had a NICRA may elect to:

- Charge a de minimis rate of 10% of modified total direct costs (MTDC), which may be used indefinitely. As described in §200.403 Factors Affecting Allowability of Costs, costs must be consistently charged as either indirect or direct costs, but may not be double charged or inconsistently charged as both. If chosen, this methodology once elected must be used consistently for all federal awards until such time as a non-federal entity chooses to negotiate for a rate, which the non-federal entity may apply to do at any time. For more information, see 2 CFR Part 200.414.
- Develop a negotiated rate, upon notification that an award will be made. In this case, organizations should develop a tentative indirect cost rate proposal based on its most recently completed fiscal year, in accordance with the cognizant agency's guidelines for establishing indirect cost rates, and submit it to the cognizant agency. Applicants awaiting approval of their indirect cost proposals may also request indirect costs. When an indirect cost rate is requested, those costs included in the indirect cost pool should not also be charged as direct costs to the award.

7. Other Submission Requirements

a. Method of Submission

The entire application package must be submitted electronically through the proposal entry module of FAS's FAIS, located at: https://apps.fas.usda.gov/fais/public. **Any automatic response from FAIS that the proposal has been received does not constitute a statement that the proposal is complete.**

b. Questions on NOFO

Comments regarding this request for applications will be considered to the extent practicable, and should be submitted to ppded@fas.usda.gov. Questions must be received no later than May 20, 2019, and responses to questions will be posted on FAIS within three (3) business days.

c. Technical Difficulties

If an Applicant is experiencing technical difficulties, phone: (202) 720-9059 or e-mail: ppded@fas.usda.gov.

E. APPLICATION REVIEW INFORMATION

1. Criteria

Applications will be evaluated on the content areas and points in Table 2. FAS will invite comments from other USG agencies on its award recommendations, but FAS will make the final determination on which applications to fund. The merits of each application will be reviewed only against other applications received for the same country or region.

Prior to making a Federal award, the Federal awarding agency is required by 31 U.S.C. 3321 and 41 U.S.C. 2313 to review information available through any OMB-designated repositories of government-wide eligibility qualification or financial integrity information. Therefore application evaluation criteria may include the following risk based considerations of the applicant: (1) financial stability; (2) quality of management systems and ability to meet management standards; (3) history of performance in managing federal award; (4) reports and findings from audits; and (5) ability to effectively implement statutory, regulatory, or other requirements.

Table 2: Content and Points

Content	**Points**
Introduction and Strategic Analysis	30
Plan of Operations and Activities	20
Results Framework and Monitoring and Evaluation	20
Commodity Management	10
Organizational Capacity	10
Summary Budget & Budget Narrative	10
Positive Factors	+5 (Bonus)
Negative Factors	-5 (Deduction)

NOTE: There is no cost share or match requirement for this program, however when scoring applications, FAS will take into consideration a well-reasoned cost share. Reference Part E 7 Positive Factors, and Part C 4 Cost Share Requirements.

2. Review and Selection Process

FAS will conduct an initial sufficiency review of applications to determine the Applicant's eligibility and the application's completeness (please see Appendix A for the application

content checklist). If an Applicant is determined to be ineligible (Part C Eligibility Information) or an application is determined to be incomplete, it will not be reviewed. FAS will notify the Applicant of rejected applications. FAS will only review information submitted within the allotted page limits per section; any additional pages past the section page limit will not be reviewed.
All complete and eligible applications will be reviewed as described below:

FAS will assemble a panel of technical reviewers which may include both federal and non-federal persons to review applications. A separate panel will be convened to discuss the merits and demerits of each proposal submitted per country guidance.

Following each panel review, FAS staff will score and rank each proposal. Subject to funding availability top ranked proposals per thematic area will be selected for funding.

In addition, FAS may perform an additional review of the applicant organization and any proposed key personnel. This may include reviewing audit reports, publicly available materials and/or government databases and may have a bearing on award outcome. If an application includes a subrecipient, FAS may request to speak with all parties included in the application to ensure sufficient planning and coordination has taken place prior to making an award.

Confidentiality and Conflict of Interest: Technical and cost proposals submitted under this funding opportunity will be protected from unauthorized disclosure in accordance with applicable laws and regulations. FAS may use one or more support contractors in the logistical processing of proposals. However, funding recommendations and final award decisions are solely the responsibility of FAS personnel.

During the review process, FAS will respect any information which the Applicant has marked as proprietary or business sensitive. Refer to Part H Section 1 for additional information on marking proprietary information.

FAS screens all technical reviewers for potential conflicts of interest. To determine possible conflicts of interest, FAS requires potential reviewers to complete and sign conflicts of interest and nondisclosure forms. FAS will keep the names of submitting institutions and individuals as well as the substance of the applications confidential except to reviewers and FAS staff involved in the award process. FAS will destroy any unsuccessful applications after three years following the funding decision.

FAS strongly discourages, and will not consider, any materials submitted by or on behalf of the applicant other than those materials specifically requested in this notice of funding opportunity.

FAS will notify all applicants electronically of funding decisions. Unfunded applicants may send a written request to ppded@fas.usda.gov to receive a written summary of proposal strengths and weaknesses, along with the points awarded to the application for each of the evaluation criteria. FAS will send the written summary to the applicant within 60 days of the request. Additional information beyond that described here will not be provided.

3. Review of Integrity and Performance Information

i. Prior to making a Federal award with a total amount of Federal share greater than the simplified acquisition threshold as defined by 48 CFR § 2.101, the Federal awarding agency is required to review and consider any information about the applicant that is in the designated integrity and performance system accessible through SAM (currently FAPIIS).

ii. An applicant, at its option, may review information in the designated integrity and performance systems accessible through SAM and comment on any information about itself that a Federal awarding agency previously entered and is currently in the designated integrity and performance system accessible through SAM.

iii. the Federal awarding agency will consider any comments by the applicant, in addition to the other information in the designated integrity and performance system, in making a judgment about the applicant's integrity, business ethics, and record of performance under Federal awards when completing the review of risk posed by applicants as described in 2 CFR §200.205 Federal awarding agency review of risk posed by applicants.

4 Anticipated Announcement and Federal Award Date

FAS plans to notify Applicants selected for awards by approximately August 15, 2019 and will finalize agreements by September 30, 2019.

5. Non-Responsiveness Criteria

FAS will not review or provide feedback on applications that are:

- Incomplete; please refer to Part D 2 for a description of what elements and attachments must be included for an application to be considered complete.
- Ineligible; please refer to Part C, Section 1, for a description of which entities are eligible to submit an application.
- Late; all applications must be submitted by the application deadline. There are no exceptions for any reason.

6. Negative Factors

FAS seriously considers an Applicant's past performance on both USDA and USG-wide programs. To determine suitability for receiving and responsibly managing federal awards, the following negative factors will be considered for each Applicant. These negative

factors will be scored and can result in a maximum of five points deducted from the Applicant's overall score.

- FAS or other USG agencies have formally expressed concerns, either via letter or e-mail, regarding the Applicant's past performance on previous FAS-funded projects.
- FAS or other USG agencies have terminated an agreement with the Applicant within the past three years as a result of a violation of the agreement by the organization.
- The Applicant failed to pay a single substantial debt, or a number of outstanding debts (not including sums owed to the USG under the Internal Revenue Code) owed to any federal agency or instrumentality, provided the debt is uncontested by the Applicant or, if contested, provided that the Applicant's legal and administrative remedies have been exhausted. (This information will be sought by FAS within the Federal Awardee Performance and Integrity Information System; FAPIIS.gov.)
- The Applicant failed to submit to FAS, or submitted after the due date, at least two required reports within the past three years. Required documentation includes semiannual performance reports, semiannual financial reports, A-133 audits, subrecipient agreements, and all other documentation required in the Applicant's agreement.
- The Applicant has, on at least two occasions within the past three years, failed to respond, or responded late, to an FAS deadline for documents required during a compliance review or during the close-out of an agreement, or failed to notify FAS of commodity losses within 15 days.
- The Applicant has been designated high-risk by FAS (per 2 CFR 200.205), another federal government agency (as designated in SAM), or external auditor within the past three years and/or the organization's most recent A-133 identifies material weaknesses and/or significant deficiencies.
- The Applicant has experienced a significant commodity loss valued at $20,000 or greater for which it was responsible during the past three years.

7. Positive Factors

These positive factors will be scored and can result in a maximum of five points bonus to the Applicant's overall score.

- Although not required in the proposal submission, if there is a well-reasoned cost sharing component that will maximize program impacts and elicit in-country program sustainability, the Applicant is encouraged to include this in the application. To qualify for positive factor points, cost share should be equivalent to 1% or more of the total operating budget. Cost share will be evaluated in terms of both dollar value and reasonableness (ability to implement).

- FAS supports 2014 Executive Order 13677 on Climate Resilient International Development and encourages applicants to consider climate resilience in their impact analysis. To qualify for positive factor points, applicants should provide a compelling explanation of how the project will contribute to climate resilience. Please be specific in describing how the project makes a difference from a baseline scenario (i.e., if the project did not exist).

F. FEDERAL AWARD ADMINISTRATION INFORMATION

1. Federal Award Notices

FAS will notify each Applicant in writing of the decision regarding its proposal via FAIS. Once the approved Applicant accepts the selection notice, FAS will begin negotiations with the Applicant to develop a cooperative agreement. The selection notice is not an authorization to begin performance and any pre-award costs are incurred at the Applicant's own risk. Until an award is signed, FAS reserves the right not to fund a selected proposal. The selection of this funding instrument entails substantial involvement with FAS and the Applicant sharing responsibility for the management, control, direction, or performance of the agreement. The agreement will incorporate project details as approved by FAS in accordance with the FFPr regulations, 7 CFR § 1499.

2. Administration and National Policy Requirements

a. Standard Administrative Terms and Conditions

All successful domestic applicants for all grant and cooperative agreements are required to comply with Standard Administrative Terms and Conditions, which are available online at:

https://www.fas.usda.gov/grants/general_terms_and_conditions/default.asp

The applicable Standard Administrative Terms and Conditions will be for the last year specified at that URL, unless the application is to continue an award initially awarded in an earlier year. In that event, the terms and conditions that apply will be those in effect for the year in which the award was originally made unless explicitly stated otherwise in subsequent mutually-agreed amendments to the award.

Before accepting the award the potential awardee should carefully read the award package for instructions on administering the grant award and the terms and conditions associated with responsibilities under Federal Awards. Recipients must accept all conditions in this NOFO as well as any Special Terms and Conditions in the Notice of Award to receive an award under this program.

Applicants which are Public International Organizations (PIOs) or foreign entities are required to comply with USDA Standard Terms and Conditions for which are found in Appendix I and Appendix J.

b. National Policy General Terms and Conditions

The cooperative agreements awarded under the FFPr program are administered under 7CFR § 1499 and 2 CFR § 200. In addition to the above, all successful domestic applicants for all grant and cooperative agreements are required to comply with National Policy General Terms and Conditions, which are available online at: https://www.fas.usda.gov/grants-and-cooperative-agreements-national-policy-general-terms-and-conditions

Applicants which are Public International Organizations (PIOs) or foreign entities are required to comply with USDA Standard Terms and Conditions for which are found in Appendix I and Appendix J.

3. Reporting

FFPr-funded Applicants will be required to provide the following: semiannual financial reports, semiannual performance reports, and annual property reports (if applicable).

a. Federal Financial Reporting Requirements

Semi-annual financial reports are to be submitted via FAIS and will follow the budget summary template.

For the October 1 – March 31 reporting period, the due date is April 30. For the April 1 through September 30 reporting period, the due date is October 30 (2 CFR 200.327). If the first semiannual financial report covers less than two months of work, it will be exempted from submission requirements as the award will have only recently been signed. The first report will be due for the following reporting period.

FAS requires only the FAIS financial report. FAS does not require the standard SF-425 within this program as per usual agency requirements. All reports must be submitted via FAIS. FAS reserve the right to require more frequent reporting, but none more frequent than quarterly.

b. Program Performance Reporting Requirements

Semi-annual Performance Reports must be submitted via FAIS. Due dates are April 30 and October 30. Performance reports must provide information on the overall progress of the project.

For the October 1 – March 31 reporting period, the due date is April 30. For the April 1 through September 30 reporting period, the due date is October 30 (2 CFR 200.328). If the first semiannual financial report covers less than two months of work, it will be exempted from submission requirements as the award will have only recently been signed. The first report will be due for the following reporting period.

All reports must be submitted via FAIS. FAS reserves the right to require more frequent reporting, but none more frequent than quarterly. Changes in the original project timelines must be approved by FAS prior to their implementation.

c. Property Reporting Requirements

If applicable, the real property reporting form must be submitted via FAIS. This is due annually and must be on the SF-429.

d. Closeout Reporting Requirements

Within 90 days after the end of the period of performance, or after an amendment has been issued to close out a grant, whichever comes first, recipients must submit a final FFR and final progress report detailing all accomplishments and a qualitative summary of the impact of those accomplishments throughout the period of performance.

If applicable, an inventory of all construction projects that used funds from this program has to be reported using the Real Property Status Report (Standard Form SF 429) available at:

https://www.gsa.gov/portal/forms/download/149866

After these reports have been reviewed and approved by the Food Assistance Division, Program Administration and Monitoring Branch, a close-out notice will be completed to close out the award. The notice will indicate the period of performance as closed, list any remaining funds that will be de-obligated, and address the requirement of maintaining the records for three years from the date of the final federal financial report.

The recipient is responsible for returning any funds that have been drawn down but remain as unliquidated on recipient financial records.

4. Pre-Award Costs

Pre-award costs will only be allowable for costs which would be allowable if incurred after the date the Federal award is made and only with the prior written approval of the Federal awarding agency (2 CFR § 200.458).

5. Negotiations

Prior to signing cooperative agreements, FAS will enter into negotiations with selected Applicants. These negotiations may include but are not limited to:

- Appropriateness of the budget for the proposed project;
- Appropriateness of proposed staff;
- Appropriateness of proposed locations;
- Scope and type of activities to be implemented;
- Suitability of proposed indicators;
- Ability of Applicant to comply with applicable regulations;
- Any special terms and conditions; and
- Additional information to determine that the Applicant is capable of complying with the requirements in 7 CFR § 1499 and/or special terms and conditions are required.

During the negotiations phase, FAS will also ensure that cost share, especially cost share which may have impacted the application's review score (refer to Part E 2) is retained.

Failure to satisfactorily resolve such elements of the agreement identified by FAS may prevent a timely signing of an agreement, and may result in the award being rescinded.

6. Audit Compliance

The Recipient must comply with the timeframes established in 2 CFR § 200, Subpart F for the submission of their audits to the Federal Audit Clearinghouse. In addition, if FAS requires an annual financial audit with respect to a particular agreement, and FAS provides funds for this purpose, the Applicant shall arrange for such audit and submit it to FAS, via FAIS.

7. Monitoring

FAS, through its authorized representatives, has the right, at all reasonable times, to make site visits to review project accomplishments and management control systems and to provide such technical assistance as may be required. During site visits, FAS will review Recipients' files related to the program. As part of any monitoring and program evaluation activities, Recipients must permit FAS, upon reasonable notice, to review program-related records and to interview the organization's staff and clients regarding the program, and to respond in a timely and accurate manner to FAS requests for information relating to their program.

8. Other Requirements of Performance

a. Annual Work Plan

Within 60 days from the signing of the agreement, the Applicant will provide a detailed annual work plan for the project, to be approved by FAS.

The FAS places a high level of importance on strategically managing and implementing grants to maximize the use of US federal tax dollars in achieving optimal programmatic results. Per FAD policy, all cooperative agreements must include a work plan that details which activities will be conducted over the life of the agreement. As such, FFPr provides the following guidance on requirements for completing a work plan which includes a standard methodology outlining and planning project work.

Updates to the workplan will be submitted along with semiannual reports on the deadlines of April 30 and October 30 each year.

The workplan is intended to be used as an adaptive management tool by project staff to control for scope, schedule, and efficient use of resources. A successful work plan should contain the following:

- Work Breakdown Structure (WBS): The WBS is a hierarchical decomposition of all project deliverables required to accomplish the project's objectives. The WBS is the starting point for scope management on the project. This document defines the scope of work to be completed in the current approved cooperative agreement and is specifically used to estimate costs, allocate resources, manage risk and create schedules of a project.
- WBS Dictionary: The WBS dictionary provides detailed information about each component of the WBS and includes information on the deliverables, responsible party, resources required, schedule and milestones of each work package.
- Gantt Chart: The Gantt Chart tracks project tasks over time. The Gantt chart outlines work that needs to be completed on a day-by-day basis and is the main tool used for managing project schedules. It lists tasks on the vertical axis and time intervals on the horizontal access.
- Staffing Dictionary: The Staffing Dictionary is a list of all staff available for work on the project and that will charge time to the project. This broadly includes sub-recipients. Please include a project organizational chart.
- Project Narrative: The project narrative outlines the project's overall theory of change and justifies each activity in terms of its contribution to the theory of change. A project narrative should include: a change management system that

discusses monetization shortfalls and/or windfalls, ineffective or ill-advised activities, and general guidelines for USDA engagement.

b. **Monitoring and Evaluation Requirements**

FFPr project implementors will be required to provide the following as part of their award: an evaluation plan, a PMP, a project level results framework, terms of reference for evaluations, and conduct a baseline, a midterm, if applicable, and a final evaluation, and if applicable, a post monetization impact assessment.

c. **Subaward Requirements**

FFPr Applicants will be required to submit subaward agreements through FAIS. Any subcontract which exceeds the Simplified Acquisition Threshold must also be submitted to FAS through FAIS.

9. Program Income

Program income is not required. If program income is anticipated, it should be recorded in the program income field of the Standard Budget Summary. When program income is actualized during the life of the award, it should be added to the budget for Activities through a budget amendment. See 2 CFR 200.307 for additional guidance.

G. AWARDING AGENCY CONTACT INFORMATION

1. Contact and Resource Information

For general questions related to FFPr, Applicants and other interested parties are encouraged to contact:

Food Assistance Division: Attention Food for Progress
Office of Capacity Building and Development
Foreign Agricultural Service
U.S. Department of Agriculture

2. Hours of Operation

Monday-Friday 9:00 am – 5:00 pm EDT

3. Address

1400 Independence Ave. SW Stop 1034
Washington, DC 20250

4. Phone, Fax, Email
Phone: (202) 720-9059
Fax: (202) 690-0251
Email: ppded@fas.usda.gov

Individuals with questions regarding the NOFO or IT issues with FAIS must submit questions in writing to the above e-mail address. Answers to all questions regarding the NOFO will be posted to the FAIS homepage within three days.

Individuals lacking internet access, who would like access to the questions and answers, please contact FAD at the number or address above and provide your address or fax number and FAS will provide all questions and responses posed about the NOFO.

H. ADDITIONAL INFORMATION

1. Proprietary Information

Applicants wishing to mark information in their application as proprietary or business sensitive must do so. Applicants should indicate which information or pages are proprietary or business sensitive through footnote notations. FAS will treat the information as such. In the event of a request through the Freedom of Information Act, FAS will work with the Applicant/Awardee to ensure business sensitive information is respected. Information which is proprietary or business sensitive may be exempt from FOIA disclosure according to Exemption (b)(4) as cited in the Act viewed through USDA's Office of the Assistant Secretary for Civil Rights here.

2. Extensions

Extensions to this program are allowed. Applicants may request a no-cost extension in order to complete all project activities. The request must be submitted 60 days prior to the expiration of the performance period. Requests for extensions are subject to approval by FAS.

3. Prior Approval

The Recipient shall not, without the prior written approval of FAS, request reimbursement, incur costs or obligate funds for any purpose pertaining to the operation of the project, program, or activities prior to the approved Budget Period/Performance Period.

4. Program Income

In the event program income becomes available to the recipient post-award, it is the recipient's responsibility to notify the FAS Program Manager to explain how that development occurred, as part of their request for guidance and/or approval. The Program Manager will review approval requests for program income on a case-by-case basis;

approval is not automatic. Consistent with the policy and processes outlined in 2 C.F.R. Part 200, pertinent guidance and options, as determined by the type of recipient and circumstances involved, may be approved by the Grant Officer. If approval is granted, an award modification will be issued with an explanatory note.

5. Budget Revisions

Transfers of funds between direct cost categories in the approved budget when such cumulative transfers among those direct cost categories exceed ten percent of the total budget approved in this Award require prior written approval.

The Recipient shall obtain prior written approval for any budget revision that would result in the need for additional resources/funds.

The Recipient is not authorized at any time to transfer amounts budgeted for direct costs to the indirect costs line item or vice versa, without prior written approval.

APPENDIX A - Application Content Checklist

1. **Applicant Requirements**
   - ❑ Registered in SAM and maintaining an active account
   - ❑ DUNS number for Applicant
   - ❑ DUNS number for proposed subrecipients

2. **Proposal Components as Attachments**
   - ❑ Introduction and Strategic Analysis: a maximum of fifteen pages
   - ❑ Plan of Operations: a maximum of twenty pages
   - ❑ Monitoring and Evaluation, and Results Framework: a maximum of twenty-one pages
   - ❑ Organizational Capacity: a maximum of three pages
   - ❑ Curriculum Vitae: a maximum of four pages
   - ❑ Commodity Management: a maximum of three pages
   - ❑ Summary Budget: a maximum of one page
   - ❑ Budget Narrative: a maximum of twenty pages

3. **Uploaded to FAIS**
   - ❑ Introduction Section
     - Introduction Details
     - Key Personnel
   - ❑ Commodity Section
     - Commodity List
     - Special Needs & Distribution Methods
       - Transportation and Storage
       - Processing or Repackaging
       - Duty Free Entry
       - Economic Impact
     - Monetization
       - Impact On Other Sales
       - Private Sector Participation In Sale Of Commodity
       - Sales Proceed Usage
       - Assuring Receipt Procedures
       - Expected Interest Earned
   - ❑ Result Section
     - Results
     - Activities
     - Mapping

- Other Details
    - Cash or Non-cash Contributions
    - Subrecipients
    - Government and Non-Governmental Agencies
    - Method of Choosing Beneficiaries

4. Required Forms as Attachments

- ❑ AD-3030
- ❑ AD-3031
- ❑ USDA AD-1047 or USDA AD-1048 Certification Regarding Debarment, Suspension (depending on organization type)
- ❑ USDA AD-1049, USDA AD-1050, or USDA AD-1052 Certificate Regarding Drug Free Workplace Requirements (depending on organization type
- ❑ SF-424 https://www.grants.gov/web/grants/forms/sf-424-family.html
- ❑ SF-424B https://www.grants.gov/web/grants/forms/sf-424-family.html
- ❑ The Certification on Lobbying Grants.gov Lobbying Form and SF-LLL
- ❑ Applicant's most recent Single Audit
- ❑ Applicant's current NICRA rate
- ❑ Completed past performance records for no more than three grants or contracts implemented by the organization
- ❑ Proof of In-Country Registration or plan to become registered and timeline
- ❑ Project-specific commitment letters from proposed subrecipients

APPENDIX B – Country Specific Guidance

Thematic Area: Agricultural Sector Recovery
Country: Venezuela

NOFO Number: USDA-FAS-10.606-0700-19-529

Purpose: Over the last five years, the economy of Venezuela has shrunk more than 40 percent. Ten percent of the population, mostly the young and well-educated, have fled the country to find better economic opportunities elsewhere. Per capita, food consumption in Venezuela represents approximately 50 to 60 percent of daily need, with protein consumption as low as 30 percent. Historically, both a large importer and producer, 80 percent of Venezuela's food supply is imported, yet food processors and distributors' inadequate access to hard currency threatens to undermine recovery efforts and further imperil food availability.

Government intervention in the market (price controls, currency controls, expropriations, etc.) has damaged domestic productive capacities and incentives for private investment. Once a major producer of both cash and staple crops (e.g., coffee, cacao, and maize), domestic food and livestock production have fallen to historically low levels, further exacerbating availability. Not only is rural income depressed by low agricultural income, but hyper-inflation has made all food stuffs prohibitively expensive and unaffordable for most Venezuelans. Regulatory systems addressing animal and plant diseases are either weak or unenforced, and information on production, prices and supply is lacking or incomplete. Agricultural production is concentrated among relatively large-scale farmers, who account for 11 percent of farms and 82 percent of agricultural land; small-holders make up 40 percent of farms yet work 1.3 percent of the area.

Affordability is the biggest obstacle to increasing agricultural production right now. Consumers without access to foreign currency lack the purchasing power to buy food, and producers cannot afford inputs. This challenge would require a multifaceted solution.

Goal: USDA aims to help Venezuela increase food availability by improving access to inputs such as quality seeds, fertilizers, and other agrochemicals and support efforts to increase access to finance for cooperatives, commercial farmers, and medium-sized agro-processors.

Timeframe: 3 years

Budget: $8-$10M

Programming Priorities: USDA has identified support for the recovery of Venezuela's agricultural sector as a Food for Progress (FFPr) program priority for fiscal year 2019. USDA is soliciting proposals for activities that would substantially contribute to the highest-level strategic objectives – *Increased Agricultural Productivity and Expanded Trade of Agricultural Products* – as outlined in the FFPr results framework. In addition to the standard program indicators, several key custom performance indicators will need to be measured in this project.

Requirements: This project will require substantial coordination and cooperation with the Government of Venezuela (GoV), USDA, the U.S. Embassy in Caracas, and private sector stakeholders and tremendous flexibility on behalf of the Implementing Partner (IP) to effectively execute activities in an evolving context and challenging environment. To assist with this process, the implementing partner will be expected to incorporate the following into its operating plan:

1. The IP should design a project that targets the recovery of agricultural value chains vital to the food security of Venezuelans. The IP should suggest value chains that do not suffer from excessive government intervention, such as, but not limited to, plantains, potatoes or cassava, and that can recover without rapid, significant changes in government policies.
2. The project prioritizes increasing the amount of available food, so the IP should focus on cooperatives, commercial farmers, and medium-sized agro-processors.
3. The IP should consider creative options to increase access to finance, including credit guarantees structured with involvement from private sector companies or U.S. Government (USG) entities, cashless internal value chain lending, or other alternatives.
4. In addition to low incentives to produce, farmers face great difficulty accessing necessary inputs. The former GoV controls the import and sale of seeds, fertilizer, chemicals and other necessary agricultural inputs. Reliable and consistent power supply remains a challenge, limiting to increase production and access to cold chain. A lack of machine replacement parts and fuel plagues entire value chains.
5. The IP should support GoV and project goals in Venzuela with a flexible, on-demand mechanism that is responds to recovery issues as they arise through-out the life of the project. USDA anticipates that this component will make up 20 percent of activities.

Planned interventions will account for international assistance already being provided by other donors, such as the Inter-American Development Bank, International Monetary Fund, World Bank, United Nations agencies, U.S. Agency for International Development, other USG efforts, and investments provided by other bilateral donors to ensure coordination and prevent duplication of efforts. During project planning, the IP should specifically look for opportunities to leverage other USG investments.

The IP will serve as the technical lead in this project and play an important role in concert with other stakeholders in identifying capacity gaps and working with the USG to design interventions. The proposal should demonstrate the applicant's understanding of and experience in restarting agricultural economies after intense economic shocks and other challenges to operating in Venezuela. It should highlight the approach the applicant would take in designing the initial assessment, designing and carrying out the project, and include an illustrative results framework, proposed activities, and anticipated project results. The project's final-results framework and operating plan will be based upon the initial assessment and require significant input from the USG and other Venezuelan stakeholders.

Initial Assessment: The implementing partner will work with USDA/FAS and the U.S. Embassy in Caracas to identify key partners and stakeholders. This assessment should verify appropriateness of the selected value chains and identify key constraints and opportunities within

selected value chains, critical private and public sector partners, government policies that inhibit growth in the value chain, and other donor activities that impact this project.

Agricultural Recovery Advisory Council: The IP will be expected to work in close cooperation and coordination with the USDA-led Agricultural Recovery Advisory Council and composed of key stakeholders such as FAS/Washington, FAS/Caracas, the U.S. Embassy in Caracas, GoV stakeholders, and others as appropriate.

The implementing partner will be expected to engage in substantive work planning with the Agricultural Recovery Advisory Council in important ways:

- Monthly check-ins with key stakeholders as determined by USDA
- Quarterly meetings with the Agricultural Recovery Advisory Council
- Annual meeting/work planning with the Agricultural Recovery Advisory Council

Metrics: USDA anticipates that custom metrics for this project will include measures of food availability.

APPENDIX C – Budget Summary

(fillable template available on FAIS homepage under Forms and Guidance)

ATTACHMENT C -1

Proposed Budget Summary

Program (FFPr, LRP, MGD):	
Country of Operation:	
Implementing Organization:	
Fiscal Year:	20XX
Agreement Number:	FCC-xxx-20xx/0xx-00

Total Amount of Federal Funds Requested

Funding Source (FAS for MGD and LRP) (CCC for FFPr)	Funding Year	Commodity Cost (FFPr and MGD Only)	Freight Cost (FFPr and MGD Only)	Administrative Costs (cash portion)	Total Federal Funding Obligated
	20XX				$0.00

Project Operating Budget

Expense Type	Monetization Proceeds	FAS or CCC Funds (CCC is Admin Only)	Cost Share	Total w/out Cost Share	Total w/Cost Share
Administration					
Salaries				$0.00	$0.00
Benefits				$0.00	$0.00
Travel				$0.00	$0.00
Professional Services				$0.00	$0.00
Equipment				$0.00	$0.00
Office				$0.00	$0.00
Supplies				$0.00	$0.00
Other				$0.00	$0.00
Total Administration	$0.00	$0.00	$0.00	$0.00	$0.00
Activities					
Activity 1: *Insert Description*				$0.00	$0.00
Activity 2: *Insert Description*				$0.00	$0.00
Activity 3: *Insert Description*				$0.00	$0.00
Activity 4: *Insert Description*				$0.00	$0.00
Activity 5: Insert Description				$0.00	$0.00
Activity 6: Insert Description				$0.00	$0.00
Activity 7: Insert Description				$0.00	$0.00
Insert additional Activities as needed				$0.00	$0.00
Total Activities	$0.00	$0.00	$0.00	$0.00	$0.00
Commodity and Food Purchases (LRP only)					
Commodity Procurement				$0.00	$0.00
Food Vouchers				$0.00	$0.00
Cash Transfers				$0.00	$0.00
Total Commodity Procurement	$0.00	$0.00	$0.00	$0.00	$0.00
ITSH					
Salaries				$0.00	$0.00
Benefits				$0.00	$0.00
Transportation				$0.00	$0.00
Professional Services				$0.00	$0.00
Warehouse				$0.00	$0.00
Supplies				$0.00	$0.00
Other				$0.00	$0.00
Total ITSH	$0.00	$0.00	$0.00	$0.00	$0.00
Total Direct Costs	$0.00	$0.00	$0.00	$0.00	$0.00
Indirect Costs					
ICR on Administration				$0.00	
ICR on Activities				$0.00	
ICR on Commodity and Food Purchases				$0.00	
ICR on ITSH				$0.00	
Total Indirect Costs	$0.00	$0.00		$0.00	
Anticipated Program Income					
Grand Total Costs	$0.00	$0.00	$0.00	$0.00	$0.00
Total Amount of Federal Award (Total Federal Funds Requested Plus Cost Share):					**$0.00**

APPENDIX D – Budget Narrative Instructions

(guidance also available on FAIS homepage under Program Administration)

Program (FFPr/MGD/FFPr):

Country:

Fiscal Year of Award:

Applicant (Organization):

Point of Contact (Preparer):

OVERVIEW

The Budget Narrative provides an opportunity for the **Applicant to demonstrate the organization's capabilities to manage project finances in accordance with 2 CFR Part 200-Subpart E Cost Principles, as well as to detail the cost-effectiveness of this particular proposal. The budget narrative should explain how the costs relate to the implementation of the project as outlined in the proposal. Narratives should be written is such a way that someone not specifically familiar with the project can conceptually understand the rationale, purpose and calculation of the anticipated costs identified.**

In crafting the budget narrative, please ensure that it clearly corresponds to the associated budget summary spreadsheet**. In the interest of consistency, USDA requests that Applicants adhere to the following outline when creating a budget narrative.**

Narratives *for each line item* identified above should identify:

- All subcomponents of the line item
- The amount budgeted for each subcomponent
- The manner in which calculations were made

Note: subrecipient costs should include only the total subcontract cost and purpose of the work under the appropriate category; it is not necessary to include the details of the separate cost components of each subcontract.

If it is unclear how to categorize a particular cost, please send an e-mail to PPDED@fas.usda.gov and the reply will be posted on the Frequently Asked Questions page for the benefit of all Applicants. Please note that following the proper format is important, because it affects the overall score of the proposal. An example budget narrative can be found on the FAS website under Training Material and User Manual: https://apps.fas.usda.gov/fais/public**.**

SECTION 1: GENERAL EXPLANATORY COMMENTS

Please describe general and cross-cutting issues, for example, cost escalations expected during this project and **the manner in which they are accounted for in the budget and an explanation of any program income which may be earned by the proposed project. Additionally, this section should include a description of your organization's financial capacity; the cost application methodology used for the proposal, a summary of how the budget components will contribute to the implementation of the project, and overall cost effectiveness. Summarize the indirect rates applied to the proposed budget, and their base of application across Administrative, ITSH and Activit**y expenses. Please note that this section should be no longer than two pages.

SECTION 2: ADMINISTRATIVE

This section should be used to describe costs that are project-wide or standard "costs of doing business" that are not connected to any specific task. In general, these are the costs incurred by headquarters and/or the primary overseas project office.

Use this section to clearly articulate and detail each applicable Administrative line item contained in the budget summary as listed below. Show the amount budgeted for each subcomponent, and describe the manner in which calculations were made (see example).

- Salaries
  - Positions should include the Chief of Party, finance team, and monitoring and evaluation staff. Do not include staff whose time is covered by professional services contracts or subawards.
  - The Deputy Chief of Party, Grants Officers, and others may also be included in this section if their work cuts across multiple activity areas.
  - Please identify the total Level of Effort percentage that each position will spend on the project.
- Benefits (Fringe)
  - Depending on the organization, this may include FICA, COLA, danger pay, housing, children's education tuition allowance, home leave, R & R, training, sick and vacation time, bonuses, etc.
- Travel
  - Include travel performed by staff billing their time to the Administrative section (for example, monitoring trips by home office staff and international travel by the Chief or Party or home office staff).
  - Include vehicle fuel here.
- Professional Services
  - Professional services apply to work that is done via contracts. This may include audits, monetization services, and the baseline, mid-term, and final evaluations. It could include sub-Applicants, but they are generally included under activities.
    - Please include the name, the total cost, and a brief description of the purpose. The total cost should include the subcontractor's indirect costs as a direct cost. Itemization

is not necessary.

- Please explain in detail the overall Monitoring & Evaluation (M&E) budget, including the overall percentage of the total budget dedicated to M&E and its components, such as:
  - Funds budgeted for headquarters M&E staff ;
  - Funds budgeted for field M&E staff;
  - Funds budgeted for Third Party evaluations;
  - Funds budgeted for the creation and/or support of M&E tools and systems, and;
  - Any additional costs associated with M&E activities.

- Equipment
  - Include equipment purchases over $5,000 that are not tied to a specific Activity.
  - Include vehicles, vehicle repair and maintenance.
- Office
  - Include most office-related expenses. Examples of costs in this activity include: rent for main field office, communication costs (Internet, telephone, and mobile phone charges), bank fees, postage/shipping fees, insurance, furniture, and office utilities.
- Supplies
  - This category includes supplies (including office supplies), equipment costs under $5,000, and related maintenance expenses on such equipment.
- Other
  - Any expenses included under the "Other" line must be defined by the PVO, and approved by FAS.
- Administrative Indirect
  - Describe the indirect costs for the Administrative category.
- Cost Share
  - Describe any cost share (cash or in-kind) contributions that fit in the Administrative category.

SECTION 3: ACTIVITIES

For each Activity, please describe the following costs. Please group all direct costs for a given activity together.

- Salaries
  - Positions should include technical specialists and other staff who are dedicated to a specific activity. Do not include staff whose time is covered by professional services contracts or subawards.
  - Please identify the total amount of time each position will spend on each activity as a percentage.
- Benefits (Fringe)
  - Depending on the organization, this may include FICA, COLA, danger pay, housing, children's education tuition allowance, home leave, R & R, training, sick and vacation time, bonuses, etc.
- Travel
  - Include travel for day-to-day project work.
  - Include vehicle fuel here.

- Professional Services
  - Professional services applies to work that is done via contracts.
  - Subawards/Sub-Applicants:
    - Please include the name, the total cost, and a brief description of the purpose. Itemization is not necessary.
  - For total costs, please include the subcontract's and/or subawardee's indirect cost as a direct cost.
- Equipment
  - Include equipment purchases over $5,000 that are tied to a specific Activity.
  - Include vehicle repair and maintenance.
- Office
  - Include expenses for an office that is dedicated to a specific activity (include field office expenses here). Examples of costs in this activity include: rent for main field office, communication costs (Internet, telephone, and mobile phone charges), bank fees, postage/shipping fees, insurance, furniture, and office utilities.
- Supplies
  - This category includes supplies (including office supplies), equipment costs under $5,000, and related maintenance expenses on such equipment.
- Other
  - Any expenses included under the "Other" line must be defined by the PVO, and approved by FAS.
- Cost Share
  - Describe any cost share (cash or in-kind) contributions that fit in the Activities category.

- Activities Indirect
  - Describe the indirect costs for the Activities category. This should be the total amount for all activities.

(LRP Only) Use this section to clearly articulate and detail each applicable Commodity and Food Purchase item as contained in the budget summary, including:

Commodity Procurement

Describe purchases of commodities in-country or in the region.

Food Vouchers

Describe food vouchers used for providing food assistance.

Cash Transfers

Describe cash transfers for providing food assistance.

Commodity and Food Purchases Indirect

Describe the indirect costs for the Commodity and Food Purchases category.

Cost Share

Describe any cost share (cash or in-kind) contributions that fit in the Commodity and Food Purchases category.

SECTION 4: INTERNAL TRANSPORTATION, STORAGE AND HANDLING (ITSH)

Use this section to clearly articulate and detail each applicable ITSH line item as contained in the budget summary, including:

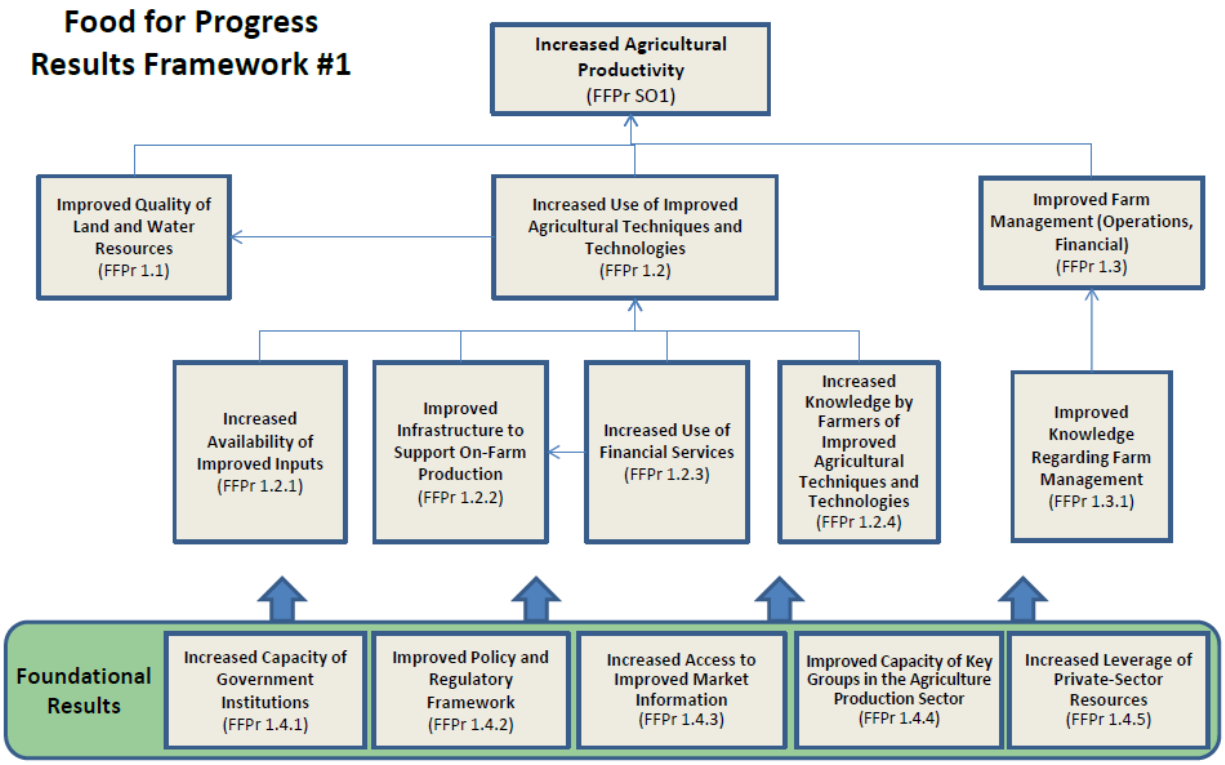
- Salaries
  - Include salaries of staff related to the transportation and storage of commodities paid for under this award.
- Benefits
  - Include benefits association with ITSH staff.
- Internal Transportation
  - Include all costs associated with internal distribution of commodities.
- Professional Services
  - This includes services relating directly to warehouse costs which are not covered under Internal Transportation, such as fumigation or other infrequently recurring payments.

Warehouse storage costs

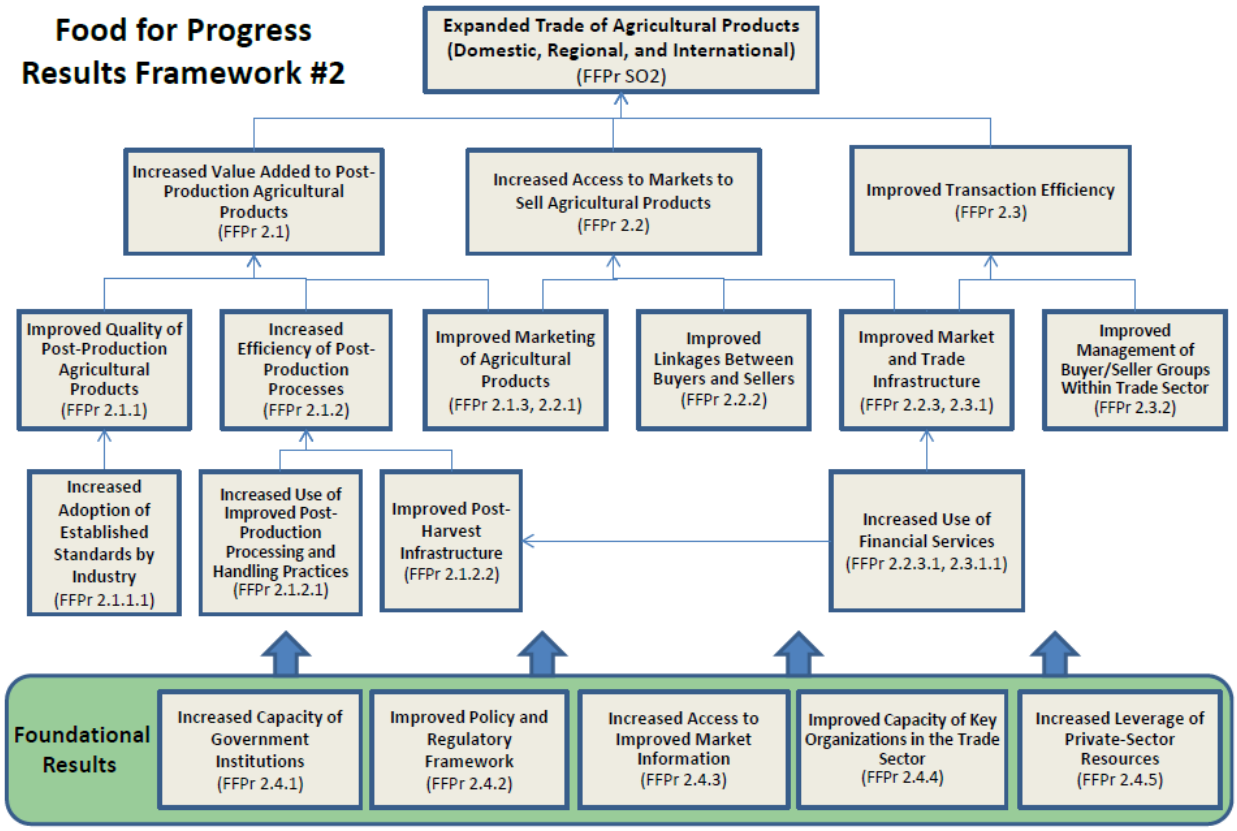
Includes warehouse leases and other costs associated with storage.

- Supplies
  - This category includes supplies, equipment costs under $5,000, and related maintenance expenses on such equipment.
- Other
  - Any expenses included under the “Other” line must be defined by the PVO, and approved by FAS.
- ITSH Indirect
  - Describe the indirect costs for the ITSH category.
- Cost Share
  - Describe any cost share (cash or in-kind) contributions that fit in the ITSH category

APPENDIX E – Food For Progress Results Frameworks and Illustrative Examples of Foundational Results



A Note on Foundational Results: These results can feed into one or more higher-level results. Causal relationships sometimes exist between foundational results.



A Note on Foundational Results: These results can feed into one or more higher-level results. Causal relationships sometimes exist between foundational results.

APPENDIX F – Manual For The Use Of Results Frameworks

Introduction and Purpose

This manual was developed to guide program participants in their use of results-oriented frameworks and performance indicators when applying for USDA-FAS food aid programs. The goal is to ensure that FAS's integration and implementation of the results-oriented management (ROM) system is transparent, easy to understand, and simple to apply. This policy applies to all entities and organizations that apply to FAS food aid programs.

FAS's adoption of the results-based approach in food aid is being used to strengthen the delivery of more efficient and effective food aid programs through a greater focus on results and accountability of taxpayer resources. This approach also provides a platform for more meaningful program evaluations and opportunities to learn what interventions are working well and why others may not. Increasing demands and resource constraints are perhaps one of the most compelling reasons for using a results-based approach in the management of food aid programs.

FAS expects to improve its ability to measure the impact of FAS food aid programs by: 1) clarifying program strategy; 2) identifying results we expect to achieve; 3) linking measurable indicators to results; and 4) mapping program objectives and results back to the agency's strategic plan. In turn, organizations will be expected to identify results that their project can achieve and verify that they have achieved them.

To this end, FAS has developed results frameworks and measurable indicators for the FFPr. The frameworks are key tools in communicating the intent of FAS's food aid programs both internally and externally. Food aid frameworks are also used in support of the "whole of government" effort to coordinate across U.S. Government agencies and focus the conversation on results, rather than process and activities.

This manual serves to define key ROM terminology, and to explain the FFPr program-level results frameworks.

Food for Progress Results Framework #1

The first FFPr results framework focuses on the initial segment of the agriculture value chain, on-farm activities. Accordingly, the highest-level result or the strategic objective of RF 1 is *Increased Agricultural Productivity*. FFPr RF 1 possesses two key "results streams" that will lead to the achievement of this SO: Result Stream 1, which is under the result *Increased Use of Improved Agricultural Techniques and Technologies* and Result Stream 2, which is under the *result Improved Farm Management (Operations, Financial)*. Collectively, these two streams—

along with the stand-alone result linked to Results Stream 1, *Improved Quality of Land, and Water Resources*—will support the achievement of the SO *Increased Agricultural Productivity*.

This narrative presents the results strategy of FFPr RF 1 via each of the two result streams as well as the foundational results.

Results Stream 1: Increased Use of Improved Agriculture Techniques and Technologies. It is important to note that the highest result in this stream, Increased Use *of Improved Agricultural Techniques and Technologies*, feeds into another result at the same level, *Improved Quality of Land and Water Resources*. FAS believes that *Improved Quality of Land and Water Resources* does belong in the RF because FAS desires that implementers achieve *Increased Use of Improved Agriculture Techniques and Technologies* in a manner that has a positive impact on natural resources and that does not compromise the environmental health or integrity of on-farm or off-farm resources. *Improved Quality of Land and Water Resources* has no result connections below it, as FAS expects implementers to contribute to it almost exclusively through the parallel result, Increased Use of Improved Agriculture Techniques and Technologies, through the increased use of more sustainable agricultural techniques and technologies.

Moving down from *Increased Use of Improved Agriculture Techniques and Technologies*, there are four mid-level results that collectively support its achievement:

• *Increased Availability of Improved Inputs;*

• *Improved Infrastructure to Support On-Farm Production;*

• *Increased Use of Financial Services,* which also supports the parallel result of *Improved Infrastructure to Support On-Farm Production;* and

• *Increased Knowledge by Farmers of Improved Agricultural Techniques and Technologies.*

Results Stream 2: Improved Farm Management (Operations, Financial)

The result, *Improved Farm Management (Operations, Financial)*, is defined as farmers who are using proven business techniques (i.e., planning, inventory control, and financial analysis) to increase their revenues. Under this result exists a supporting result, *Improved Knowledge Regarding Farm Management*, which is defined as farmers who have an improved understanding of key aspects of farm management (i.e., financial literacy and planning).

RF1: Foundational Results

The foundational results for all FAS RFs are defined by three characteristics: (a) they feed into one or more higher-level results; (b) they target critical actors or areas that increase the potential for lasting outcomes; and (c) a causal relationships exists among some of the foundational results.

Under FFPr RF 1, there are five key foundational results that are important to take into consideration when developing a country-level, project results framework:

• *Increased Capacity of Government Institutions*

• *Improved Policy and Regulatory Framework*

• *Increased Access to Improved Market Information*

• *Improved Capacity of Key Groups in the Agriculture Production Sector* (i.e., cooperatives and small shareholder farmers)

• *Increased Leverage of Private Sector Resources* (i.e., cost-sharing or leveraging of private sector resources, either cash or in-kind, that seeks to improve production infrastructure)

Food for Progress Results Framework #2

The strategic objective of the second framework is the *Expanded Trade of Agriculture Products* on domestic, regional, and/or international levels. This segment focuses on the end of the value chain and includes off-farm activities up until the product hits a fork (i.e., adding value to products, opening up markets, facilitating exchange of goods, etc.). In order to achieve this SO, three intermediary results (IRs) need to be achieved: *Increased value added to post-production agricultural products, increased access to markets to sell agricultural products, and improved transaction efficiency*. Likewise, the achievement of each of these three IRs is dependent on mid-level and lower-level IRs being achieved and based on a cause-and-effect logic. The logic behind each of these three results streams is described below.

FFPr RF 2 possesses three key "result streams" that will lead to the achievement of this SO: Result Stream 1, which is under the *result Increased Value Added to Post-Production Agricultural Products*; Result Stream 2, which is under the *result Increased Access to Markets to Sell Agricultural Products*; and Result Stream 3, which is under the result *Improved Transaction Efficiency*.

Another way to think about the result strategy between the RF's three streams and its SO is the following: Better products (Results Stream 1) + More places to sell products (Results Stream 2) + More efficient ways to get products to markets (Results Stream 3) = More market transactions (SO). The narrative presents the result strategy of FFPr RF 2 via each of the three result streams as well as foundational results.

<u>Results Stream 1: Increased Value Added to Post-Production Agriculture Products</u>

Under the result *Increased Value Added to Post-Production Agricultural Products*, there are three mid-level results that collectively support its achievement:

• *Improved Quality of Post-Production Agricultural Products*, which is further supported by the lower-level result *Increased Adoption of Established Standards by Industry* (i.e., Global Gap, GMP—including HAACP);

• *Increased Efficiency of Post-Production Processes* (i.e., a decrease in the time a product takes to move through the post-production processes). This result is further supported by two lower-level results:

o *Increased Use of Post-Production Processing and Handling Practices* (i.e., post-harvest transporting practices, storage practices, and processing techniques); and

o *Improved Post-Harvest Infrastructure* (i.e., processing facilities, refrigerated trucks, warehouse facilities, or power generation equipment). This result is also supported by a parallel result, *Increased Use of Financial Services*, (given that there is a need for capital to improve post-harvest infrastructure).

• *Improved Marketing of Agriculture Products* (i.e., labeling, packaging, and marketing techniques). This result supports two higher-level results:

o *Increased Value Added to Post-Production Agricultural Products* (in Result Stream 1); and

o *Increased Access to Markets to Sell Agricultural Products* (in Result Stream 2).

Results Stream 2: Increased Access to Markets to Sell Agricultural Products

Under the result *Increased Access to Markets to Sell Agricultural Products*, there are three mid-level results that collectively support its achievement:

• *Improved Marketing of Agricultural Products*, which supports two higher-level results:

o *Increased Access to Markets to Sell Agricultural Products* (in Result Stream 2); and

o *Increased Value Added to Post-Production Agricultural Products* (in Result Stream 1)

• *Improved Linkages Between Buyers and Sellers* (i.e., the number of buyer/seller contracts)

• *Improved Market and Trade Infrastructure,* which supports two higher-level results:

o *Increased Access to Markets to Sell Agricultural Products* (Results Stream 2); and

o *Improved Transaction Efficiency* (Results Stream 3). This result is further supported by a lower-level result:

• *Increased Use of Financial Services* (given that there is a need for capital to improve market and trade infrastructure).

Results Stream 3: Improved Transaction Efficiency

Under the result *Improved Transaction Efficiency* (i.e., a reduction in the time necessary to clear or transport a product) there are two mid-level results that collectively support its achievement:

• *Improved Market and Trade Infrastructure*, which supports two higher-level results:

    o *Improved Transaction Efficiency* (Result Stream 3); and

    o *Increased Access to Markets to Sell Agricultural Products* (Result Stream 2). Similarly, this result is further supported by a lower-level result:

        • *Increased Use of Financial Services* (given that there is a need for capital to improve market and trade infrastructure)

• *Improved Management Practices of Buyers and Sellers Groups Within the Trade Sector* (i.e., planning, contracts, finance, procurement, and logistics)

RF 2: Foundational Results

The foundational results for all FAS RFs are defined by three characteristics: (a) they feed into one or more higher-level results; (b) they target critical actors or areas that increase the potential for lasting outcomes; and (c) a causal relationships exists among some of the foundational results.

FFPr RF 2 possesses key foundational results (almost identical to RF 1) that are important to take into consideration when developing a country-level project results framework. The five foundational results are as follows:

• *Increased Capacity of Government Institutions*

• *Improved Policy and Regulatory Framework*

• *Increased Access to Improved Market Information*

• *Improved Capacity of Key Organizations in the Trade Sector* (i.e., Processing Organizations and Trade Associations)

• *Increased Leverage of Private-Sector Resources* (i.e., cost-sharing or leveraging of private sector resources, whether cash or in-kind, that seek to improve trade infrastructure)

APPENDIX G – Food for Progress Standard Indicators

FFPr RESULTS FRAMEWORK 1: Increased Agricultural Productivity	**FFPr SO1:** Increased Agricultural Productivity
FFPr INDICATOR 1: Yield of targeted agricultural commodities among program participants with USDA assistance	
DEFINITION: Yield is a measure of the total output of production of an agricultural commodity (crop, fish, milk, eggs, live animal offtake[1]) divided by the total number of units in production (hectares planted of crops, area in hectares for pond aquaculture, cubic meters of cage for cage aquaculture, maximum number of animals in the herd/flock during the reporting year for live animals, maximum number of producing cows or hens during the reporting year for dairy or eggs). Yield per hectare, per animal, and per cubic meter of cage is a measure of productivity from that farm, fisheries, or livestock activity from USDA-assisted producers. Yield is calculated from the following data points, reported as totals across all activity participants, and disaggregated by commodity, then by sex and age of the producer: • Total Production (TP): Kg, mt, number, or other unit by participants during the reporting period; • Total Units of Production (UP): Area planted in ha (for crops); Area in ha (for aquaculture ponds); Maximum number of animals in herd (for live animals); Maximum number of animals in production (for dairy or eggs); Cubic meters of cages (for open water aquaculture) for participants during the reporting year. Yield per hectare, per animal, or per cubic meter of cage = TP/UP If there is more than one production cycle in the reporting year, the data points for total production (TP) and units of production (UP) should be counted (and summed) each time the land is cultivated, animal products are produced, or the cages are used if the same commodity	

was produced. The sum of TP divided by the sum of UP will provide an estimate of the average yield achieved across the different production cycles.

Total production is the amount that is produced, regardless of how it was ultimately used. It also includes any postharvest loss (i.e. postharvest loss should not be subtracted from total production.)

The preferred units for TP by commodity type are:

- Crops: metric tons
- Pond aquaculture: kilograms
- Cage aquaculture: kilograms
- Dairy: liters of milk
- Eggs: number of eggs
- Livestock: weight in kilograms of entire live animals which were offtake

The required units for UP by commodity type are:

- Crops: hectare
- Tree crops: hectare is recommended[2]
- Pond aquaculture: hectare of surface area
- Cage aquaculture: cubic meter of cage
- Dairy: maximum number of producing animals during the reporting year
- Eggs: maximum number of producing hens during the reporting year
- Livestock: maximum number in herd, flock, or other group during the reporting year.

For partners working in **livestock** value chains, there is an additional disaggregation of livestock production system to support meaningful analysis of outcomes. There are four production systems: Rangeland; rural mixed crop-livestock; urban/peri-urban; and intensive commercial livestock production.

- **Rangelands** (pastoral, transhumant, agro-pastoral, sylvo-pastoral, and extensive grasslands)
- **Rural mixed crop-livestock** (ruminants, pigs and poultry and small stock such as rabbits and guinea pigs and animals kept principally for traction including oxen, buffalo and equids)
- **Urban/peri-urban** (including poultry, small scale dairy, small and large ruminants, pigs, micro-stock, small scale fattening operations)
- **Intensive, commercial livestock production** (large pig and poultry production units, also includes ruminant fattening, large dairying and large scale dry lots). Scale of operation, level of technical inputs and capital investment distinguishes from the urban/peri-urban category).

Yield targets should be entered at the commodity level and at the sex and age level under each commodity. Targets do not need to be set for the TP and UP data points.

[1] Offtake quantity includes the entire weight of all live animals that were sold, slaughtered, gifted or exchanged, including those for home consumption.

[2] For tree crops, Number of hectares is recommended as UP, however, Number of trees can also be selected for UP.

RATIONALE: Yield of farms, fisheries, and livestock is a key driver of agricultural productivity and can serve as a proxy of the overall productivity of these value chains and the impact of interventions when the trend is evaluated over a series of years, and/or appropriate covariates such as inter-annual weather conditions are included in the analysis. Improving the yield for farm commodities contributes to increasing agricultural GDP, can increase income when other components of agricultural productivity are in place (e.g., post-harvest storage, value addition and processing, markets), and can therefore contribute to increasing sustainable productivity and reducing poverty.

INDICATOR CHARACTERISTICS

UNIT OF MEASURE:	**INDICATOR LEVEL:**	**DIRECTION OF CHANGE:**	**FREQUENCY OF REPORTING:**
See Definition for preferred units of measure by commodity type.	Outcome	Higher is better	Annually, recommended to collect close to post-harvest to optimize recall

DISAGGREGATION:

For crops:

FIRST LEVEL

Commodity: Type of crop. Note: Horticultural product-specific disaggregation is not required for this indicator. The overall "horticulture" commodity disaggregate can be used if desired.

SECOND LEVEL

Farm size: Smallholder, Non-smallholder

THIRD LEVEL

Sex: Male, female

Age: 15-29, 30+

For aquaculture:

FIRST LEVEL

Commodity: Type of fish – freshwater or marine.

SECOND LEVEL

Sex: Male, female

Age: 15-29, 30+

For livestock:

FIRST LEVEL

Commodity: Type of animal or animal product

SECOND LEVEL

Production system: Agro-pastoral/extensive grassland; small-holder mixed livestock-crop; urban/peri-urban; and intensive industrial

THIRD LEVEL

Sex: Male, female Age: 15-29, 30+	
DATA SOURCE: WHO COLLECTS DATA FOR THIS INDICATOR: Data will be collected by Recipients. HOW SHOULD IT BE COLLECTED: Participant farmer/fisher/rancher sample surveys; data collection through producer organizations or farm records; routine activity records.	
MEASUREMENT NOTES: BASELINE INFO: Baselines are required. Baseline data reflects the yield of targeted commodities in the year prior to programming. If that information is not available, yield information collected during the activity's first year can serve as baseline.	
DATA ENTRY IN FAIS: The indicator title must be entered into the relevant performance reporting section of FAIS ***VERBATIM*** to allow for the information to be collected correctly.	
RELATIONSHIP TO THE FEED THE FUTURE (FtF) INITIATIVE	
FtF INDICATOR: Yes [EG.3-10,-11,-12]	**DEFINITIONAL AND MEASURMENT NOTES:** For more guidance on the Feed the Future indicator, please refer to the Feed the Future Indicator Handbook (https://www.agrilinks.org/post/feed-future-indicator-handbook).

FFPr RESULTS FRAMEWORK 1: Increased Agricultural Productivity	**FFPr 1.1:** Improved Quality of Land and Water Resources
FFPr INDICATOR 2: Number of hectares under improved management practices or technologies that promote improved climate risk reduction and/or natural resources management with USDA assistance	

DEFINITION: This indicator measures the area in hectares where USDA-promoted management practices or improved technologies that reduce climate risk and improve land, marine, and other natural resources management were applied during the reporting year to areas managed or cultivated by producers participating in a USDA-funded activity.

Management practices counted are agriculture-related, land- or water-based management practices and technologies in sectors such as cultivation of food or fiber, aquaculture, fisheries, and livestock management that address climate change adaptation and mitigation, specifically including those that seek to bring about benefits relating to climate change adaptation/climate risk management, climate mitigation, and improved natural resource and ecosystem management. Improved management practices or technologies are those promoted by the Recipient as a way to increase producer's productivity directly or to support stronger and better functioning systems.

This indicator reports on the unique number of hectares from a subset of three indicator disaggregates of FFPr Standard Indicator 3 *Number of hectares under improved management practices or technologies with USDA assistance* management practice category disaggregates. The examples under each category below are illustrative but not exhaustive.

- **Natural resource or ecosystem management**: e.g. biodiversity conservation; strengthening of ecosystem services, including stream bank management or restoration or re/afforestation; woodlot management.
- **Climate mitigation**: technologies selected because they minimize emission intensities relative to other alternatives (while preventing leakage of emissions elsewhere). Examples include low- or no-till practices; restoration of organic soils and degraded lands; efficient nitrogen fertilizer use; practices that promote methane reduction; agroforestry; introduction/expansion of perennials; practices that promote greater resource use efficiency (e.g. drip irrigation).
- **Climate adaptation/climate risk management**: technologies promoted with the explicit objective of reducing risk and minimizing the severity of climate change. Examples include drought and flood resistant varieties; short-duration varieties; adjustment of sowing time; diversification, use of perennial varieties; agroforestry.

RATIONALE: This indicator tracks application of practices that can support producers and the landscapes where they live to proactively protect themselves against climate disturbances while promoting better management and improved quality of land and water resources. Improved management practices on agriculture land, in aquaculture and in freshwater and marine fisheries relating to improved natural resource or ecosystem management and those practices that bring benefits related to climate mitigation and climate adaptation are critical for ensuring that smallholder producers and their communities are taking steps to safeguard themselves against climate and weather disturbances.

INDICATOR CHARACTERISTICS

UNIT OF MEASURE: Number: Hectares	INDICATOR LEVEL: Outcome	DIRECTION OF CHANGE: Higher is better	FREQUENCY OF REPORTING: Annually covering the period: October 1 – September 30
DISAGGREGATION: None			
DATA SOURCE: WHO COLLECTS DATA FOR THIS INDICATOR: Data will be collected by Recipients HOW SHOULD IT BE COLLECTED: Sample survey of activity participants, activity or association records, reports from activity partners, farm records. If a sample survey of participants is conducted, data may be collected through participant interviews and/or direct observations of measures of participants' land.			
MEASUREMENT NOTES: BASELINE INFO: The baseline is the area under improved management practices and technologies that support improved climate risk reduction and/or natural resources management that are promoted by the activity at the start of the activity.			
DATA ENTRY IN FAIS: The indicator title must be entered into the relevant performance reporting section of FAIS ***VERBATIM*** to allow for the information to be collected correctly.			
RELATIONSHIP TO THE FEED THE FUTURE (FtF) INITIATIVE			
FtF INDICATOR: Yes [EG.3.2-28]	**DEFINITIONAL AND MEASURMENT NOTES:** The data for this specific indicator is derived from three disaggregates from indicator FFPr Standard Indicator 3 (FtF EG.3.2-25). Recipients are expected to report on the unique number of hectares within these three disaggregates to avoid double counting. For example, if a Recipient is reporting on the improved management practices and technologies for the same hectare under two or all of these three disaggregates, that hectare should be counted only once. For more guidance on the Feed the Future indicator, please refer to the Feed the Future Indicator Handbook (https://www.agrilinks.org/post/feed-future-indicator-handbook).		

FFPr RESULTS FRAMEWORK 1: Increased Agricultural Productivity	**FFPr 1.2:** Increased Use of Improved Agricultural Techniques and Technologies **FFPr 1.3**: Improved Farm Management
FFPr INDICATOR 3: Number of hectares under improved management practices or technologies with USDA assistance	

DEFINITION: This indicator measures the area in hectares where USDA-promoted management practices or improved technologies were applied during the reporting year to areas managed or cultivated by producers participating in a USDA-funded activity. Management practices counted are agriculture-related, land- or water-based management practices and technologies in sectors such as cultivation of food or fiber, aquaculture, fisheries, and livestock management, including those that address climate change adaptation and mitigation. Improved management practices or technologies are those promoted by the recipient as a way to increase producer's productivity directly or to support stronger and better functioning systems. Significant improvements to existing technologies should be counted.

The application of both intensive and extensive agriculture-related management practices and technologies in different landscapes are captured under the Type of Hectare disaggregate. The Type of Hectare disaggregates are: **crop land, cultivated pasture, rangeland, conservation/protected area, freshwater or marine ecosystems, aquaculture**, and **other**[1]. Those interventions carried out on crop land, cultivated pasture and aquaculture are considered "intensive". Those carried on rangeland, conservation/protected area and freshwater or marine ecosystems are considered "extensive". The same area cannot be counted under more than one Type of Hectare disaggregate category.

Management practice and technology type categories, with some illustrative (not exhaustive) examples, include:

- Crop genetics: e.g. improved/certified seed that could be higher-yielding or higher in nutritional content (e.g. through bio-fortification, such as vitamin A-rich sweet potatoes or rice, or high-protein maize), and/or more resilient to climate impacts (e.g. drought tolerant maize or stress tolerant rice); improved germplasm.
- Cultural practices: context specific agronomic practices that do not fit in other categories, e.g. seedling production and transplantation; cultivation practices such as planting density, crop rotation, and mounding.
- Livestock management: e.g. improved grazing practices, improved fodder crop, cultivation of dual purpose crops.
- Wild-caught fisheries management: e.g. sustainable fishing practices.
- Aquaculture management: e.g. pond culture; pond preparation; management of carrying capacity.
- Natural resource or ecosystem management: e.g. biodiversity conservation; strengthening of ecosystem services, including stream bank management or restoration or re/afforestation; woodlot management.
- Pest and disease management: e.g. Integrated Pest Management; improved fungicides; appropriate application of fungicides; improved and environmentally sustainable use of cultural, physical, biological, and chemical insecticides and pesticides; crop rotation; alflatoxin prevention and control during production.

- Soil-related fertility and conservation: e.g. Integrated Soil Fertility Management; soil management practices that increase biotic activity and soil organic matter levels, such as soil amendments that increase fertilizer-use efficiency (e.g. soil organic matter, mulching); improved fertilizer; improved fertilizer use practices; inoculant; erosion control.
- Irrigation: e.g. drip, surface, and sprinkler irrigation; irrigation schemes.
- Agriculture water management - non-irrigation-based: e.g. water harvesting; sustainable water use practices; practices that improve water quality.
- Climate mitigation: technologies selected because they minimize emission intensities relative to other alternatives (while preventing leakage of emissions elsewhere). Examples include low- or no-till practices; restoration of organic soils and degraded lands; efficient nitrogen fertilizer use; practices that promote methane reduction; agroforestry; introduction/expansion of perennials; practices that promote greater resource use efficiency (e.g. drip irrigation).
- Climate adaptation/climate risk management: technologies promoted with the explicit objective of reducing risk and minimizing the severity of climate change. Examples include drought and flood resistant varieties; short-duration varieties; adjustment of sowing time; diversification, use of perennial varieties; agroforestry.
- Other: e.g. improved mechanical and physical land preparation; non-market- and non-climate-related information technology; improved record keeping; improved budgeting and financial management; Improved capacity to repair agricultural equipment; improved quality of agricultural products or technology.

If a lead farmer cultivates a plot used for training, e.g a demonstration plot used for Farmer Field Days or Farmer Field School, the area of the demonstration plot should be counted under this indicator, and the farmer counted under FFPr Standard Indicator 4 *Number of individuals in the agriculture system who have applied improved management practices or technologies with USDA assistance*. However, if the demonstration or training plot is cultivated by extensionists or researchers, e.g. a demonstration plot in a research institute, neither the area nor the extensionist/researcher should be counted under the respective indicators.

This is a snapshot indicator, which is designed to capture area under improved management practices and technologies only for the reporting year. The baseline is the area under improved management practices and technologies promoted by the activity at the start of the activity. The area under the USDA activity-promoted practice or technology during the project period still gets counted in any subsequent years the practice or technology is applied. However, this also means that yearly totals can NOT be summed to count unique hectares under improved management practices and technologies over the life of the project.

Recipients may use sales data from assisted firms for some kinds of inputs to estimate the number of producers for FFPr Standard Indicator 4 *Number of individuals in the agriculture system who have applied improved management practices or technologies with USDA assistance* and Indicator 3 *Number of hectares under improved management practices or technologies with USDA assistance* if they use clearly documented assumptions that are regularly validated through spot surveys or similar methods. For example, a Recipient

working to strengthen the certified soy seed market within a defined market area could use data on the number and volume of certified soy seed sales by assisted firms during the reporting year to estimate the number of farmers applying certified soy seed (for example, by using a conservative assumption that one sales equals one farmer applying) and hectares under certified seed by assuming a periodically validated planting density. All assumptions underlying the indicator estimates should be documented annually in an Indicator Comment.

For cultivated cropland, these three indicators *Number of hectares under improved management practices or technologies with USDA assistance*, *Number of individuals in the agriculture system who have applied improved management practices or technologies with USDA assistance,* and *Yield of targeted agricultural commodities among program participants with USDA assistance* (FFPr Standard Indicators 3, 4, and 1, respectively) only capture results for land that is individually managed. However, communally- or group-managed areas under extensive "Type of Hectares" disaggregates, such as conservation landscapes or rangeland, can be reported under Standard Indicator 3 under the association-applied category under the Sex and Age disaggregate. Association-applied would be applicable for landscapes where communities or organizations develop and adhere to policies regarding management, harvest, protection, etc.

[1] Type of hectare disaggregates defined as:

- Crop land: areas used for the production of crops for harvest, including cultivated, harvested, fallow or crop failure. Include home gardens in this category.
- Cultivated pasture: land where forage crops are primarily grown for grazing.
- Rangelands: land on which the native vegetation (climax or natural potential plant community) is predominantly grasses, grass-like plants, forbs, or shrubs suitable for grazing or browsing use.
- Conservation/protected areas: terrestrial areas that are protected because of their recognized, natural, ecological, or cultural values. The protected status may fall into different categories and include strictly protected to those that allow for some limited human occupation and/or sustainable use of natural resources, such as agroforestry, collection of NTFPs, etc.
- Fresh-water or marine ecosystems: aquatic areas that include freshwater, such as lakes, ponds, rivers, streams, springs, and freshwater wetlands, and water with higher salt content, such as salt marshes, mangroves, estuaries and bays, oceans, and marine wetlands.
- Aquaculture: areas dedicated to the breeding, rearing, and harvesting of aquatic animals and plants for food. All types of fisheries should be estimated in hectares, not cubic meters, for the purpose of aggregation across projects.
- Other: Areas that don't fit into these categories. Please describe the Hectare type in the indicator comment.

RATIONALE: Tracks successful adoption of technologies and management practices in an effort to improve agricultural productivity, agricultural water productivity, sustainability, and resilience to climate impacts.

INDICATOR CHARACTERISTICS

UNIT OF MEASURE:	INDICATOR LEVEL:	DIRECTION OF CHANGE:	FREQUENCY OF REPORTING:
Number: Hectares	Outcome	Higher is better	Annually covering the period: October 1 – September 30

DISAGGREGATION:

FIRST LEVEL

Type of Hectare:

- Crop land,
- Cultivated pasture,
- Rangeland,
- Conservation/protected area,
- Freshwater or marine ecosystems;
- Aquaculture,
- Other

SECOND LEVEL:

Sex: Male, Female, Association-applied

Age: 15-29, 30+, Association-applied

Management practice or technology type (see description, above): Crop genetics, Cultural practices, Livestock management, Wild-caught fisheries management, Aquaculture management, Natural resource or ecosystem management, Pest and disease management, Soil-related fertility and conservation, Irrigation, Agriculture water management-non-irrigation based, Climate mitigation, Climate adaptation/climate risk management, Other

Commodity:

Type of crop, type of animal or animal product, type of fish – freshwater or marine, or "Disaggregates not available"

Note: Horticultural product-specific disaggregation is not required for this indicator. The overall "horticulture" commodity disaggregate can be used if desired.

Activities promoting sustainable intensification or those where multiple commodities are involved where counting hectares is complicated and not meaningful are not required to disaggregate by commodity, and should use the "Disaggregates not available" category under the Commodities disaggregate.

DATA SOURCE:

WHO COLLECTS DATA FOR THIS INDICATOR: Data will be collected by Recipients.

HOW SHOULD IT BE COLLECTED: Sample survey of activity participants, activity or association records, reports from activity partners, farm records. If a sample survey of participants is conducted, data may be collected through participant interviews and/or direct observations of measures of participants' land.

MEASUREMENT NOTES:

Since it is very common for FFPr activities to promote more than one improved management practice or technology, this indicator allows the tracking of the number of hectares under the different management practices and technology types and the total *unique* number of hectares on which one or more practices or technologies has been applied at the activity level.

- If a participant applied more than one improved technology during the reporting year, count that area on which the participant applied those technologies under each relevant Management Practice type applied under the relevant Hectare type. However, count the area only once in the applicable Sex, Age and Commodity disaggregate categories under the relevant Hectare type. This will not result in double-counting for the total in FTFMS.
- If an activity is promoting a single technology for multiple benefits, the area under the technology may be reported under each relevant category under the Management Practice/Technology Type disaggregate. For example, drought tolerant seeds could be reported under Crop genetics and Climate adaptation/climate risk management depending for what purpose(s) or benefit(s) the activity was promoted.
- If a participant cultivates a plot of land more than once in the reporting year, the area should be counted each time one or more improved management practice/technology is applied. For example, because of access to irrigation as a result of a FFPr activity, a farmer can now cultivate two cycles of crops instead of one. If the farmer applies USDA-promoted technologies on her/his plot for the two cycles, the area of the plot would be counted twice under this indicator. Note that the farmer would only be counted once under Standard Indicator 4 *Number of individuals in the agriculture system who have applied improved management practices or technologies with USDA assistance*.

For example: An activity supports dissemination of improved seed, Integrated Pest Management, and drip irrigation. During the reporting year, a total of 1,000 hectares were under improved technologies: 800 with improved seed, 600 with IPM and 950 with drip irrigation.

There should be a clear link between Indicator 3, the *Number of hectares under improved management practices and technologies* and Indicator 4, the *Number of individuals in the agriculture system who have applied improved management practices or technologies with USDA assistance.* If a producer applied improved management practices and technologies to his/her land, then the producer would be counted under Indicator 4 and the # of hectares s/he applied the new techniques or technologies on would be counted in Indicator 3.

BASELINE INFO: The baseline is the area under improved management practices and technologies promoted by the activity at the start of the activity.

DATA ENTRY IN FAIS:

The indicator title must be entered into the relevant performance reporting section of FAIS ***VERBATIM*** to allow for the information to be collected correctly.	
RELATIONSHIP TO THE FEED THE FUTURE (FtF) INITIATIVE	
FtF INDICATOR: Yes [EG.3.2-25]	**DEFINITIONAL AND MEASURMENT NOTES:** For more guidance on the Feed the Future indicator, please refer to the Feed the Future Indicator Handbook (https://www.agrilinks.org/post/feed-future-indicator-handbook).

FFPr RESULTS FRAMEWORK 1: Increased Agricultural Productivity	**FFPr 1.2:** Increased Use of Improved Agricultural Techniques and Technologies **FFPr 1.3**: Improved Farm Management
FFPr INDICATOR 4: Number of individuals in the agriculture system who have applied improved management practices or technologies with USDA assistance	

DEFINITION: This indicator measures the total number of agriculture system actors participating in USDA-funded activities who have applied improved management practices and/or technologies promoted by USDA anywhere within the food and agriculture system during the reporting year. These individuals can include:

- Farmers, ranchers, and other primary sector producers of food and nonfood crops, livestock and livestock products, fish and other fisheries/aquaculture products, agro-forestry products, and natural resource-based products, including non-timber forest products such as fruits, seeds, and resins;
- Individuals in the private sector, such as entrepreneurs, input suppliers, traders, processors, manufacturers, distributors, service providers, and wholesalers and retailers;
- Individuals in government, such as policy makers, extension workers and natural resource managers;
- Individuals in civil society, such as researchers or academics and non-governmental and community organization staff.

The indicator tracks those individuals who are changing their behavior while participating in USDA-funded activities. Individuals who attended training or were exposed to a new technology do not count under this indicator unless the individual actually applies what she/he learned.

Improved management practices or technologies are those promoted by the recipient as a way to increase agriculture productivity or support stronger and better functioning systems. The improved management practices and technologies are agriculture-related.

Management practice and technology type categories, with some illustrative (not exhaustive) examples, include:

- Crop genetics: e.g. improved/certified seed that could be higher-yielding, higher in nutritional content (e.g. through bio-fortification, such as vitamin A-rich sweet potatoes or rice, high-protein maize), and/or more resilient to climate impacts (e.g. drought tolerant maize, or stress tolerant rice); improved germplasm.
- Cultural practices: context specific agronomic practices that do not fit in other categories, e.g. seedling production and transplantation; cultivation practices such as planting density, crop rotation, and mounding.
- Livestock management: e.g. improved livestock breeds; livestock health services and products such as vaccines; improved livestock handling practices and housing; improved feeding practices; improved grazing practices, improved waste management practices, improved fodder crop, cultivation of dual purpose crops.

- Wild-caught fisheries management: e.g. sustainable fishing practices; improved nets, hooks, lines, traps, dredges, trawls; improved hand gathering, netting, angling, spearfishing, and trapping practices.
- Aquaculture management: e.g. improved fingerlings; improved feed and feeding practices; fish health and disease control; improved cage culture; improved pond culture; pond preparation; sampling and harvesting; management of carrying capacity.
- Natural resource or ecosystem management: e.g. terracing, rock lines; fire breaks; biodiversity conservation; strengthening of ecosystem services, including stream bank management or restoration or re/afforestation; woodlot management.
- Pest and disease management: e.g. Integrated Pest Management; improved fungicides; appropriate application of fungicides; improved and environmentally sustainable use of cultural, physical, biological, and chemical insecticides and pesticides; crop rotation; aflatoxin prevention and control.
- Soil-related fertility and conservation: e.g. Integrated Soil Fertility Management; soil management practices that increase biotic activity and soil organic matter levels, such as soil amendments that increase fertilizer-use efficiency (e.g. soil organic matter, mulching); improved fertilizer; improved fertilizer use practices; inoculant; erosion control.
- Irrigation: e.g. drip, surface, and sprinkler irrigation; irrigation schemes.
- Agriculture water management - non-irrigation-based: e.g. water harvesting; sustainable water use practices; practices that improve water quality.
- Climate mitigation: technologies selected because they minimize emission intensities relative to other alternatives (while preventing leakage of emissions elsewhere). Examples include low- or no-till practices; restoration of organic soils and degraded lands; efficient nitrogen fertilizer use; practices that promote methane reduction; agroforestry; introduction/expansion of perennials; practices that promote greater resource use efficiency (e.g. drip irrigation, upgrades of agriculture infrastructure and supply chains).
- Climate adaptation/climate risk management: technologies promoted with the explicit objective of reducing risk and minimizing the severity of the impacts of climate change. Examples include drought and flood resistant varieties; short-duration varieties; adjustment of sowing time; agricultural/climate forecasting; early warning systems; diversification, use of perennial varieties; agroforestry; risk insurance.
- Marketing and distribution: e.g. contract farming technologies and practices; improved input purchase technologies and practices; improved commodity sale technologies and practices; improved market information system technologies and practices.
- Post-harvest handling and storage: e.g. improved transportation; decay and insect control; temperature and humidity control; improved quality control technologies and practices; sorting and grading, sanitary handling practices.
- Value-added processing: e.g. improved packaging practices and materials including biodegradable packaging; food and chemical safety technologies and practices; improved preservation technologies and practices.
- Other: e.g. improved mechanical and physical land preparation; non-market- and non-climate-related information technology; improved record keeping; improved budgeting and financial management; Improved capacity to repair agricultural equipment; improved quality of agricultural products or technology.

This indicator endeavors to capture the individuals who have made the decision to apply a particular management practice or technology, not those who have had to do so as a condition of employment or an obligation.

RATIONALE: Improved management practices and technological change and adoption by different actors in the agricultural system will be critical to increasing agricultural productivity and supporting stronger and better functioning systems.

INDICATOR CHARACTERISTICS

UNIT OF MEASURE:	**INDICATOR LEVEL:**	**DIRECTION OF CHANGE:**	**FREQUENCY OF REPORTING:**
Number: Individuals	Outcome	Higher is better	Annually covering the period: October 1 – September 30

DISAGGREGATION:

DISAGGREGATE BY:

FIRST LEVEL

Value chain actor type:

- Smallholder producers (e.g. farmers, ranchers, and other primary sector producers of food and nonfood crops, livestock products, wild fisheries, aquaculture, agro-forestry, and natural resource-based products)
- Non-smallholder producers (e.g. farmers, ranchers, and other primary sector producers of food and nonfood crops, livestock products, wild fisheries, aquaculture, agro-forestry, and natural resource-based products)
- People in government (e.g. policy makers, extension workers)
- People in private sector firms (e.g. processors, service providers, manufacturers)
- People in civil society (e.g. staff and volunteers from non-governmental organizations, community-based organizations, research and academic organizations)
- Others

Note: Only count producers under the "Producers" disaggregate and not the "Private Sector Firms" disaggregate to avoid double-counting. While private sector firms are considered part of civil society more broadly, only count them under the "Private Sector Firms" disaggregate and not the "Civil Society" disaggregate to avoid double-counting.

Smallholder Definition: While country-specific definitions may vary, use the Feed the Future definition of a smallholder producer, which is one who holds 5 hectares or less of arable land or equivalent units of livestock, i.e. cattle: 10 beef cows; dairy: two milking cows; sheep and goats: five adult ewes/does; camel meat and milk: five camel cows; pigs: two adult sows; chickens: 20 layers and 50 broilers. The farmer does not have to own the land or livestock.

SECOND LEVEL

Sex: Male, Female

Age: 15-29, 30+

Management practice or technology type: Crop genetics, Cultural practices, Livestock management, Wild-caught fisheries management, Aquaculture management, Natural resource or ecosystem management, Pest and disease management, Soil-related fertility and conservation, Irrigation, Agriculture water management-non-irrigation based, Climate mitigation, Climate adaptation/climate risk management, Marketing and distribution, Post-harvest handling and storage, Value-added processing, Other

Commodity:
Type of crop, type of animal or animal product, type of fish – freshwater or marine, or "Disaggregate not applicable".
Note: Horticultural product-specific disaggregation is not required for this indicator. The overall "horticulture" commodity disaggregate can be used if desired.

Activities promoting sustainable intensification or those where multiple commodities are involved (e.g. transportation), where counting participants by commodity is complicated and/or not meaningful are not required to disaggregate participants by commodity, and should use the "Disaggregate not applicable" category under the Commodity disaggregate.

DATA SOURCE:
WHO COLLECTS DATA FOR THIS INDICATOR: Data will be collected by Recipients.

HOW SHOULD IT BE COLLECTED: Data will be collected via sample survey of participants, census of private sector/government participants, project or association records, farm records, company/organization records.

MEASUREMENT NOTES: All significant improvements to existing techniques or technologies should be counted. In a case where, for example, an individual applies more than one innovation as a result of USDA assistance, count the individual once in the applicable Value chain actor type, Sex, and Age disaggregate categories. If more than one participant in a household is applying improved technologies, count all the adult participants. Individuals should only be counted once per reporting year under the Value chain actor type, Sex, and Age disaggregate categories.

Since it is common for USDA-funded activities to promote more than one improved technology or management practice to producers and other individuals, this indicator allows the tracking of the total number of participants that apply any improved management practice or technology during the reporting year and the tracking of the total number of participants that apply practices or technologies in specific management practice and technology type categories.

- Count the participant if they have applied a management practice or technology promoted with USDA assistance at least once in the reporting year.
- Count each participant only once per year in the applicable Sex disaggregate category and Age disaggregate category to track the number of individuals applying USDA-promoted management practices or technology types. If more than one participant in a household is applying improved technologies, count each participant in the household who does so.

- Under the Commodity disaggregate, count each participant once under each commodity for which they apply a USDA-promoted management practice or technology type. For example, if a participant uses USDA-promoted improved seed for the focus commodities of maize and legume, count that participant once under maize and once under legumes.
- Count each individual once per management practice or technology type once per year under the appropriate Management practice/technology type disaggregate. Individuals can be counted under a number of different Management practices/technology types in a reporting year.

This indicator counts individuals who applied improved management practices and technologies learned through training provided through USDA assistance. Therefore, there should be a clear link between Indicator 4, *Number of individuals in the agriculture system who have applied improved management practices or technologies with USDA assistance* and Indicator 21, *Number of individuals who have received short-term agricultural sector productivity or food security training*.

Furthermore, there should be a clear link between Indicator 3, *Number of hectares under improved management practices or technologies* and Indicator 4, *Number of individuals in the agriculture system who have applied improved management practices or technologies with USDA assistance*. If a farmer applied improved management practices or technologies to his/her land, then the farmer would be counted under Indicator 4 and the # of hectares s/he applied the improved management practices or technologies on would be counted in Indicator 3.

BASELINE INFO: Baseline is the number of participant producers and other actors applying improved management practices or technologies promoted by the activity at the start of the activity.

DATA ENTRY IN FAIS:
The indicator title must be entered into the relevant performance reporting section of FAIS ***VERBATIM*** to allow for the information to be collected correctly.

RELATIONSHIP TO THE FEED THE FUTURE (FtF) INITIATIVE

FtF INDICATOR:	**DEFINITIONAL AND MEASUREMENT NOTES:**
Yes [EG.3.2-24]	For more guidance on the Feed the Future indicator, please refer to the Feed the Future Indicator Handbook (https://www.agrilinks.org/post/feed-future-indicator-handbook).

FFPr RESULTS FRAMEWORK 1: Increased Agricultural Productivity **FFPr RESULTS FRAMEWORK 2:** Expanded Trade of Agricultural Products	**FFPr 1.2.3/2.2.3.1/2.3.1.1:** Increased Use of Financial Services

FFPr INDICATOR 5: Number of individuals accessing agriculture-related financing as a result of USDA assistance

DEFINITION: Total number of agricultural producers (individual farmers, fishers, cooperatives, etc.), input suppliers, transporters, processors, other Micro, Small and Medium enterprises (MSME), and larger enterprises that are in a targeted agricultural value chain and are participating in a USDA-funded activity that access agriculture-related financing with USDA assistance. This indicator counts individuals accessing debt (both cash and in-kind loans) and non-debt financing.

USDA assistance may consist of technical assistance, full or partial guarantee provision, insurance coverage, or other capacity-building and market-strengthening activities to producers, organizations and enterprises.

Debt: Count individuals accessing cash loans and of in-kind lending. For cash loans, count only individuals accessing credit through formally registered financial institutions[1]. The institutions can be of any size from microfinance institutions to national commercial banks, as well as any non-deposit taking financial institutions and other types of financial NGOs. In-kind lending in agriculture is the provision of services, inputs, or other goods up front, with payment in the form of product (value of service, input, or other good provided plus interest) or cash provided at the end of the season. Assumptions used to calculate the value of in-kinds loans should be documented and made available for data quality assessments.

Non-Debt: Count individuals accessing any financing other than cash loans and in-kind lending. Examples include: equity, convertible debt, or other equity-like investments, which can be made by local or international investors; and leasing, which may be extended by local banks or specialized leasing companies.

[1] Individuals accessing agriculture-related financing through informal groups are not included because this indicator is attempting to capture the systems-level changes that occur through increased access to formal financial services.

RATIONALE: Increased access to and utilization of finance will help expand markets and trade, which will, in turn, expand agricultural productivity.

INDICATOR CHARACTERISTICS

UNIT OF MEASURE:	**INDICATOR LEVEL:**	**DIRECTION OF CHANGE:**	**FREQUENCY OF REPORTING:**
Number: Individuals	Output	Higher is better	Annually covering the period: October 1 – September 30

DISAGGREGATION:

FIRST LEVEL
Type of financing accessed: **Debt**

SECOND LEVEL
Type of debt: Cash, In-kind

Size of recipient: Individuals/microenterprises; Small and medium enterprises; Large enterprises and corporations.

Microenterprises employed <10 people in the previous 12 months, small enterprises employed 10-49 people, medium enterprises employed 50-249 individuals and large enterprises and corporations employed >250 individuals.

Sex of producer or proprietor(s): Male, female, mixed

If the enterprise is a single proprietorship, the sex of the proprietor should be used for classification. If the enterprise has more than one proprietor, classify the firm as Male if all of the proprietors are male, as Female if all of the proprietors are female, and as Mixed if the proprietors are male and female.

Age: 15-29, 30+, mixed

If the enterprise is a single proprietorship, the age of the proprietor should be used for classification. If the enterprise has more than one proprietor, classify the firm as 15-29 if all of the proprietors are aged 15-29, as 30+ if all of the proprietors are aged 30+, and as Mixed if the proprietors are from both age groups.

FIRST LEVEL
Type of financing accessed: **Non-debt**

SECOND LEVEL
Size of recipient: Individuals/microenterprises; Small and medium enterprises; Large enterprises and corporations.

Sex of producer or proprietor(s): Male, female, mixed

Age: 15-29, 30+, mixed

DATA SOURCE:
WHO COLLECTS DATA FOR THIS INDICATOR: Data will be collected by Recipients.

HOW SHOULD IT BE COLLECTED: Data will be collected through a survey of targeted individuals of FFPr projects, review of bank/financial institution or USDA records, or survey of financial institutions.

MEASUREMENT NOTES: The indicator does not measure the value of the assistance but the number of individuals who accessed financing as a result of USDA assistance. **Count each individual only once per reporting year within each financial product category** (debt and non-debt), even if the individual accessed financing multiple times in the reporting year.

However, an individual may be counted under each financial product category (debt and non-debt) if both types of financing were accessed during the reporting year. Individuals participating in group-based savings, lending or microfinance programs should be counted under Indicator 6.

Indicator 5 measures the number of *individuals* accessing financing. Indicator 7 measures the number of *loans* disbursed to farmers and others, and Indicator 8 measures the *value* of agriculture-related financing accessed by producers and other value chain participants.

BASELINE INFO: Baseline is zero.

DATA ENTRY IN FAIS:
The indicator title must be entered into the relevant performance reporting section of FAIS ***VERBATIM*** to allow for the information to be collected correctly.

RELATIONSHIP TO THE FEED THE FUTURE (FtF) INITIATIVE

FtF INDICATOR:	**DEFINITIONAL AND MEASUREMENT NOTES:**
Yes [EG.3.2-27]	FtF collects this information as part of the Value of agriculture-related financing indicator. In order to capture this data in USDA's database system, a separate indicator on volume has been developed. For more guidance on the Feed the Future indicator, please refer to the Feed the Future Indicator Handbook (https://www.agrilinks.org/post/feed-future-indicator-handbook).

FFPr RESULTS FRAMEWORK 1: Increased Agricultural Productivity **FFPr RESULTS FRAMEWORK 2:** Expanded Trade of Agricultural Products	**FFPr 1.2.3, 2.2.3.1, 2.3.1.1:** Increased Use of Financial Services

FFPr INDICATOR 6: Number of individuals participating in group-based savings, micro-finance or lending programs with USDA assistance

DEFINITION: This indicator tracks individual participation in group-based savings, microfinance, or lending programs. This performance indicator tracks financial inclusion and captures the uptake of financial services by the participants of USDA-funded activities.

Group-based savings programs are formal or informal community programs that serve as a mechanism for people in poor communities with otherwise limited access to financial services to pool their savings. The specific composition and function of the savings groups vary and can include rotating loan disbursement. The definition is inclusive of all of the different types of group-based savings programs, including programs that promote mobile savings. Participants in village savings and lending associations assisted by USDA should be counted under this indicator.

It should be noted that the indicator captures the numbers who are participating but does not say anything about the intensity of participation. Furthermore, while summing the number of individuals participating in savings and credit programs is acceptable as a measure of financial inclusion, saving and credit are functionally different and the numbers participating in each type of program should not be compared against each other. Savings groups have added benefits, like fostering social capital, that also contribute to resilience and a household's ability to manage risk and protect their well-being.

RATIONALE: Access to group-based savings, microfinance, or lending programs is one pathway to a household's financial inclusion. Access to financial services is important for households to diversify their livelihood strategies, protect well-being outcomes and manage risks.

INDICATOR CHARACTERISTICS

UNIT OF MEASURE:	**INDICATOR LEVEL:**	**DIRECTION OF CHANGE:**	**FREQUENCY OF REPORTING:**
Number: Individuals	Output	Higher is better	Annually covering the period: October 1 – September 30

DISAGGREGATION:

Sex: Female, Male

Age: 15-29, 30+

Product Type: Savings, Credit

Duration:

- New = participated in a savings, micro-finance or lending program for the first time in the reporting year

- Continuing = participated in a savings, micro-finance or lending program in a previous reporting year and continues to participate in a savings, micro-finance or lending program in the current reporting year

DATA SOURCE:
WHO COLLECTS DATA FOR THIS INDICATOR: Data will be collected by Recipients.

HOW SHOULD IT BE COLLECTED: Participant-based survey, activity records.

MEASUREMENT NOTES:
If someone participates in both savings and credit programs they should be counted for both of the product type disaggregates, but only once for the age, sex, and duration disaggregates.

Individuals should be reported in the "new" duration disaggregate in the first reporting year they participate, and in the "continuing" duration disaggregate in any subsequent reporting years in which they participate.

BASELINE INFO: Baseline is zero.

DATA ENTRY IN FAIS:
The indicator title must be entered into the relevant performance reporting section of FAIS ***VERBATIM*** to allow for the information to be collected correctly.

RELATIONSHIP TO THE FEED THE FUTURE (FtF) INITIATIVE

FtF INDICATOR:	**DEFINITIONAL AND MEASURMENT NOTES:**
Yes [EG.4.2-7]	For more guidance on the Feed the Future indicator, please refer to the Feed the Future Indicator Handbook (https://www.agrilinks.org/post/feed-future-indicator-handbook).

FFPr RESULTS FRAMEWORK 1: Increased Agricultural Productivity **FFPr RESULTS FRAMEWORK 2:** Expanded Trade of Agricultural Products	**FFPr 1.2.3/2.2.3.1/2.3.1.1:** Increased Use of Financial Services

FFPr INDICATOR 7: Number of loans disbursed as a result of USDA assistance

DEFINITION: This indicator captures the number of loans made/disbursed during the reporting year as a result of USDA assistance to producers, input suppliers, transporters, processors, other MSMEs, and larger enterprises that are in a targeted agricultural value chain.

The indicator counts loans disbursed to the recipient not loans merely in process (e.g. loan applications, loan applications approved but not yet available to the recipient). Count cash loans and the value of in-kind lending. For cash loans, count only loans made by financial institutions and not by informal groups such as village savings and loan groups that are not formally registered as a financial institution.[1] The loans counted can be made by any size financial institution from microfinance institutions to national commercial banks, as well as non-deposit taking financial institutions and other types of financial NGOs.

The number of loans accessed through informal groups is not included because this indicator is attempting to capture the systems-level changes that occur through increased access to formal financial services.

RATIONALE: Making more financial loans shows that there is improved access to business development and financial services. This, in turn, will help expand markets and trade and should also contribute to increased agricultural productivity.

INDICATOR CHARACTERISTICS

UNIT OF MEASURE:	**INDICATOR LEVEL:**	**DIRECTION OF CHANGE:**	**FREQUENCY OF REPORTING:**
Number: Loans	Output	Higher is better	Biannually covering the periods: October 1-March 31 and April 1-September 30

DISAGGREGATION: None

DATA SOURCE:

WHO COLLECTS DATA FOR THIS INDICATOR: Data will be collected by Recipients.

HOW SHOULD IT BE COLLECTED: Data will be collected through a survey of targeted individuals of FFPr projects, a review of banking/lending institution records or a survey of survey of financial institutions.

MEASUREMENT NOTES:

Indicator 5 measures the number of *individuals* accessing debt and non-debt financing. Indicator 7 measures the number of *loans* (debt financing) disbursed to producers and others, and Indicator 8 measures the *value* of agriculture-related financing accessed.

BASELINE INFO: Baseline is zero.

DATA ENTRY IN FAIS:

The indicator title must be entered into the relevant performance reporting section of FAIS ***VERBATIM*** to allow for the information to be collected correctly.

RELATIONSHIP TO THE FEED THE FUTURE (FtF) INITIATIVE	
FtF INDICATOR: No	**DEFINITIONAL AND MEASUREMENT NOTES:** None

FFPr RESULTS FRAMEWORK 1: Increased Agricultural Productivity **FFPr RESULTS FRAMEWORK 2:** Expanded Trade of Agricultural Products	**FFPr 1.2.3/2.2.3.1/2.3.1.1:** Increased Use of Financial Services
FFPr INDICATOR 8: Value of agriculture-related financing accessed as a result of USDA assistance	
DEFINITION: This indicator sums the total U.S. dollar value of debt (both cash and in-kind loans) and non-debt financing, such as equity financing, disbursed during the reporting year as a result of USDA-assistance to producers (individual farmers, fishers, cooperatives, etc.), input suppliers, transporters, processors, other MSMEs, and larger enterprises that are in a targeted agricultural value chain. The indicator counts the value of non-debt financing and both cash and non-cash lending <u>disbursed to the participant</u>, not financing merely committed (e.g., loans in process, but not yet available to the participant). <u>Debt:</u> Count cash loans and the value of in-kind lending. For cash loans, count only loans made by financial institutions and not by informal groups such as village savings and loan groups that are not formally registered as a financial institution [1]. However, the loans counted can be made by any size financial institution from microfinance institutions through national commercial banks, as well as any non-deposit taking financial institutions and other types of financial NGOs. In-kind lending in agriculture is the provision of services, inputs, or other goods up front, with payment usually in the form of product (value of service, input, or other good provided plus interest) provided at the end of the season. For in-kind lending, USDA may facilitate in-kind loans of inputs (e.g., fertilizer, seeds) or equipment usage (e.g. tractor, plow) via implementing partners or partnerships. NOTE: formal leasing arrangements should be captured in non-debt financing section below), or transport with repayment in kind. <u>Non-Debt:</u> Count any financing received other than cash loans and in-kind lending. Examples include: equity, convertible debt, or other equity-like investments, which can be made by local or international investors; and leasing, which may be extended by local banks or specialized leasing companies. The value of loans accessed through informal groups is not included because this indicator is attempting to capture the systems-level changes that occur through increased access to formal financial services.	
RATIONALE: Increased access to finance demonstrates improved inclusion in the financial sector and appropriate financial service offerings. This, in turn, will help expand markets and trade and ought to also contribute to expanding agricultural productivity which will help achieve the key objective of defining inclusive agricultural sector more broadly than just crop production. In turn, this contributes to both goals of reducing poverty and hunger.	

INDICATOR CHARACTERISTICS			
UNIT OF MEASURE: US Dollars	**INDICATOR LEVEL:** Output	**DIRECTION OF CHANGE:** Higher is better	**FREQUENCY OF REPORTING:** Annually covering the period: October 1 – September 30
DISAGGREGATION:			

FIRST LEVEL
Type of financing accessed: **Debt**

SECOND LEVEL
Type of debt: Cash, In-kind

Size of recipient: Individuals/microenterprises; Small and medium enterprises; Large enterprises and corporations.

Microenterprises employed <10 people in the previous 12 months, small enterprises employed 10-49 people, medium enterprises employed 50-249 individuals and large enterprises and corporations employed >250 individuals.

Sex of producer or proprietor(s): Male, female, mixed

If the enterprise is a single proprietorship, the sex of the proprietor should be used for classification. If the enterprise has more than one proprietor, classify the firm as Male if all of the proprietors are male, as Female if all of the proprietors are female, and as Mixed if the proprietors are male and female.

Age: 15-29, 30+, mixed

If the enterprise is a single proprietorship, the age of the proprietor should be used for classification. If the enterprise has more than one proprietor, classify the firm as 15-29 if all of the proprietors are aged 15-29, as 30+ if all of the proprietors are aged 30+, and as Mixed if the proprietors are from both age groups.

FIRST LEVEL
Type of financing accessed: **Non-debt**

SECOND LEVEL
Size of recipient: Individuals/microenterprises; Small and medium enterprises; Large enterprises and corporations.

Sex of producer or proprietor(s): Male, female, mixed

Age: 15-29, 30+, mixed

DATA SOURCE:
WHO WILL COLLECT DATA FOR THIS INDICATOR: Data will be collected by Recipients.

HOW SHOULD IT BE COLLECTED: Data will be collected using a survey of targeted individuals of FFPr projects or financial institution and investor records.

MEASUREMENT NOTES:
Count targeted individuals within the scope of the USDA project. Convert local currency to US dollars at the average market foreign exchange rate for the reporting period or convert periodically throughout the year if there is rapid devaluation or appreciation. Report exchange rate in indicator narrative in FAIS.

Indicator 5 measures the number of *individuals* accessing financing. Indicator 7 measures the number of *loans* disbursed to producers and others, and Indicator 8 measures the *value* of agriculture-related financing accessed by farmers and other value chain participants.

Note: This indicator is related to Indicator 14 *Value of new USG commitments and new public and private sector investment leveraged by USDA to support food security and nutrition*. Where there is a USDA commitment such as a grant, guarantee provision, or insurance coverage, the resulting value of debt or non-debt financing accessed by participants of USDA-funded activities should be counted under this indicator. The total value of the private sector investment leveraged should be counted under Indicator 14. These two indicators will not be aggregated, thus there is no "double counting."

BASELINE INFO: Baseline is zero.

DATA ENTRY IN FAIS:
The indicator title must be entered into the relevant performance reporting section of FAIS ***VERBATIM*** to allow for the information to be collected correctly.

RELATIONSHIP TO THE FEED THE FUTURE (FtF) INITIATIVE

FtF INDICATOR:	**DEFINITIONAL AND MEASUREMENT NOTES:**
Yes [EG.3.2-27]	For more guidance on the Feed the Future indicator, please refer to the Feed the Future Indicator Handbook (https://www.agrilinks.org/post/feed-future-indicator-handbook).

FFPr RESULTS FRAMEWORK 1: Increased Agricultural Productivity	**FFPr 1.2.4:** Increased Knowledge of Improved Agricultural Techniques and Technologies
FFPr INDICATOR 9: Number of technologies, practices, and approaches under various phases of research, development, and uptake as a result of USDA assistance	

DEFINITION: This indicator tracks the progression of new or significantly improved technologies, practices, and approaches through research and development (R&D) to the demonstrated uptake by public or private sector stakeholders. The R&D process should be hypothesis driven, testable, and independently replicable. The technologies, practices, and approaches under R&D should have the potential to achieve significant improvements in reducing poverty, hunger, and malnutrition versus existing alternatives. Examples include a new seed variety, a new blend of fertilizer for a particular soil type, or proper sequencing of interventions to increase the adoption of a new technology. Support through USDA assistance includes human, financial, institutional support, in full or in part, for the discovery, research, development, testing, or making available for uptake by the public and private sector.

The technology, practice, or approach is disaggregated first into R&D categories, then into the phase of research. Definitions and illustrative examples of technologies, practices, and approaches by R&D category are:

● **Plant and Animal Improvement Research**: Includes trait, marker, and gene discovery for agriculturally important characteristics, coupled with application of conventional breeding and/or advanced biotechnological approaches for the genetic improvement of plant and animal species. Products include improved germplasm (varieties, breeds, etc.) that is higher-yielding, more resilient to biotic and abiotic stresses, higher in nutritional content (e.g. biofortified crops such as vitamin A-rich sweet potatoes, high-protein maize, or improved livestock breeds), and/or possesses improved market or processing traits.

● **Production Systems Research**: Includes Integrated Pest Management (including grafting), Sustainable Intensification (e.g. mechanization, small-scale irrigation, planting schedules, soil management), livestock management, post-harvest and food safety technologies; management practices for feed or food, Natural Resource Management, and vaccines and animal health services. Products include new land preparation, harvesting, processing and product-handling and food safety technologies and practices including packaging and storage methods; sustainable water and land management practices; and sustainable aquaculture and fisheries practices.

● **Social Science Research**: Includes research concerning the effectiveness of agricultural policy options (policy research); research on the socio-behavioral, socioeconomic, or sociopolitical factors that influence decision-making; economic research on products or approaches that overcome barriers to farmer investment in or adoption of improved technology and management practice, etc. (economic research); research or creation of new/improved tools for market access, including financial and insurance products (market access research); and nutrition research. Products include new risk management approaches, such as the integration of partially-subsidized index insurance into social safety nets that cost-effectively

increase the resilience of vulnerable households; and approaches to effectively and sustainably change nutrition behaviors or the adoption of improved seeds.

Technologies, practices and approaches should be reported under each phase reached during the reporting year. It is not required that all technologies, practices, and approaches pass through all four phases to be reported under the indicator nor is it essential that all investments start at Phase I. For example, a seed variety that is only being field-tested for country-level adaptation and then submitted for country-level certification would only be tracked through Phases II and III. However, any technology, practice, or approach that is reported under Phase IV must have been previously reported under Phase I, II, or III during the life of the activity.

Four phases of research, development, and uptake:

Phase I - Under research as a result of USDA assistance: Count new technologies, practices, or approaches under research in the current reporting year.

Phase II - Under field testing as a result of USDA assistance: "Under field testing" means that research has moved from focused development, where a promising technology or practice has been identified, to broader testing of effectiveness under conditions intended to resemble those that the potential users of the new technology will encounter.

Phase III - Made available for uptake as a result of USDA assistance: Count technologies, practices or approaches that are ready to be taken up or adopted by a public or private sector entity, which would then disseminate the technology, practice or approach to end users in a manner that promotes sustainable, widespread adoption at the population level.

Phase IV – Demonstrated uptake by the public and/or private sector with USDA assistance: A technology, practice, or approach has "demonstrated uptake" if any public- and/or private-sector actor has institutionalized or provided support for dissemination, independent of USDA assistance, at any point during the reporting period.

A technology, practice or approach should be reported each year it is actively in Phase I or Phase II during the mechanism's life of activity. A technology, practice, or approach reported under Phase III and IV should be counted only once per country by each recipient across the life of the project, and should be reported on during the first reporting year when the technology, practice or approach is made available for uptake (Phase III) or has demonstrated uptake (Phase IV).

RATIONALE: Research helps inform policy, strategic direction of programs, and methods to overcome barriers to implementation in developing country settings by strengthening the evidence-base for development. This indicator tracks the four phases of research and development and aligns with the cross-cutting contributions of research under the Global Food Security Strategy (GFSS) results framework.

INDICATOR CHARACTERISTICS			
UNIT OF MEASURE: Number	**INDICATOR LEVEL:**	**DIRECTION OF CHANGE:**	**FREQUENCY OF REPORTING:**

	Output (phases 1,2,3); Outcome (phase 4)	Progress to a higher phase is usually better.	Annually covering the period: October 1 – September 30

DISAGGREGATION:

Category of Research

- Plant and Animal Improvement Research
- Production Systems Research
- Social Science Research

Within each category disaggregate by phase of development:

- Under research as a result of USDA assistance
- Under field testing as a result of USDA assistance
- Made available for uptake as a result of USDA assistance
- Demonstrated uptake by the public and/or private sector with USDA assistance

DATA SOURCE:

WHO COLLECTS DATA FOR THIS INDICATOR: Data will be collected by Recipients.

HOW SHOULD IT BE COLLECTED: Activity records, reports or surveys

MEASUREMENT NOTES:

BASELINE INFO: Baseline is zero.

DATA ENTRY IN FAIS:

The indicator title must be entered into the relevant performance reporting section of FAIS ***VERBATIM*** to allow for the information to be collected correctly.

RELATIONSHIP TO THE FEED THE FUTURE (FtF) INITIATIVE

FtF INDICATOR: Yes [EG.3.2-7]	**DEFINITIONAL AND MEASURMENT NOTES:** For more guidance on the Feed the Future indicator, please refer to the Feed the Future Indicator Handbook (https://www.agrilinks.org/post/feed-future-indicator-handbook).

FFPr RESULTS FRAMEWORK 1: Increased Agricultural Productivity **FFPr RESULTS FRAMEWORK 2:** Expanded Trade of Agricultural Products	**FFPr 1.4.1/2.4.1** Increased Capacity of Government Institutions

FFPr INDICATOR 10: Number of individuals who have received USDA-supported degree-granting non-nutrition-related food security training

DEFINITION: This indicator measures the number of people who are currently enrolled in or have graduated during the reporting year from a degree-granting technical, vocational, associate, bachelor, master, or Ph.D. program. Degree candidates being supported through partial fellowships or exchange programs can be counted toward this indicator. A person who completes one degree-granting program in the fiscal year and is currently participating in another degree-granting program should be counted only once in the reporting year, no matter the length of either degree-granting program; she/he should be counted under the Continuing disaggregate.

Non-nutrition-related food security training includes training in areas such as agronomy, crop science, climate science, plant pathology, rural sociology, anthropology, agricultural economics, agricultural engineering, seed science and systems, bioinformatics, and conflict and conflict resolution.

This indicator measures individuals receiving degree-granting training; individuals applying new practices based on training should be reported under Indicator 4 *Number of individuals in the agriculture system who have applied improved management practices or technologies with USDA assistance*

RATIONALE: Measures enhanced human capacity for policy formulation, technology development and research/education capacity building and implementation, which is key to transformational development.

INDICATOR CHARACTERISTICS

UNIT OF MEASURE:	**INDICATOR LEVEL:**	**DIRECTION OF CHANGE:**	**FREQUENCY OF REPORTING:**
Number	Output	Higher is better	Annually covering the period: October 1 – September 30

DISAGGREGATION:

Sex: Male, Female

Duration:

- New = the individual received USDA-supported degree-granting training for the first time during the reporting year
- Continuing = the individual received USDA-supported degree-granting training in the previous year and continued to receive it in the reporting year

DATA SOURCE:

WHO COLLECTS DATA FOR THIS INDICATOR: Data will be collected by Recipients.

HOW SHOULD IT BE COLLECTED: Activity records

MEASUREMENT NOTES:

<table>
<tr><td colspan="2">BASELINE INFO: Baseline is zero.</td></tr>
<tr><td colspan="2">DATA ENTRY IN FAIS:
The indicator title must be entered into the relevant performance reporting section of FAIS VERBATIM to allow for the information to be collected correctly.</td></tr>
<tr><td colspan="2">RELATIONSHIP TO THE FEED THE FUTURE (FtF) INITIATIVE</td></tr>
<tr><td>FtF INDICATOR:
Yes [EG.3.2-2]</td><td>DEFINITIONAL AND MEASURMENT NOTES:
For more guidance on the Feed the Future indicator, please refer to the Feed the Future Indicator Handbook (https://www.agrilinks.org/post/feed-future-indicator-handbook).</td></tr>
</table>

FFPr RESULTS FRAMEWORK 1: Increased Agricultural Productivity **FFPr RESULTS FRAMEWORK 2:** Expanded Trade of Agricultural Products	**FFPr 1.4.1/2.4.1** Increased Capacity of Government Institutions

FFPr INDICATOR 11: Number of host government or community-derived risk management plans formally proposed, adopted, implemented or institutionalized with USDA assistance

DEFINITION: The indicator tracks the performance of activities working with national governments, regional and/or local governments and/or communities to develop, implement, and institutionalize risk management plans.

Risk is defined as the potential for an uncertain event or trend to have adverse consequences on lives; livelihoods; health; property; ecosystems and species; economic, social and cultural assets; service provision (including environmental services); and infrastructure.

Ideally, risk management plans should be nested within one another. The community plan should be nested within a local or regional government plan that should in turn be nested in the national plan. Activities can work at any of these levels and report under this indicator.

A risk management plan should:

- identify risks (for example flooding, drought, landslide),
- assess their likelihood (a 3 year drought versus a 50 year drought), and
- develop strategies to reduce risk exposure (before the shock), mitigate the impact of the risk and increase ability to cope (during the shock), and reduce recovery time (after the shock).

Understanding that the implementation of plans takes time, the indicator disaggregates by the stage in implementation (proposed, adopted, implemented, and institutionalized).

Stages of Implementation:

- **Proposed**: A plan is in the proposed stage when the activity has started working on or designing a risk management strategy in conjunction with the community or host government (all levels). A plan can be in this stage for multiple years.
- **Adopted**: A risk management plan is in the adoption phase if the plan has been officially accepted by the stakeholders (e.g. local community leaders, local governments, congress). A plan is considered officially adopted when there is a written document outlining roles and responsibilities with signatures as applicable.
- **Implementation**: A risk management plan is in the implementation phase if elements of the plan are being actively implemented. Implementation can be an ongoing process (examples of implementation activities are given in the Rationale section below).
- **Institutionalization**: The end goal is to have the host government or community internalize the risk management plan and take over administration, financing, and implementation, thus making the plan sustainable. Institutionalization will be different for government and community plans. Government institutionalization should be more structured and include a budget line item. Community institutionalization will be less formalized and will include more qualitative evidence that the community is invested

and providing and/or securing resources (monetary or in-kind) that will sustain implementation past the end of the activity.

A plan should be reported under only one plan type (government or community). But a plan should be reported under each stage reached during the reporting year. Recipients may report that a plan has been implemented in more than one year. For example, if in year one the community implements several actions under the plan to improve the management of water resources and in the next year works to develop a nursery to support reforestation efforts, the community can be counted and reported under the Implementation phase both years.

RATIONALE: In the geographic areas where Food for Progress works, research has shown that covariate shocks, and therefore people's exposure to risk, are cyclical and to be expected. Proactively developing risk management plans with strategies and potential coping mechanisms will reduce the impact on the community. Notably, risk exposure, particularly weather risk exposure, impacts behavior and livelihood decisions, ex ante, regardless of whether the shock actually occurs. Risk management plans can change the calculus and impact beneficiaries' behavior in the absence of a shock.

INDICATOR CHARACTERISTICS

UNIT OF MEASURE:	**INDICATOR LEVEL:**	**DIRECTION OF CHANGE:**	**FREQUENCY OF REPORTING:**
Number	Output	Higher is better	Annually covering the period: October 1 – September 30

DISAGGREGATION:
Type: Government, Community
Phase of development: Proposed, Adopted, Implemented, Institutionalized

DATA SOURCE:
WHO COLLECTS DATA FOR THIS INDICATOR: Data will be collected by Recipients.

HOW SHOULD IT BE COLLECTED: Activity records

MEASUREMENT NOTES:
BASELINE INFO: Baselines are required and should be collected at the onset of the activity. Baseline can be zero if there are no risk management plans at any of the stages of development in the target communities/levels of government prior to the start of the activity.

DATA ENTRY IN FAIS:
The indicator title must be entered into the relevant performance reporting section of FAIS ***VERBATIM*** to allow for the information to be collected correctly.

RELATIONSHIP TO THE FEED THE FUTURE (FtF) INITIATIVE

FtF INDICATOR:	**DEFINITIONAL AND MEASURMENT NOTES:**
Yes [RESIL-1]	For more guidance on the Feed the Future indicator, please refer to the Feed the Future Indicator Handbook (https://www.agrilinks.org/post/feed-future-indicator-handbook).

FFPr RESULTS FRAMEWORK 1: Increased Agricultural Productivity **FFPr RESULTS FRAMEWORK 2:** Expanded Trade of Agricultural Products	**FFPr 1.4.4/2.4.4:** Improved Capacity of Key Groups in the Agriculture Production Sector

FFPr INDICATOR 12: Number of organizations with increased performance with USDA assistance

DEFINITION: This indicator measures whether USDA-funded capacity development efforts have led to improved organizational performance in organizations receiving organizational performance improvement support.

This indicator should only be used when a project intentionally allocates resources (human, financial, and/or other) toward strengthening organizational capacity and undergoes a deliberate performance improvement process that is documented. With support from the recipient, each organization being supported should determine how it will define and monitor performance improvement based on its organizational mandate and strategic goals and objectives.

The recipient can count an organization under this indicator if:

(a) an organization demonstrates that it has undergone and documented at a minimum the following four steps:

1. Obtain organizational stakeholder input to define desired performance outputs or outcomes.
2. Analyze and assess performance gaps (the difference between desired performance and actual performance).
3. Select and implement performance improvement solutions.
4. Monitor and evaluate performance, and

(b) an organization demonstrates that its targets for performance improvement have been met or achieved. The recipient sets annual targets for this indicator based on how many organizations will have improved organizational performance each year.

Organizations may choose their preferred approach and/or tools for documenting the process and achievement of performance improvement targets. One example of a broad performance improvement and measurement tool that USAID has endorsed is the Organizational Performance Index (OPI), which can be used for assessing performance across multiple domains. Other examples include university accreditation self-assessments, a balanced scorecard approach, Six Sigma, and many others. A description of the approach and/or tool used, including reliability and validity, should be documented to the extent possible in the project Performance Monitoring Plan.

RATIONALE: This indicator measures capacity development efforts to change behavior to improve organization performance in the agricultural sector.

INDICATOR CHARACTERISTICS

UNIT OF MEASURE:	**INDICATOR LEVEL:**	**DIRECTION OF CHANGE:**	**FREQUENCY OF REPORTING:**
	Outcome	N/A	

Number: Organizations			Annually covering the period: October 1 – September 30

DISAGGREGATION:

Type of organization:

- Research and educational
- Private sector firms
- Producer associations
- Extension organizations
- Government agencies
- Non-governmental and not-for-profit organizations
- Women's group
- Trade and business association
- Water users association
- Other

DATA SOURCE:

WHO COLLECTS DATA FOR THIS INDICATOR: Data will be collected by Recipients.

HOW SHOULD IT BE COLLECTED: Data should be collected using appropriate methods (including relevant questionnaires or other data documentation methods). Tools and data collection methods should be documented in the project Performance Monitoring Plan.

MEASUREMENT NOTES:

BASELINE INFO: Baseline is zero.

DATA ENTRY IN FAIS:

The indicator title must be entered into the relevant performance reporting section of FAIS ***VERBATIM*** to allow for the information to be collected correctly.

Recipients should upload documentation in FAIS for the four steps identified above for each organization being reported under this indicator.

RELATIONSHIP TO THE FEED THE FUTURE (FtF) INITIATIVE

FtF INDICATOR: Yes [EG.3.2-29]	**DEFINITIONAL AND MEASURMENT NOTES:** For more guidance on the Feed the Future indicator, please refer to the Feed the Future Indicator Handbook (https://www.agrilinks.org/post/feed-future-indicator-handbook).

FFPr RESULTS FRAMEWORK 1: Increased Agricultural Productivity **FFPr RESULTS FRAMEWORK 2:** Expanded Trade of Agricultural Products	**FFPr 1.4.5/2.4.5:** Increased Leverage of Private Sector Resources

FFPr INDICATOR 13: Number of public-private partnerships formed as a result of USDA assistance

DEFINITION: The number of public-private partnerships in agriculture or nutrition formed during the reporting year due to USDA intervention (i.e. agricultural or nutrition activity, as described below). Private partnerships can be long or short in duration (length is not a criteria for measurement). Partnerships with multiple partners should only be counted once, though each partnership for a different purpose should be counted. A public-private alliance (partnership) is considered formed when there is a clear agreement, usually written, to work together to achieve a common objective. There must be either a cash or in-kind significant contribution to the effort by both the public and private entity. A private entity can be a for-profit entity, an NGO using private funds, a private company, a community group, or a state-owned enterprise which seeks to make a profit (even if unsuccessfully). A public entity can be a donor-funded program participant (or the project itself), a national or sub-national government, or state-owned enterprises which are non-profit.

A project may form more than one partnership with the same entity, but this is likely to be rare. In counting partnerships, we are not counting transactions with a partner entity; we are counting the number of partnerships formed during the reporting year. Public-private partnerships counted should be only those formed during the current reporting year. Any partnership that was formed in a previous year should not be included.

An agricultural activity is any activity related to the supply of agricultural inputs, production methods, processing, or transportation. A nutritional activity includes any activity focused on attempting to improve the nutritional content of agricultural products as provided to consumers, develop improved nutritional products, increase support for nutrition service delivery, etc.

This indicator is not directly paired with the following indicator on the value of public and private investments leveraged. In other words, this indicator tracks the number of public-private partnerships formed, and these partnerships may or may not be the same ones that result in investments leveraged by USDA.

RATIONALE: The assumption of this indicator is that if more partnerships are formed it is likely that there will be more investment in agriculture or nutrition-related activities, which ultimately contributes to agricultural sector growth. The improvement in growth will increase the incomes of all, but because the focus of project work is on the vulnerable (women, children, and the poor) there will also be a reduction in poverty.

INDICATOR CHARACTERISTICS

UNIT OF MEASURE:	**INDICATOR LEVEL:**	**DIRECTION OF CHANGE:**	**FREQUENCY OF REPORTING:**
Number: Partnerships	Output	Higher is better	Biannually covering the periods: October 1-March

			31 and April 1-September 30

DISAGGREGATION:
Type of partnership (refer to the primary focus of the partnership if applicable):

- Agricultural production
- Agricultural post-harvest transformation
- Nutrition
- Multi-focus (use this if there are several components of the above sectors in the partnership)
- Other (do not use this for multi-focus partnerships)

DATA SOURCE:
WHO WILL COLLECTS DATA FOR THIS INDICATOR: Data will be collected by Recipients.

HOW SHOULD IT BE COLLECTED: Data will be collected at the project-level, through project records of activities and partnerships.

MEASUREMENT NOTES: Only count partnerships that are attributable to USDA investment.

Each partnership's formation should only ever be reported once in order to add the total number of partnerships across years.

BASELINE INFO: Baseline is zero.

DATA ENTRY IN FAIS:
The indicator title must be entered into the relevant performance reporting section of FAIS ***VERBATIM*** to allow for the information to be collected correctly.

RELATIONSHIP TO THE FEED THE FUTURE (FtF) INITIATIVE	
FtF INDICATOR: No	**DEFINITIONAL AND MEASURMENT NOTES:** None

FFPr RESULTS FRAMEWORK 1: Increased Agricultural Productivity	**FFPr 1.4.5/2.4.5:** Increase leverage of private sector resources **FFPr 2.2:** Increased Access to Markets to Sell Agricultural Products

FFPr RESULTS FRAMEWORK 2: Expanded Trade of Agricultural Products	
FFPr INDICATOR 14: Value of new USG commitments and new public and private sector investment leveraged by USDA to support food security and nutrition	
DEFINITION: Investment is defined as any use of public or private sector resources intended to increase future production output or income, to improve the sustainable use of agricultural-related natural resources (soil, water, etc.), or to improve water or land management anywhere along the food, feed, and fiber system, and natural resources management. Data should be collected for four categories: "host government," "other public sector," "private sector", and "new USG commitments". "Host Government" includes any investments from the national, regional, or local governments. "Other public sector" includes any investments provided by the Program Participant itself, or other Private Voluntary Organizations "Private sector" includes any investments from a private actor, including for-profit organizations, private philanthropic organizations, or individuals. "New USG commitments" refers to funds in the form of a direct loan, part of a grant, or other award designed to leverage additional funds from private sector organizations. Subsidies paid to structure a guarantee or insurance product do not count as new USG commitments. "Leveraged by USDA" indicates that the investment was directly encouraged or facilitated by the activities funded or resources provided by USDA. "Investments" means the level of resources provided during each reporting year. For multi-year activities, commitments are recorded at the outset of the activity, if made prior to the start of the activity, or during the year when they are made, if commitments are received during implementation of an activity. This indicator is not directly paired with the preceding indicator on public-private partnerships. In other words, this indicator does not track only investments that may have been leveraged via those partnerships, but rather is separate and broader in tracking the value of any public or private sector investments leveraged (encouraged or facilitated) by the activities or resources provided by USDA.	
RATIONALE: Increased investment is essential to inclusive economic growth in the agricultural sector. Public and private sector investment is key to achieving long-term impact in improvements in food security, agricultural sustainability and expanded trade. Public and private sector investments should be coordinated and complimentary. Private sector investment is critical because it indicates that the investment is perceived by private agents as providing a positive financial return and therefore is likely to lead to sustainable increases in	

<table>
<tr><td colspan="4">agricultural production and expanded trade. Public sector investments can be used to pilot programs, test innovation, and scale-up effective programs.</td></tr>
<tr><td colspan="4">INDICATOR CHARACTERISTICS</td></tr>
<tr><td>UNIT OF MEASURE:
U.S. Dollar</td><td>INDICATOR LEVEL:
Outcome</td><td>DIRECTION OF CHANGE:
Higher is better</td><td>FREQUENCY OF REPORTING:
Annually covering the period: October 1 – September 30</td></tr>
<tr><td colspan="4">DISAGGREGATION:
Type of investment:
Host Government
Other public sector
Private sector
New USG commitments</td></tr>
<tr><td colspan="4">DATA SOURCE:
WHO COLLECTS DATA FOR THIS INDICATOR: Data will be collected by Recipients.

HOW SHOULD IT BE COLLECTED: Data will be collected by project records, firm/farm records.</td></tr>
<tr><td colspan="4">MEASUREMENT NOTES: Convert local currency to US dollars at the average market foreign exchange rate for the reporting period. Report exchange rate in indicator narrative in FAIS.

BASELINE INFO: Baseline is zero.</td></tr>
<tr><td colspan="4">DATA ENTRY IN FAIS:
The indicator title must be entered into the relevant performance reporting section of FAIS VERBATIM to allow for the information to be collected correctly.</td></tr>
<tr><td colspan="4">RELATIONSHIP TO THE FEED THE FUTURE (FtF) INITIATIVE</td></tr>
<tr><td>FtF INDICATOR:
Yes [EG.3.1-14]</td><td colspan="3">DEFINITIONAL AND MEASURMENT NOTES:
For more guidance on the Feed the Future indicator, please refer to the Feed the Future Indicator Handbook (https://www.agrilinks.org/post/feed-future-indicator-handbook).</td></tr>
</table>

FFPr RESULTS FRAMEWORK 2: Expanded Trade of Agricultural Products	**FFPr 2.2:** Increased Access to Markets to Sell Agricultural Products **FFPr 2.3:** Improved Transaction Efficiency **FFPr 2.2.3/2.3.1:** Improved Market and Trade Infrastructure

FFPr INDICATOR 15: Kilometers of roads improved or constructed as a result of USDA assistance

DEFINITION: The length of roads, in kilometers, on which construction of new roads or reconstruction, rehabilitation, resurfacing or upgrading of existing roads is complete.

A road "improvement" indicates that the intervention significantly improved the ease of commercial transport along that road and includes reconstruction, rehabilitation, resurfacing or upgrading of existing roads include improving drainage systems, while "constructed" refers to a new road.

In general, a road need not necessarily be paved with cement or asphalt but should significantly facilitate the transport of goods compared to the previous situation without the road or without the road improvement.

RATIONALE: A road opens up transport from rural spaces where rural-based production activities such as agriculture are taking place, and connects, either directly or indirectly, with population centers and market activity. The ability to move harvested goods to storage or processing facilities or to market has a direct impact on efficiency of post-production processes. As such, a project may aim to build or improve roads leading to and from farms.

INDICATOR CHARACTERISTICS

UNIT OF MEASURE: Kilometers	**INDICATOR LEVEL:** Output	**DIRECTION OF CHANGE:** Higher is better	**FREQUENCY OF REPORTING:** Biannually covering the periods: October 1-March 31 and April 1-September 30

DISAGGREGATION:
Construction type:

- Improved
- Constructed (new)

DATA SOURCE:
WHO COLLECTS DATA FOR THIS INDICATOR: Data will be collected by Recipients.

HOW SHOULD IT BE COLLECTED: Data will be collected through direct measurement or geo-spatial imaging (GPS) measurement of the length of roads added or improved in the project, project records.

MEASUREMENT NOTES: Count only those roads improved or constructed with USDA assistance.

Only count those kilometers of roads improved or constructed during the reporting year.

BASELINE INFO: Baseline is zero

DATA ENTRY IN FAIS: The indicator title must be entered into the relevant performance reporting section of FAIS ***VERBATIM*** to allow for the information to be collected correctly.

RELATIONSHIP TO THE FEED THE FUTURE (FtF) INITIATIVE	
FtF INDICATOR: Yes [EG.3.1-1]	**DEFINITIONAL AND MEASURMENT NOTES:** For more guidance, please refer to the Feed the Future Indicator Handbook (https://www.agrilinks.org/post/feed-future-indicator-handbook).

FFPr RESULTS FRAMEWORK 2: Expanded Trade of Agricultural Products	**FFPr 2.1.2.2:** Improved Post-Harvest Infrastructure
FFPr INDICATOR 16: Total increase in installed storage capacity (dry or cold storage) as a result of USDA assistance	
DEFINITION: This indicator measures total increase in functioning (refurbished and new) cubic meters of storage capacity that have been installed through USDA programming and leveraged during the reporting year. Installed storage capacity is an aggregate amount that encompasses on-farm and off-farm storage, dry goods and cold chain storage. Both newly installed and refurbished storage should be counted here.	
RATIONALE: Post harvest losses of foodstuffs and other agricultural products can account for a significant proportion of overall commodity/product disappearance (waste) in developing countries. A reduction in post-harvest losses through greater storage capacity could, therefore, substantially increase both food and income available to rural households and increase food availability to urban areas, as well.	

INDICATOR CHARACTERISTICS			
UNIT OF MEASURE: Cubic Meters	**INDICATOR LEVEL:** Output	**DIRECTION OF CHANGE:** Higher is better	**FREQUENCY OF REPORTING:** Biannually covering the periods: October 1-March 31 and April 1-September 30

DISAGGREGATION:

Type of storage:

- Dry
- Cold

Type of installation:

- Refurbished
- New

DATA SOURCE:

WHO COLLECTS DATA FOR THIS INDICATOR: Data will be collected by Recipients.

HOW SHOULD IT BE COLLECTED: Data will be collected through a survey of farmers about new storage facilities, direct observation of storage units added to target farms (calculate total volume of additional storage capacity across all farms), project records.

MEASUREMENT NOTES: Collect data on and off-farm, counting only storage added/refurbished that can be accessed by participants.

BASELINE INFO: Baseline is zero.	
DATA ENTRY IN FAIS: The indicator title must be entered into the relevant performance reporting section of FAIS ***VERBATIM*** to allow for the information to be collected correctly.	
RELATIONSHIP TO THE FEED THE FUTURE (FtF) INITIATIVE	
FtF INDICATOR: No	**DEFINITIONAL AND MEASURMENT NOTES:** None

FFPr RESULTS FRAMEWORK 2: Expanded Trade of Agricultural Products	**FFPr 2.1.1.1:** Increased Adoption of Established Standards by Industry **FFPr 2.4.2:** Improved Policy and Regulatory Framework

FFPr INDICATOR 17: Number of policies, regulations and/or administrative procedures in each of the following stages of development as a result of USDA assistance

DEFINITION: Number of agricultural enabling environment policies/regulations/administrative procedures in the areas of agricultural resource, food, market standards & regulation, public investment, natural resource or water management, and climate change adaptation/mitigation as it relates to agriculture that:

- Stage 1: Underwent the first stage of the policy reform process, i.e. analysis (review of existing policy/regulation/administrative procedure and/or proposal of new policy/regulation/administrative procedure).
- Stage 2: Underwent the second stage of the policy reform process. The second stage includes public debate and/or consultation with stakeholders on the proposed new or revised policy/regulation/administrative procedure.
- Stage 3: Underwent the third stage of the policy reform process (policies were presented for legislation/decree to improve the policy environment for agriculture).
- Stage 4: Underwent the fourth stage of the policy reform process [official approval (legislation/decree) of new or revised policy/regulation/administrative procedure by relevant authority].
- Stage 5: Completed the policy reform process (implementation of new or revised policy/regulation/administrative procedure by relevant authority).
- Other: Or were otherwise shaped by the recipient's direct involvement.

RATIONALE: This indicator measures the number of policies/regulations/administrative procedures in the various stages of progress towards an enhanced enabling environment for agriculture whose sub-elements are specific policy sectors. It includes the development, implementation, and enforcement of policies and regulations that support the achievement of one or more results in the FFPr framework focused on expanding trade in agricultural products.

INDICATOR CHARACTERISTICS

UNIT OF MEASURE:	**INDICATOR LEVEL:**	**DIRECTION OF CHANGE:**	**FREQUENCY OF REPORTING:**
Number: policies, regulations, and/or administrative procedures and supplementary narrative	Stages 1 & 2: Output Stages 3, 4 & 5: Outcome	Although this set of five indicators tracks individual policies through the stages, one should see the aggregates of these indicators, over time, change in certain ways. One should expect the value of the indicators measuring the earlier stages to decline and the indicators measuring the later stages of progress to	Annually covering the period: October 1 – September 30

		increase as the enabling environment is strengthened (i.e. move from analysis to adoption and implementation of reforms).	

DISAGGREGATION:
Stage: (1-5, other)

DATA SOURCE:
WHO COLLECTS DATA FOR THIS INDICATOR: Data will be collected by Recipients.

HOW SHOULD IT BE COLLECTED: Data will be collected at the project-level, through project records of activities and capacity building carried out by the project, observation and analysis of the host government legal status of the various policies being addressed. Policies, legislation, regulations should be submitted to USDA and attached in biannual project reports.

MEASUREMENT NOTES: Only count policies specifically addressed with USDA assistance.

Enter the name of the policy/regulation/administrative procedure and its stage in order to track movement through the stages. Count the highest stage completed during the reporting year.

This indicator tracks the policy, regulation, or administrative procedure. Multiple project participants working in the same country or region (with regard to regional policies) may report the same policy, regulation, or administrative procedure as long as the program participant participated in the process and provided assistance to the development, drafting, formation of the law or policy.

Recognizing that the policymaking process is not always linear, the same policy/regulation/ administrative procedure can be counted more than once in each stage over the life of the project. For example, if a trade regulation were introduced as a piece of legislation and subsequently tabled for further consultation with stakeholders, the trade regulation could be counted in stage 3 in the reporting year it was introduced, in stage 2 in the reporting year it was tabled, and in stage 3 if it were re-introduced in a subsequent reporting year. Only count the regulation once per reporting year.

BASELINE INFO: Baseline is zero.

DATA ENTRY IN FAIS:
The indicator title must be entered into the relevant performance reporting section of FAIS ***VERBATIM*** to allow for the information to be collected correctly.

RELATIONSHIP TO THE FEED THE FUTURE (FtF) INITIATIVE

FtF INDICATOR:	**DEFINITIONAL AND MEASUREMENT NOTES:**
No	None

FFPr RESULTS FRAMEWORK 1: Increased Agricultural Productivity **FFPr RESULTS FRAMEWORK 2:** Expanded Trade of Agricultural Products	**FFPr SO1:** Increased Agricultural Productivity **FFPr SO2:** Expanded Trade of Agricultural Products

FFPr INDICATOR 18: Value of annual sales of farms and firms receiving USDA assistance

DEFINITION: This indicator measures the value in U.S. dollars of the total amount of sales of products and services by USDA-assisted farms and firms during the reporting year within USDA-supported agricultural commodity value chains or markets. This indicator also collects additional data points on the value of sales in local currency and the number of activity participants, including the number of producers and the number of assisted private sector firms.

Examples of USDA assistance include facilitating access to improved seeds and other inputs, to extension, business development and financial services, and to micro-enterprise loans; providing technical support in production techniques; strengthening linkages to markets; and other activities that benefit producers or private sector firms in the agriculture and food system.

Annual sales include all sales by farms and firms participating in USDA-funded activities. This includes producers, such as farmers, fishers, and ranchers; and private sector non-farm enterprises, such as aggregators, input suppliers and distributors, traders, or processors of the targeted commodity(ies) throughout the value chain. In value-chain-facilitation and other market-strengthening activities, activity participants include the private sector firms with direct contact with the USDA-funded activity and the producers and other customers buying from or selling to the USDA-assisted firms. Food For Progress recognizes the difficulty and cost to collect sales data directly from producers, especially when working with firms though a market-system approach intended to strengthen the links between producers and firms that purchase from them for onward sales, processing, etc. In these cases, recipients may consider collecting data from firms on producers who sold to the firms while collecting data on sales of the firms, rather than attempting to collect sales data from the producers directly. Recipients can then report both producer and firm sales under the appropriate disaggregate.

"Private sector" includes any privately-led agricultural enterprise managed by a for-profit company. A community-based organization (CBO) or nongovernmental organization (NGO) may be included if the CBO or NGO engages in for-profit agricultural activity. Activity participants may be involved in agricultural production, agro-processing, wholesale or retail sales, fisheries, input supply, or other business activities in USDA-assisted value chains and/or markets.

Only count sales in the reporting year that are attributable to USDA, i.e. where USDA assisted the individual farmer or firm, or the market actor with which they are engaged directly, and for those value chains/commodities/markets which USDA supports.

Under participants, count the number of assisted producers for whom sales data are available. Include producers reached directly with outreach and those buying from or selling to USDA-

assisted firms in a systems strengthening approach. For firms, count the USDA-assisted firm as the participant.

It is **essential that a Baseline Year Sales data point be entered**. If data on the total value of sales by participant farms or firms prior to USDA-funded activity implementation is not available, do not leave the baseline blank or enter '0'. Use the earliest Reporting Year Sales actual as the Baseline Year Sales.
The number of participants in USDA-funded activities often increases over time as the activity rolls out. Unless an activity has identified all prospective participants at the time the baseline is established, the baseline sales value will only include sales made by participant farms and firms identified when the baseline is established during the first year of implementation. The baseline sales value will not include the baselines from farms and firms added in subsequent years. To address this issue, **USDA requires reporting the number of participants, both producers and private sector firms for each value chain product or service along with baseline and reporting year sales**. These data points can be used to calculate average sales per participant at baseline, disaggregated by farm and firm and assist with interpreting the reasons for an observed growth in the value of sales. To generate meaningful out-year targets for annual sales, targets for number of participants, disaggregated by farm and firm, are also required.

The type of Product or Service sold by the producer or firm is the first level disaggregate when reporting. These are broken down into the following disaggregate categories to be reported in FAIS, with illustrative examples:

Products:

- Agricultural commodities, which generally include those raw products sold by producers such as staples, legumes, horticulture, livestock, and fish but does NOT include seeds. The specific commodity (maize, mung beans, tomatoes, etc.) needs to be selected.
- Inputs: Seeds and planting material.
- Inputs: Other non-durable inputs, such as fertilizer and pesticides.
- Inputs: Durable equipment and machinery, including land preparation equipment, irrigation equipment, and other equipment or machinery.
- Processed products/value added products (post-harvest). The specific commodity does not need to be selected.
- Post-harvest storage and processing equipment, including PICS bags and processing machinery.

Services:

- Business services, including financial, entrepreneurial, legal, and other enterprise/producer strengthening services
- Information services: SMS, Radio, TV, print, etc.
- Production support services: other services that are sold to farmers, fishers, ranchers and pastoralists, including extension services, veterinary services, rental of equipment, land preparation, warehousing, post-harvest processing

RATIONALE: Value (in US dollars) of sales at the farm and enterprise level is a measure of the competitiveness of farms and firms receiving USDA assistance. This measurement also helps track access to markets and progress toward commercialization by farmers and enterprises receiving USDA assistance. An increase in sales of agricultural products and services is directly related to increasing agricultural productivity and expanding trade of agricultural products.

INDICATOR CHARACTERISTICS

UNIT OF MEASURE:	**INDICATOR LEVEL:**	**DIRECTION OF CHANGE:**	**FREQUENCY OF REPORTING:**
U.S. Dollar	Outcome	Higher is better	Annually covering the period: October 1 – September 30

DISAGGREGATION:

FIRST LEVEL

Type of product or service: *See definition for list of product and service types*. For agricultural commodities, report the specific commodity.

SECOND LEVEL

Type of producer/firm (firms are non-farm enterprises): Producer - smallholder, Producer – non-smallholder, Firm – microenterprise, Firm - Small and medium enterprise, Firm- Large enterprise or corporation. (see definition of smallholder and firm type below)

Smallholder Definition: While country-specific definitions may vary, use the Feed the Future definition of a smallholder producer, which is one who holds 5 hectares or less of arable land or equivalent units of livestock, i.e. cattle: 10 beef cows; dairy: two milking cows; sheep and goats: five adult ewes/does; camel meat and milk: five camel cows; pigs: two adult sows; chickens: 20 layers and 50 broilers. The farmer does not have to own the land or livestock.

Microenterprises employed <10 people in the previous 12 months, small enterprises employed 10-49 people, medium enterprises employed 50-249 individuals and large enterprises and corporations employed >250 individuals.

THIRD LEVEL

Sex of producer or proprietor(s): Male, female, mixed

For firms, if the enterprise is a single proprietorship, the sex of the proprietor should be used for classification. If the enterprise has more than one proprietor, classify the firm as Male if all of the proprietors are male, as Female if all of the proprietors are female, and as Mixed if the proprietors are male and female.

Age: 15-29, 30+, mixed

For firms, if the enterprise is a single proprietorship, the age of the proprietor should be used for classification. If the enterprise has more than one proprietor, classify the firm as 15-29 if all of the proprietors are aged 15-29, as 30+ if all of the proprietors are aged 30+, and as Mixed if the proprietors are from both age groups.

DATA SOURCE:
WHO COLLECTS DATA FOR THIS INDICATOR: Data will be collected by Recipients.

HOW SHOULD IT BE COLLECTED: Data from assisted producers and firms may need to be collected separately. Ideally, this indicator will be collected directly from a census of all participant farms and firms, from recorded sales data and/or farm/firm records. A sample survey-based approach for participant producers within the geographic area reached by the assisted market is also acceptable. Recipients should work with assisted firms to ensure that appropriate information is provided.

MEASUREMENT NOTES: Collect data only at the project-level, attributed to USDA assistance.

If a sample of participants is used to collect sales data, sample survey weighted estimates must be extrapolated to total participant estimated values before entry into FAIS to accurately **reflect total value of reporting year sales in USD** by the project's participants. Convert local currency to USD at the average market foreign exchange rate for the reporting period. Report exchange rate in comments in FAIS.

Report the **number of participants**, both producers and private sector firms for each value chain product or service, and for each type of producer/firm, sex, and age disaggregate. For example, to report on the number of participants in the coffee value chain, recipients should enter the following information for the reporting year:

Number of participants

- total number of smallholder, female, coffee-producing program participants
- total number of smallholder, male, coffee-producing program participants
- total number of smallholder, 15-29 year old, coffee-producing program participants
- total number of smallholder, 30+ year old, coffee-producing program participants
- *Repeat as necessary with each relevant Type of producer/firm*

Note that the **volume (in metric tons) of sales** of agricultural commodities will be reported in Indicator 19. There should be a correlation between the value of sales of agricultural commodities reported for this Indicator and the volume (in metric tons) of sales reported in Indicator 19.

BASELINE INFO: Baseline data reflects value of sales in the year prior to programming and should be collected through records of assisted firms and/or a sample survey of producers via recall.

DATA ENTRY IN FAIS:
The indicator title must be entered into the relevant performance reporting section of FAIS ***VERBATIM*** to allow for the information to be collected correctly.

RELATIONSHIP TO THE FEED THE FUTURE (FtF) INITIATIVE	
FtF INDICATOR: Yes [EG.3.2-26]	**DEFINITIONAL AND MEASURMENT NOTES:** For more guidance on the Feed the Future indicator, please refer to the Feed the Future Indicator Handbook

FFPr RESULTS FRAMEWORK 1: Increased Agricultural Productivity **FFPr RESULTS FRAMEWORK 2:** Expanded Trade of Agricultural Products	**FFPr SO1:** Increased Agricultural Productivity **FFPr SO2:** Expanded Trade of Agricultural Products

FFPr INDICATOR 19: Volume of commodities sold by farms and firms receiving USDA assistance

DEFINITION: This indicator will collect the volume (as calculated in gross metric tons (MT)) of sales of targeted commodities by farms and firms receiving USDA assistance. This includes the volume of all sales of targeted commodity(ies), not just the volume of farm-gate sales.

The actual number reported for the indicator will be the gross volume of sales of a product (crop, animal or fish) by project participants in the reporting period. Only count the gross volume of sales in the reporting period attributable to USDA investment.

USDA will use the data reported for this indicator, as well as the data reported on the value of annual sales, when reporting on the Feed the Future Initiative. Please note that the value of annual sales indicator cannot be calculated without a value for the baseline year's sales. If data on the total volume of sales of the value chain commodity by participants prior to USDA activity implementation is not available, do not leave the baseline blank or enter '0.' Use the earliest reporting year sales volume actual as the baseline year sales.

RATIONALE: Volume (in MT) of sales at the farm and enterprise level of targeted commodities is a measure of the competitiveness of those beneficiaries receiving USDA assistance. This measurement also helps track supply, access to markets, and progress toward commercialization by farmers and enterprises receiving USDA assistance.

INDICATOR CHARACTERISTICS

UNIT OF MEASURE:	**INDICATOR LEVEL:**	**DIRECTION OF CHANGE:**	**FREQUENCY OF REPORTING:**
Metric Tons	Outcome	Higher is better	Annually covering the period: October 1 – September 30

DISAGGREGATION:

FIRST LEVEL

Commodity Type (type of crop, type of animal or animal product, or type of fish – freshwater or marine).

Note: Horticultural product-specific disaggregation is not required for this indicator. The overall "horticulture" commodity disaggregate can be used if desired.

SECOND LEVEL

Type of producer/firm (firms are non-farm enterprises): Producer - smallholder, Producer – non-smallholder, Firm – microenterprise, Firm - Small and medium enterprise, Firm- Large enterprise or corporation. (see definition of smallholder and firm type below)

Smallholder Definition: While country-specific definitions may vary, use the Feed the Future definition of a smallholder producer, which is one who holds 5 hectares or less

of arable land or equivalent units of livestock, i.e. cattle: 10 beef cows; dairy: two milking cows; sheep and goats: five adult ewes/does; camel meat and milk: five camel cows; pigs: two adult sows; chickens: 20 layers and 50 broilers. The farmer does not have to own the land or livestock.

Microenterprises employed <10 people in the previous 12 months, small enterprises employed 10-49 people, medium enterprises employed 50-249 individuals and large enterprises and corporations employed >250 individuals.

THIRD LEVEL

Sex of producer or proprietor(s): Male, female, mixed

For firms, if the enterprise is a single proprietorship, the sex of the proprietor should be used for classification. If the enterprise has more than one proprietor, classify the firm as Male if all of the proprietors are male, as Female if all of the proprietors are female, and as Mixed if the proprietors are male and female.

Age: 15-29, 30+, mixed

For firms, if the enterprise is a single proprietorship, the age of the proprietor should be used for classification. If the enterprise has more than one proprietor, classify the firm as 15-29 if all of the proprietors are aged 15-29, as 30+ if all of the proprietors are aged 30+, and as Mixed if the proprietors are from both age groups.

DATA SOURCE:

WHO COLLECTS DATA FOR THIS INDICATOR: Data will be collected by Recipients.

HOW SHOULD IT BE COLLECTED: Data from assisted producers and firms may need to be collected separately. Ideally, this indicator will be collected directly from a census of all participant farms and firms, from recorded sales data and/or farm/firm records. A sample survey-based approach for participant producers within the geographic area reached by the assisted market is also acceptable. Recipients should work with assisted firms to ensure that appropriate information is provided.

MEASUREMENT NOTES: Collect data only at the project-level, attributed to USDA assistance, i.e. where USDA assisted the individual farmer or firm, or the market actor with which they are engaged directly, and for those value chains/commodities/markets which USDA supports.

If a sample of participants is used to collect sales data, sample survey weighted estimates must be extrapolated to total participant estimated values before entry into FAIS to accurately reflect total sales by the project's participants.

Volume (in metric tons) of agricultural commodities should be directly related to value of agricultural commodities measured in Indicator 18.

BASELINE INFO: Volume of agricultural commodities reported at baseline and for the reporting years should be the volume that was sold and reported as sales in Indicator 18.

DATA ENTRY IN FAIS:

The indicator title must be entered into the relevant performance reporting section of FAIS ***VERBATIM*** to allow for the information to be collected correctly.	
RELATIONSHIP TO THE FEED THE FUTURE (FtF) INITIATIVE	
FtF INDICATOR: Yes [EG.3.2-26]	**DEFINITIONAL AND MEASURMENT NOTES:** FtF collects this information as part of the Value of annual sales indicator. In order to capture this data in USDA's database system, a separate indicator on volume has been developed.

FFPr RESULTS FRAMEWORK 1: Increased Agricultural Productivity **FFPr RESULTS FRAMEWORK 2:** Expanded Trade of Agricultural Products	**FFPr SO1:** Increased Agricultural Productivity **FFPr SO2:** Expanded Trade of Agricultural Products

FFPr INDICATOR 20: Number of jobs attributed to USDA assistance

DEFINITION: Jobs are all types of employment opportunities **created** during the reporting year in agriculture- or rural-related enterprises, including paid on-farm/fishery employment. Jobs lasting less than one month, or less than 20 days excluding weekends, are not counted in order to emphasize those jobs that provide more stability through duration. This indicator counts both full-time employment and part-time employment, including temporary and seasonal employment. Full-time jobs last at least 260 days (excluding weekends) or 12 months. Part-time jobs last between 21 days and 259 days, excluding weekends. Number of hours worked per day or per week is not restricted as hours may vary.

Attributed to USDA assistance includes farming and non-farm jobs where USDA investments were intentional in assisting in any way to expand (or contract) jobs and where a program objective of the USDA investment was job creation. Examples of jobs created include cash for work programs, construction of roads and other infrastructure, on-farm employment, and employment in processing facilities. To be considered a job created, the positions must last longer than one month in duration.

RATIONALE: This is a direct measure of improved livelihoods, as it measures creation of employment and related income. However, USDA is concerned about creation of sustainable employment, not short-duration employment, defined as a period of less than one month.

INDICATOR CHARACTERISTICS

UNIT OF MEASURE:	**INDICATOR LEVEL:**	**DIRECTION OF CHANGE:**	**FREQENCY OF REPORTING:**
Number: Jobs	Outcome	Higher is better	Biannually covering the periods: October 1-March 31 and April 1-September 30

DISAGGREGATION:
FIRST LEVEL
Type of Employment: Full-time, Part-time

SECOND LEVEL
Sex of Job Holder: Male, Female

DATA SOURCE:
WHO COLLECTS DATA FOR THIS INDICATOR: Data will be collected by Recipients.

HOW SHOULD IT BE COLLECTED: Data will be collected by project records, firm/farm records.

MEASUREMENT NOTES: Collect data only at the project-level, attributed to FFPr projects.
Each job created should only ever be reported once in order to add the total number of jobs across years.

BASELINE INFO: Baseline is zero.
DATA ENTRY IN FAIS: The indicator title must be entered into the relevant performance reporting section of FAIS ***VERBATIM*** to allow for the information to be collected correctly.
RELATIONSHIP TO THE FEED THE FUTURE (FtF) INITIATIVE

FtF INDICATOR: No	**DEFINITIONAL AND MEASURMENT NOTES:** None

FFPr RESULTS FRAMEWORK 1: Increased Agricultural Productivity **FFPr RESULTS FRAMEWORK 2:** Expanded Trade of Agricultural Products	**FFPr SO1:** Increased Agricultural Productivity **FFPr SO2:** Expanded Trade of Agricultural Products
FFPr INDICATOR 21: Number of individuals who have received short-term agricultural sector productivity or food security training as a result of USDA assistance	
DEFINITION: The number of <u>individuals</u> to whom significant knowledge or skills have been imparted through interactions that are intentional, structured, and purposed for imparting knowledge or skills should be counted as received training, through formal or informal means. There is no pre-defined minimum or maximum length of time for the training; what is key is that the training reflects a planned, structured curriculum designed to strengthen capacities, and there is a reasonable expectation that the training recipient will acquire new knowledge or skills that s/he could translate into action. Count an individual only once, regardless of the number of trainings received during the reporting year and whether the trainings covered different topics. Do not count sensitization meetings or one-off information meetings. Short-term includes all non-degree seeking training. Individuals include agricultural producers, ranchers, fisheries, and other primary sector producers who receive training in a variety of best practices in productivity, post-harvest management, linking to markets, etc. It also includes rural entrepreneurs, processors, managers and traders receiving training in application of new technologies, business management, linking to markets, etc., and extension specialists, researchers, inspectors, government employees, policy makers, and others who are engaged in the food, feed and fiber system, and natural resources management. In-country and offshore training are included. Delivery mechanisms can include a variety of extension methods as well as technical assistance activities.	
RATIONALE: Enhanced human capacity for increased agriculture productivity, improved food security, policy formulation and/or implementation, is key to transformational development.	
INDICATOR CHARACTERISTICS	

UNIT OF MEASURE: Number: Individuals	**INDICATOR LEVEL:** Output	**DIRECTION OF CHANGE:** Higher is better	**FREQUENCY OF REPORTING:** Biannually covering the periods:

			October 1-March 31 and April 1-September 30

DISAGGREGATION:
Sex: Male/Female
Duration:

- New = this reporting year is the first period the person applied the new technology or technique
- Continuing = the person first applied the new technology or technique in the previous period and continues to apply it

Type of individual:

- Producers (farmers, fishers, pastoralists, ranchers, etc.)
- People in firms (e.g. processors, service providers, manufacturers)
- People in government (e.g. extension workers, policymakers)
- People in civil society (e.g. NGOs, CBOs, research and academic organizations)
    - Note: While private sector firms are considered part of civil society more broadly, only count them under the Private Sector Firms and not the Civil Society disaggregate to avoid double counting.

DATA SOURCE:
WHO COLLECTS DATA FOR THIS INDICATOR: Data will be collected by Recipients.

HOW SHOULD IT BE COLLECTED: Data will be collected from program participant training records, reports, or surveys. Recipients should keep detailed training lists for all training sessions.

MEASUREMENT NOTES: Count only those individuals targeted by USDA programs.

This indicator is a comprehensive indicator that includes all USDA supported training.

This indicator is to measure individuals *receiving* training, for which the outcome, individuals *applying* new practices should be reported under Indicator 4 *Number of individuals in the agriculture system who have applied improved management practices or technologies with USDA assistance*.

Individuals should not be double counted in a given fiscal year. For example, if one individual participates in multiple project-sponsored training courses in a given fiscal year, they should only be counted one time in that fiscal year. Individuals participating in project-sponsored training courses in multiple fiscal years may be counted once in each fiscal year, but only once in the life-of-project total.

BASELINE INFO: Baseline is zero.

DATA ENTRY IN FAIS:
The indicator title must be entered into the relevant performance reporting section of FAIS ***VERBATIM*** to allow for the information to be collected correctly.

RELATIONSHIP TO THE FEED THE FUTURE (FtF) INITIATIVE	
FtF INDICATOR: No	**DEFINITIONAL AND MEASURMENT NOTES:** None

FFPr RESULTS FRAMEWORK 1: Increased Agricultural Productivity **FFPr RESULTS FRAMEWORK 2:** Expanded Trade of Agricultural Products	**FFPr SO1:** Increased Agricultural Productivity **FFPr SO2:** Expanded Trade of Agricultural Products
FFPr INDICATOR 22: Number of individuals participating in USDA food security programs	
DEFINITION: This is an output indicator measuring the number of individuals directly participating in USDA-funded interventions, including those we reach directly, those reached as part of a deliberate service strategy, and those participating in the markets we strengthen. An individual is a participant if s/he comes into direct contact with the set of interventions (goods or services) provided or facilitated by the activity. Individuals merely contacted or involved in an activity through brief attendance (non-recurring participation) do not count under this indicator. A participating individual counts if one can reasonably expect, and hold recipients responsible for achieving progress toward, changes in behaviors or other outcomes for these individuals based on the level of services and/or goods provided or accessed. Producers with increased access to goods, services and markets for their products and who purchase from or sell to market actors that have been strengthened as a result of our activities are considered to have received a significant intervention. This indicator counts, with some exceptions listed below, all the individuals participating in FFPr activities, including: • Smallholder and non-smallholder producers that projects or project-supported actors reach directly (e.g. through an irrigation training, through a loan provided, through distribution of drought-tolerant seeds to specific farmers); • Proprietors of firms in the private sector that we help strengthen (e.g. agrodealers, aggregators, processors), but not all the employees of those firms; • Producers who directly interact with those USDA-assisted firms (e.g. the producers who are customers of an assisted agrodealer; the producers from whom an assisted trader or aggregator buys), but not customers or suppliers who are not producers; • Participants whose main source of income is labor (e.g. Laborers/non-producer diversified livelihood participants); • People reached by productive safety nets, community-based micro-finance and diversified livelihood activities through our assistance; • People in civil society organizations and government whose skills and capacity have been strengthened by projects or project-supported actors; Individuals should not be double counted. Individuals may receive multiple interventions in one fiscal year but should only be counted upon first receipt of project interventions. For example, if one individual participates in multiple USDA-sponsored training courses in a given fiscal year, they will only be counted one time in that fiscal year. Individuals participating in USDA-sponsored training courses in multiple fiscal years may be counted once in each fiscal year, but only once in the life-of-project total.	
RATIONALE: This indicator is designed to capture the breadth of our food security work. This indicator tracks access to goods and services that can lead to adoption of improved	

agricultural techniques, technologies, practices, services, and policies that will result in greater agricultural productivity and expanded agricultural markets.

INDICATOR CHARACTERISTICS

UNIT OF MEASURE:	**INDICATOR LEVEL:**	**DIRECTION OF CHANGE:**	**FREQUENCY OF REPORTING:**
Number: Individuals	Output	Higher is better	Annually covering the period: October 1 – September 30

DISAGGREGATION:

FIRST LEVEL

- Sex: *the unique number of individuals should be entered here (i.e. no double-counting of individuals across disaggregate choices here)*
  - Male;
  - Female;

- Age Category: *the unique number of individuals should be entered here (i.e. no double-counting of individuals across disaggregate choices here)*
  - 15-29;
  - 30+;

- Type of Individual: *double-counting individuals across types is permitted here*
  - **People in government** *(e.g. policy makers, extension workers, healthcare workers);*
  - **Proprietors of USDA-assisted private sector firms** *(e.g. agrodealers, traders, aggregators, processors, service providers, manufacturers);*
  - **People in civil society** *(e.g. NGOs, Community-Based Organizations (CBOs), Civil Society Organizations (CSOs), research and academic organizations, community volunteers)*

    While private sector firms are considered part of civil society more broadly, only count their proprietors under the "Private Sector Firms" disaggregate and not the "Civil Society" disaggregate
  - **Laborers** (Non-producer diversified livelihoods participants);
  - **Producers** *(e.g. farmers, fishers, pastoralists, ranchers);*

    Producers should be counted under the "Producers" disaggregate, not the "Private Sector Firms" disaggregate

    SECOND LEVEL (only for the first-level disaggregate of "Producers")
    - Size:
      - Smallholder *(see definition below)*;
      - Non-smallholder;
      - Not applicable *(for aquaculture);*

Smallholder Definition: While country-specific definitions may vary, use the Feed the Future definition of a smallholder producer, which is one who holds 5 hectares or less

of arable land or equivalent units of livestock, i.e. cattle: 10 beef cows; dairy: two milking cows; sheep and goats: five adult ewes/does; camel meat and milk: five camel cows; pigs: two adult sows; chickens: 20 layers and 50 broilers. The farmer does not have to own the land or livestock.

DATA SOURCE:
WHO COLLECTS DATA FOR THIS INDICATOR: Data will be collected by Recipients.

HOW SHOULD IT BE COLLECTED: Data will be collected from program participant tracking records and reports, firm records, or through census or sampling of participating firms/farms/families/individuals, etc.

MEASUREMENT NOTES: This indicator provides a unique count of total project participants.

Individuals who are trained by a recipient as part of a deliberate service delivery strategy (e.g. cascade training) that then go on to deliver services directly to individuals or to train others to deliver services should be counted as participants of the project—the capacity strengthening is key for sustainability and an important outcome in its own right. The individuals who then receive the services or training delivered by those individuals are also considered participants. However, spontaneous spillover of improved practices to neighbors does not count as a deliberate service delivery strategy; neighbors who apply new practices based on observation and/or interactions with participants who have not been trained to spread knowledge to others as part of a deliberate service delivery strategy should not be counted under this indicator. Neighbors can be counted under Indicator 23 *Number of individuals benefiting indirectly as a result of USDA assistance.*

BASELINE INFO: Baseline is zero.

DATA ENTRY IN FAIS:
The indicator title must be entered into the relevant performance reporting section of FAIS ***VERBATIM*** to allow for the information to be collected correctly.

RELATIONSHIP TO THE FEED THE FUTURE (FtF) INITIATIVE

FtF INDICATOR:	**DEFINITIONAL AND MEASUREMENT NOTES:**
Yes [EG.3-2]	For more guidance on the Feed the Future indicator, please refer to the Feed the Future Indicator Handbook (https://www.agrilinks.org/post/feed-future-indicator-handbook).

FFPr RESULTS FRAMEWORK 1: Increased Agricultural Productivity **FFPr RESULTS FRAMEWORK 2:** Expanded Trade of Agricultural Products	**FFPr SO1:** Increased Agricultural Productivity **FFPr SO2:** Expanded Trade of Agricultural Products

FFPr INDICATOR 23: Number of individuals benefiting indirectly as a result of USDA assistance

DEFINITION: This is an output indicator measuring the number of individuals indirectly benefitting from USDA-funded interventions. The individuals will not be directly engaged with a project activity or come into direct contact with a set of interventions (goods or services) provided by the project. This may include for example family members of farmers trained. Participants' neighbors that, due to spontaneous spillover, apply USDA-promoted improved management practices or technologies may also be counted as indirect beneficiaries if Recipients use clearly documented assumptions that are regularly validated through spot surveys or similar methods.

Individuals should not be double counted. Individuals may benefit from multiple interventions in one fiscal year but should only be counted once per fiscal year. If an individual is already counted as a participant under Indicator 22, the individual should not also be counted as an indirect beneficiary if they are indirectly benefitting from other project interventions. For example, if a farmer is counted as a participant after directly participating in a training course, the farmer should not also be counted as an indirect beneficiary if another family member participates in a different training course.

RATIONALE: Tracks indirect impact of project on community or area of intervention.

INDICATOR CHARACTERISTICS

UNIT OF MEASURE:	**INDICATOR LEVEL:**	**DIRECTION OF CHANGE:**	**FREQUENCY OF REPORTING:**
Number: Individuals	Output	Higher is better	Annually covering the period: October 1 – September 30

DISAGGREGATION: None

DATA SOURCE:

WHO COLLECTS DATA FOR THIS INDICATOR: Data will be collected by Recipients.

HOW SHOULD IT BE COLLECTED: Data will be collected from program participant tracking records and reports.

MEASUREMENT NOTES:

Only indirect beneficiaries should be counted under this indicator. Individual beneficiaries should not come into direct contact or receipt of an intervention or set of interventions, but should indirectly benefit from one or more of the project's interventions. For example, *family members* who benefit from training should be counted under this indicator but *farmers* receiving the training should be counted as participants.

BASELINE INFO: Baseline is zero.

DATA ENTRY IN FAIS:

The indicator title must be entered into the relevant performance reporting section of FAIS ***VERBATIM*** to allow for the information to be collected correctly.	
RELATIONSHIP TO THE FEED THE FUTURE (FtF) INITIATIVE	
FtF INDICATOR: No	**DEFINITIONAL AND MEASURMENT NOTES:** None

FFPr RESULTS FRAMEWORK 1: Increased Agricultural Productivity **FFPr RESULTS FRAMEWORK 2:** Expanded Trade of Agricultural Products	**FFPr SO1:** Increased Agricultural Productivity **FFPr SO2:** Expanded Trade of Agricultural Products

FFPr INDICATOR 24: Number of USDA social assistance beneficiaries participating in productive safety nets

DEFINITION: Productive safety nets are programs that protect and strengthen food insecure households' physical and human capital by providing regular resource transfers in exchange for time or labor. Generally, there are three kinds of activities that can provide the foundation of a "productive safety net" program. These are:

- Activities which strengthen community assets (e.g., public works);
- Activities which strengthen human assets (e.g., literacy training, and HIV, prenatal and well-baby visits); and/or
- Activities which strengthen household assets (e.g., livelihood diversification, agriculture extension, micro savings and credit)

Participants in Cash For Work activities that receive regular payments in exchange for their labor contribution to a physical community asset such as a road or irrigation canal are social assistance beneficiaries. What sets productive safety nets apart from other social assistance programs is that the assistance—a predictable resource transfer—is provided in exchange for labor or to offset the opportunity cost of an investment of time. For this reason they are sometimes referred to as "conditional" safety net programs. Another difference is an expectation that, over time, individuals or households enrolled in a productive safety net program will "graduate" from that program.

RATIONALE: This indicator measures number of people participating in United States Government supported social assistance programming with productive components aimed at increasing self-sufficiency of the vulnerable population. This is an output indicator and is applicable to multiple parts of the Global Food Security Strategy results framework.

INDICATOR CHARACTERISTICS

UNIT OF MEASURE:	**INDICATOR LEVEL:**	**DIRECTION OF CHANGE:**	**FREQUENCY OF REPORTING:**
Number	Output	Higher is better	Annually covering the period: October 1 – September 30

DISAGGREGATION:

Type of Asset strengthened: Community assets, Human assets/capital, and Household assets

Sex: Male, Female

Duration:

- New = this is the first year the person participated in a productive safety net
- Continuing = this person participated in the previous reporting year and continues to participate in the current reporting year

DATA SOURCE: WHO COLLECTS DATA FOR THIS INDICATOR: Data will be collected by Recipients. HOW SHOULD IT BE COLLECTED: Participant-based survey, activity records	
MEASUREMENT NOTES: BASELINE INFO: Baseline is zero.	
DATA ENTRY IN FAIS: The indicator title must be entered into the relevant performance reporting section of FAIS ***VERBATIM*** to allow for the information to be collected correctly.	
RELATIONSHIP TO THE FEED THE FUTURE (FtF) INITIATIVE	
FtF INDICATOR: Yes [ES.5-1]	**DEFINITIONAL AND MEASURMENT NOTES:** For more guidance on the Feed the Future indicator, please refer to the Feed the Future Indicator Handbook (https://www.agrilinks.org/post/feed-future-indicator-handbook).

APPENDIX - H
USDA Monitoring and Evaluation Policy



Monitoring and Evaluation Policy

Foreign Agricultural Service – Food Assistance Division
United States Department of Agriculture

February 2019

Background

USDA is committed to ensuring a strong culture of evaluation and learning from experience. The policy described in this document sets forth an ambitious agenda for monitoring and evaluation in the Foreign Agricultural Service (FAS) and demonstrates the Agency's will to achieve results that make positive changes for people living in poverty. The Agency places a high level of importance on managing for results, and to this end, the Food Assistance Division (FAD) adheres to a Results Oriented Management (ROM) approach that supports the Agency's capacity to manage public resources thoughtfully, to ensure accountability and transparency, and to help ensure that programming is driven by evidence and not by anecdote.

The purpose of this monitoring and evaluation policy is to institutionalize results oriented management in the programs administered by FAD, in particular the McGovern-Dole International Food for Education and Child Nutrition (McGovern-Dole), the Food for Progress, and the Local and Regional Food Aid Procurement Programs. This policy will guide the integration and implementation of monitoring and evaluation systems and processes into FAD programs and will serve to inform Agency staff and stakeholders of its expectations regarding program monitoring and evaluation. The policy outlines the purpose of monitoring and evaluation, the range of methods used to monitor and evaluate programs, the roles and responsibilities of Agency staff, program participants, and other key stakeholders, and the ways in which monitoring and evaluation information will be used and disseminated to inform decisions regarding program management and implementation.

This policy also seeks to address the findings from external reviews that have been focused on USDA food assistance programs. In 2007, and again in 2011, GAO conducted an assessment of the effectiveness and efficiency of U.S. Government food assistance programs.[1] These reports noted the need for improvements in monitoring and evaluating USDA's food assistance programs. GAO also conducted assessments on federal agencies' monitoring and evaluation policies (2016) and on the quality and dissemination of agencies' program evaluations (2017). These assessments included USDA and reflected that FAD's M&E practices meet many of the quality standards in the evaluation field, but that there remains room for improvement.[2] In response to these reports and previous reports conducted by GAO and the USDA Office of the Inspector General (OIG), FAS established a Monitoring and Evaluation unit within the Office of Capacity Building and Development (OCBD) in FY 2007. The Monitoring and Evaluation Staff (MES) is responsible for managing and providing technical assistance in performance management and evaluation of capacity building and development programs, including food assistance programs.

FAD's monitoring and evaluation policy as it is described in this document, is based on various laws and policies that guide performance management and the review of food assistance programs. The *Government Performance and Results Act* (GPRA) established in 1993 and the subsequent

[1] For more information see: http://www.gao.gov/new.items/d07560.pdf and http://www.gao.gov/new.items/d11491.pdf.
[2] For more information see: https://www.gao.gov/assets/690/680042.pdf and https://www.gao.gov/assets/690/683157.pdf.

GPRA Modernization Act established in January 2011, require agencies to develop and regularly report on Agency goals and objectives, including outcome oriented goals, performance indicators, targets, and their links to U.S. Government priorities.[3] The FAD M&E Policy also reflects monitoring and evaluation guidelines issued by the Office of Management and Budget (OMB) on how Federal Agencies can comply with the Foreign Aid Transparency and Accountability Act (FATAA) of 2016 (FATAA guidelines).[4]

Furthermore, USDA adheres to the Paris Declaration Principles on Aid Effectiveness, as well as the Accra Agenda for Action, which reconfirmed and amplified the principles of ownership, mutual accountability, and managing for results.[5] The Agency's evaluation policy also draws significantly from guidance established by the American Evaluation Association on a more effective government and the Organization for Economic Cooperation and Development's (OECD) Development Assistance Committee (DAC).[6] The OECD/DAC Evaluation Network aims to increase the effectiveness of international development programs by supporting robust, informed, and independent evaluation through improving evaluation policy, sharing good practice, and supporting the development of operational and policy lessons.

The FAD monitoring and evaluation policy is also guided by food assistance program legislation. Food for Progress, McGovern-Dole, and Local and Regional Food Aid Procurement (*see* 7 CFR Part 1499.13, 7 CFR Part 1599.13, and 7 CFR Part 1590.13) require, unless otherwise specified in an agreement, independent, third party evaluations.[7] The legislation governing the monitoring and evaluation requirements for these programs is further established and defined in this policy.

Beginning in 2009, the Food Assistance Division (FAD) of USDA/FAS began to undertake a strategic course of action to develop and institute a comprehensive ROM System to support the achievement of Division and Agency-wide program goals. Results Oriented Management focuses on higher-level program results such as the outcomes and the impact of programs, while also monitoring program activities, inputs and outputs. It promotes management decision-making at a more strategic level than can be achieved through tracking activities, collecting anecdotes and documenting individual success stories. ROM can help to improve internal and external program coordination and ensure that funds are allocated to programs that achieve results and have the greatest impact. To this extent, FAD's ROM System is integrated into key management structures and processes within the Division including, strategic planning, performance and accountability reporting, policy formulation, project management, financial and budget management, and human resource management.

This policy is effective from the date established and will be applicable to all food assistance programs. This policy applies fully to projects funded in FY2018 and beyond, while projects funded

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[3] For more information see: https://www.gpo.gov/fdsys/pkg/BILLS-111hr2142enr/pdf/BILLS-111hr2142enr.pdf
[4] For more information see: https://www.whitehouse.gov/wp-content/uploads/2017/11/M-18-04-Final.pdf and https://www.gpo.gov/fdsys/pkg/PLAW-114publ191/content-detail.html.
[5] For more information see: http://www.oecd.org/dac/effectiveness/parisdeclarationandaccraagendaforaction.htm
[6] For more information see: https://www.eval.org/evaluationroadmap and http://www.oecd.org/dac/evaluation/
[7] For more information see: https://www.gpo.gov/fdsys/granule/CFR-2012-title7-vol10/CFR-2012-title7-vol10-sec1599-13 (McGovern Dole), https://www.gpo.gov/fdsys/granule/CFR-2012-title7-vol10/CFR-2012-title7-vol10-sec1499-13 (Food for Progress), and https://www.gpo.gov/fdsys/pkg/CFR-2018-title7-vol10/pdf/CFR-2018-title7-vol10-sec1590-13.pdf (Local and Regional Food Aid Procurement).

in FY2017 and before will use the policy as a guiding principle in fulfilling the established requirements of their current agreement. The original policy first published in May 2013 applied fully to projects funded in FY2012 and served as a guiding principle for projects funded in FY2010 and FY2011.

Definitions and Purpose - Monitoring and Evaluation

This policy applies to the three Food Assistance programs previously mentioned – the McGovern-Dole International Food for Education and Child Nutrition (McGovern-Dole), the Food for Progress, and the Local and Regional Food Aid Procurement Programs – and to the individual projects within each program. A project is comprised of a complementary set of activities, implemented by an organization, in a country or countries, over an established period of time. USDA performs monitoring and evaluation at the program level, though much of the guidance in this policy reflects monitoring and evaluation at the project level.

All food assistance projects will support this monitoring and evaluation policy and the relevant ROM program frameworks by developing and implementing a range of monitoring processes and structures including, a results framework outlining the project's causal logic and the critical assumptions underpinning the project's strategy, a performance monitoring plan that includes performance indicators and data collection methods and approaches, and an evaluation plan. This approach is complementary to FAD's operational guidelines related to project design and implementation including, among other things, the use of project audits, work plans, and financial plans.

Monitoring involves connecting relevant information to strategic decisions. Monitoring is used by program management and key stakeholders to assess performance and use of program resources. It assists in the oversight and continuous review of program implementation and the assessment of progress in meeting program objectives and results. Monitoring should be based on systematic data collection of established performance indicators including process, output, and outcome indicators. Performance monitoring is necessary for project management but it is only one part of a ROM system.

Accountability: Obligation to demonstrate that work has been conducted in compliance with agreed rules and standards or to report fairly and accurately on performance results vis a vis mandated roles and/or plans. This may require a careful, even legally defensible, demonstration that the work is consistent with the contract terms.

Monitoring is complementary to evaluation and both processes support FAD's ROM system. As such, monitoring and evaluation plans should be developed in coordination with one another to ensure the most efficient and effective use of resources and information.

Evaluation is the systematic and objective assessment of both on-going and completed projects with regard to a project's design, implementation, and results. Evaluations are used to deepen the Agency's understanding about how and why things work or do not work, to provide evidence of

success, and to strengthen future programming and strategic planning. Specifically, evaluations aim to assess the relevance, effectiveness, efficiency, sustainability, and impact of a project or program.

Evaluation is a tool for learning and accountability. Accountability is understood as involving two responsibilities or duties: the responsibility to undertake certain actions and the responsibility to provide an account of those actions. The four primary audiences of accountability include donor accountability, which emphasizes financial accounting and results attainment, beneficiary accountability, which involves project implementation, practice, policies, and outcomes, internal accountability, which pertains to organizational mission, values, members, supporters, and staff, and finally horizontal accountability, which comprises peer agencies and institutions of practice.

As stewards of public resources, USDA is accountable to the American people and to program beneficiaries and stakeholders. Of primary concern is that the resources reach the target beneficiaries and that they actually produce the intended changes to reduce food insecurity; improve literacy; increase use of health, nutrition and dietary practices; increase agricultural productivity; expand trade; and improve effectiveness of food assistance through local and regional procurement. When rigorous and carefully designed evaluations are transparent and made publicly available, they help to ensure that public resources are used as effectively and efficiently as possible.

To be accountable also implies the need to learn from programmatic successes and failures. Organizational learning is a key focus of evaluations in FAS with the primary audience including USDA, program participants, other key stakeholders and national and local governments where the programs are implemented. Important in the learning process is the translation from evaluation findings and recommendations to changes in the design and implementation of programs and program planning and management. USDA will also ensure the sharing of lessons learned to the broader group of stakeholders through the publication of evaluations.

USDA strives to have an integrated system for reporting and follow-up on evaluation findings and recommendations. The system will seek to enhance and improve learning within USDA, among and across regions, programs and sectors and to ensure that where applicable, lessons learned about programs in Latin America, for example, are shared with Agency staff and organizations managing and implementing programs in Africa and Asia.

Guiding Principles for Monitoring and Evaluation

This monitoring and evaluation policy adheres to a number of guiding principles. Taken together, the principles are mutually reinforcing and complimentary to ensure that the monitoring and evaluation policy and its supporting processes and systems meet the desired purpose of learning and accountability. The monitoring and evaluation processes and systems underpinning this policy will become an integral component of project design and management.

Monitoring will be conducted throughout the duration of each project. The monitoring data and information will serve to inform the performance monitoring reports and support management decisions and ongoing, organizational learning. Monitoring should be objective, based on data

quality standards, logically linked to program efforts, useful, and should measure changes plausibly caused by the project. Project management, including program participants, USDA program staff, and other key stakeholders, will be responsible for the continuous use of monitoring and evaluation information in the implementation of the projects. Such information will assist project management in identifying opportunities and challenges and whether or not mid-course project alterations need to be made, what changes need to be made, and how such changes should be implemented.

Regular monitoring and evaluation information will also be used by FAS to meet its regular reporting and accountability requirements. This includes the Department's annual Performance and Accountability Report[8], annual budget requests, interagency reports, and Congressional, OIG, and GAO reviews as well as public requests.

To the extent possible and feasible, evaluations will be timed in order to inform project funding decisions. This will help to ensure that management decisions regarding future project funding are evidence based and strengthen the link between results and resource allocation. An expanded body of knowledge about effective interventions and necessary conditions for project success and sustainability will also improve future project design and strategy.

Reflective of USDA's commitment to ownership and mutual accountability, monitoring and evaluation principles will, to the extent possible, seek to build and enhance partnerships, build the capacity of organizations to conduct rigorous monitoring and evaluation, and increase the knowledge base on lessons learned and good practices in international efforts to address food insecurity.[9]

Evaluation efforts managed by FAS focusing on strategic areas of interest, special studies, and impact evaluations will be undertaken in partnership with other USG agencies, other donor governments and foreign governments to the extent possible and feasible. Such an approach will support the Paris Declaration principles on harmonization and partnership and the U.S. Government efforts to ensure a whole of government approach.

Principles for Monitoring and Evaluation:

- Designed and timed for use
- Use the Best Methods Available
- Practical and Efficient
- Planned Early
- Sufficiently Resourced
- Conducted Ethically

USDA supports the use of multiple evaluation designs depending on the purpose of the evaluation. As a general principle, evaluations should be designed using the most rigorous evaluation methodology appropriate and feasible and with due consideration to available resources. The selection of an evaluation design should take into account factors including the history of the project or similar projects in the country, and whether the project or an aspect of the project is a "pilot" or is as-yet untested. The selection of evaluation methods should depend on the purpose of the evaluation, the questions being asked, the level of rigor and evidence required, and project design. Mixed methods

[8] For more information see: https://www.usda.gov/our-agency/about-usda/performance

[9] For more information see: https://www.whitehouse.gov/wp-content/uploads/2017/11/M-18-04-Final.pdf

approaches should most often be used including both qualitative and quantitative methods to the extent possible and practicable.

Impact evaluations, using quasi-experimental and experimental designs, including randomized evaluations, will be supported by USDA as appropriate. Impact evaluations aim to assess changes in program participants' behaviors or wellbeing and seek to establish a cause and effect relationship. Direct and indirect impacts will be assessed as well as intended and unintended impacts.

Impact evaluations implemented by USDA and program participants must include a well-defined counterfactual and seek to assess whether, for example, a school feeding program led to observed changes in learning and school performance or whether the observed changes in school performance were a result of other changes in the implementing environment. Impact evaluations aim to identify attribution of the program interventions to the outcomes observed using control or comparison groups.

Counterfactual: The situation or condition which hypothetically may prevail for individuals, organizations or groups were there no development intervention.

As specified in regulations (*see* 7 CFR Part 1499.13, 7 CFR Part 1599.13, and 7 CFR Part 1590.13), evaluations will be independent and conducted by a third party. Specifically, the regulations specify that the third party conducting the evaluation:

- Is financially and legally separate from the participant's organization;
- Has staff with demonstrated knowledge, analytical capability, language skills and experience in conducting evaluations of development programs involving agriculture, education, and nutrition;
- Uses acceptable analytical frameworks such as comparison with non-project areas, surveys, involvement of stakeholders in the evaluation, and statistical analyses;
- Uses local consultants, as appropriate, to conduct portions of the evaluation; and,
- Provides a detailed outline of the evaluation, major tasks, and specific schedules prior to initiating the evaluation.

Independence of the evaluation function from program implementation and management is a core principle of USDA evaluation. Independence helps to ensure both credible and objective evaluations. USDA supported evaluations should be conducted by people who are not involved in the implementation and management of the project, and the evaluation process must be free from political influence and organizational pressure. For external evaluations, all evaluation team members will provide a signed statement attesting to a lack of conflict of interest, or disclosing any real or potential conflicts of interest.

Another guiding principle for FAD's M&E Policy is that monitoring and evaluation should be

conducted in an ethical manner. [10] Monitoring and evaluation activities should appropriately balance the desired creation of evidence with the protection of human subjects, including safeguarding the dignity, rights, safety, and privacy of participants. Evaluators are responsible for applying ethical principles in all stages of the evaluation, and for raising and clarifying ethical matters with stakeholders during the course of the evaluation.[11]

USDA supports projects that incorporate and support rigorous and robust monitoring and evaluation systems from the design or proposal stage, throughout the project duration, and, to the extent possible, post-project implementation.

Project Development

Results Frameworks

Before awards are made, organizations are responsible for clearly identifying and articulating how the proposed project will contribute to USDA food assistance program results frameworks. USDA Food Assistance Results Frameworks can be found on the Food Assistance Information System's website.[12] Organizations should clearly identify the project strategy and what result(s) the project expects to achieve. Organizations, therefore, must develop a project specific results framework that a) identifies the project's logic and expected results at various levels and b) clearly links to the USDA program results frameworks.

The proposed project strategy and expected results should be clearly grounded in the country context and knowledge of existing relevant national and local programs. For example, a proposal submitted in support of USDA's McGovern-Dole program focused on improving literacy of school age children may focus on the intermediate results for improving quality of literacy instruction and improving attentiveness and exclude project activities focused on improving student attendance if the proposal can clearly justify that school attendance is not a hindering factor in improving literacy. Countries, for example, with high rates of school enrollment and attendance and access to schools may not necessarily warrant project activities focused on this intermediate result.

The project-level results framework will be used to guide project monitoring and evaluation.

Performance Monitoring Plans

In addition to submitting a project-level results framework, organizations will submit a draft performance monitoring plan (PMP) that defines performance indicators and identifies data

[10] For more information see: https://www.whitehouse.gov/wp-content/uploads/2017/11/M-18-04-Final.pdf
[11] For more information see: https://www.eval.org/p/cm/ld/fid=51
[12] Please see the Food Aid Information System website at: https://apps.fas.usda.gov/fais/public

sources, collection methods, and reporting frequency, as well as why and by whom indicator data will be analyzed, used, and reported.[13] The plan must include the relevant FAD standard indicators and should include custom (project-specific) indicators if applicable. FAD standard indicators have been identified in the *Food Assistance Indicators and Definitions* handbook.[14] Standard indicators are used by USDA to measure progress in achieving USDA's *program* results. The standard indicators will allow USDA to report progress among all of its projects across results areas (*i.e.* literacy, good health, nutrition and dietary practices, agricultural productivity and trade) or country specific achievements. Feed the Future and other interagency standard indicators will be incorporated into FAD's standard indicator handbook. All standard indicators are required for projects to report on where relevant to the project's strategy.

In addition, organizations may include custom indicators that they deem key to monitoring program performance and accountability. As a good practice, these custom (project-specific) indicators should be based on broad stakeholder input. Although not required, organizations should include custom indicators that have been developed through a participatory approach involving key stakeholders. The organization may wish to hold a stakeholders meeting to develop the project's proposed results framework, performance monitoring plan, and performance indicators. Using a participatory approach will help to ensure that all stakeholders' requirements and needs are met, comprehensive knowledge of the implementing environment and country needs, knowledge of existing data collection tools and activities for performance data collection, institutionalization and ownership of the results framework and project strategy, and clearly articulated roles and responsibilities.

In the development of standard and custom indicators, USDA 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.

In addition to drafting a PMP, organizations will also establish draft baseline values and annual

[13] For a sample PMP and key components of a PMP, please see Annex A.
[14] Please see the Food Assistance Division website at: https://www.fas.usda.gov/programs/resources/guidance-food-aid-program-standard-indicators.

and life-of-project targets for all indicators during project development. Established targets should be realistic and ambitious. Baseline values will be confirmed when the baseline evaluation is done after the agreement is underway, and the project may request to amend baseline values or targets if the baseline data justifies such changes.

Evaluation Plans

Organizations will draft a preliminary evaluation plan with a description of required evaluation activities, including proposed design, methodology, timeframe, and management of evaluation activities. Organizations should include a detailed description of their evaluation management function and budget allocation for monitoring and evaluation. The evaluation plan should also include a section describing the proposed monitoring system and protocols for collecting, storing, analyzing, and using data as part of regular project monitoring.

USDA recognizes the range of project sizes, scopes, and durations across the Division's programs. As described above, USDA will support the use of multiple evaluation designs depending on the project characteristics and purpose of the evaluation. In support of USDA's general principles for evaluations, evaluations should be designed using the most rigorous methodology appropriate and feasible taking into account available resources, project strategy, current knowledge and evaluation practices, and the implementing environment. Proposals should aim to include strong evaluation design, including impact evaluation that seeks to advance the knowledge base and lessons learned in Food Assistance.

Organizations submitting proposals under any of the food aid solicitations may propose to engage with partners with strong expertise in evaluation to assist in evaluation design, implementation, data collection, and analysis. Advantages of engaging with an experienced independent evaluation firm from the initial project design phase include a better ability to integrate a rigorous evaluation design into activity planning, and more broadly a chance to mitigate challenges and build a strong M&E foundation from the project's inception. Proposing organizations should also consider the appropriate costs for the management and implementation of monitoring and evaluation activities.

Organizations must allocate, at a minimum, three percent (3%) of the project budget towards monitoring and evaluation. The three percent minimum is exclusive of organization monitoring and evaluation staff salaries and staff travel. Design of monitoring databases, database licenses, infrastructure for data collection such as tablets, and external contracts for evaluations and special studies are typically included in the three percent minimum. For evaluation plans which include conducting impact evaluations, FAS expects costs to range between five to ten percent (5% - 10%) of the project budget.

Project Implementation

After project award, project performance monitoring plans and evaluation plans will be finalized in coordination and cooperation with FAD program staff and MES within three (3) months after project award. FAD program staff and MES will

work with the program participant to finalize the performance monitoring and evaluation plans. This may include refinements to the plan to ensure that the definitions for the USDA standard indicators are clearly articulated, indicators selected and identified are appropriate and consistent with USDA expectations, and plans for performance measurement, evaluation and reporting meet USDA requirements.

Projects will be responsible for establishing indicator baseline information and targets for which the project will regularly measure performance against. The baseline information for indicators must be measured and established prior to the start of project activities.

During project implementation the project will be responsible for:

- Submitting a revised performance monitoring plan and evaluation plan three (3) months after project award
- Submitting external evaluation TORs and reports to USDA for review and approval
- Reporting performance on indicators and targets semi-annually in project performance reports
- Updating USDA on any changes to the project's monitoring and evaluation, including requesting changes to targets if desired

Having a valid baseline is critical as a foundation for quality monitoring and evaluation throughout a project's life cycle, but project participants may work with USDA to identify potential opportunities to begin project activities with a continuing population in a project, or with a population outside the baseline sample, on a case-by-case basis. Additionally, projects should carefully consider how the selection of their beneficiaries affects the design of their baseline study and should consult with USDA on the timing of beneficiary identification and data collection. Projects must submit a terms of reference document describing the baseline study to USDA for review and approval.

Projects should submit a baseline evaluation within six (6) months of award signing, for USDA review and approval.[15] Final versions of USDA baseline evaluation reports will be made public. After the baseline evaluation is approved, projects are required to report progress and achievements in meeting the targets established for each of the standard and custom indicators in the semi- annual performance reports. Such information will help project management, FAD staff, and key stakeholders determine whether the project is on track to achieve its intended results. Discussion of the performance indicators must include a narrative description, as outlined in the PMP, of how the project used the information for project management. Target modifications can be requested after baseline information is submitted and updated in a baseline amendment.

Following submission of the project semi-annual performance reports, FAD staff will review the reports and provide, in writing, any follow-up observations or questions for the project team. FAD may request, for example, additional information or clarifications regarding the performance indicator data submitted or seek to discuss challenges or opportunities that may

[15] For example, if the award is signed September 30, baseline information should be submitted by March 31. On a case-by-case basis, USDA will consider extension requests for submitting baseline information.

have arisen during the reporting period. FAD may request a conference call with or a written response from the project team to discuss the project reports.

The project semi-annual performance reports and monitoring data and information will help to inform project midterm and final evaluations.

Midterm Evaluations

The purpose of midterm evaluations may vary across projects and will depend on the evaluation design outlined in the evaluation plan. In general, however, midterm evaluations should be used to assess progress in implementation; assess the relevance of the interventions; provide an early signal of the effectiveness of interventions; document lessons learned; assess sustainability efforts to date; and discuss and recommend mid-course corrections, if necessary. A variety of methodologies may be used to carry out midterm evaluations. While midterms typically use some or all of the same methodologies and tools as the baseline and final evaluations, the evaluation plan should explain and justify any differences in the midterm design.

All food assistance projects of four (4) years in duration or longer are required to carry out a midterm evaluation. FAS will negotiate with organizations whether and to what extent a project of three (3) years in duration or shorter will carry out a midterm evaluation. The purpose of the evaluation is to critically and objectively review and take stock of the project's implementing experience and the implementing environment, assess whether targeted beneficiaries are receiving services as expected, assess whether the project is on track in meeting its stated goals and objectives, review the project-level results frameworks and assumptions, document initial lessons learned, and discuss necessary modifications or mid-course corrections that may be necessary to effectively and efficiently meet the stated goals and objectives.

The project will be responsible for managing and allocating sufficient funds for the midterm evaluation. The midterm evaluation must be conducted by an independent third party. According to the food assistance program regulations, the independent third party conducting the evaluation must be financially and legally separate from the organization.[16] The purpose of contracting with an independent consultant is to bring an independent and unbiased perspective to the evaluation process and to bring specialized skills or experiences to the project evaluation process where necessary.

If the organization maintains an evaluation unit, USDA requires that the organization's evaluation unit provide oversight on the evaluation.

[16] OECD/DAC Working Party on Aid Evaluation defines a review as "an assessment of the performance of an intervention, periodically or on an ad hoc basis" and notes that the use of the term "evaluation" tends to refer to a more comprehensive or in-depth assessment than a "review". Reviews tend to emphasize operational or implementation aspects of a project. FAD subscribes to this definition and the focus on implementation issues and considers a project review to satisfy midterm evaluation requirements. For more information on the evaluation definitions please see: http://www.oecd.org/dataoecd/29/21/2754804.pdf.

Midterm Project Evaluation		
	Process	**Timing**
✓	Prepare for midterm project evaluation	
✓	Identify internal project evaluation team	
✓	Develop project evaluation TOR , including methodology	Approximately four (4) months after implementation of key project activities
✓	Submit TOR to USDA for review and approval	
✓	Identify external consultant	
✓	Conduct assessment and collect stakeholder input	
✓	Submit final midterm evaluation report to USDA	Within 90 days following evaluation fieldwork and no more than 15 days after evaluation report completion
✓	Discuss actions to address findings and recommendations with USDA project manager	No later than 30 days following submission of final midterm evaluation report
✓	Report on implementation of follow-up actions	Ongoing, in future project reports as appropriate

The evaluation should be managed by an organizational staff person or a project staff person with significant knowledge and expertise concerning evaluation. Ideally, the organization would maintain an evaluation unit that was separate from the staff or line management function of the project being evaluated. Such a structure helps to ensure the independence and impartiality of the evaluation process and report of findings, conclusions and recommendations. In their evaluation management role, organizational or project staff can participate in the evaluation by giving input to evaluation questions, or providing logistical support in locating beneficiary sites to the evaluator, for example. The evaluator, however, should directly collect data from beneficiaries and analyze that data, for example. When conducting the midterm evaluation, the project should consider participatory approaches to involving key stakeholders including implementing partners or sub-contractors, local and national government partners, project beneficiaries and other donor partners. The project shall also invite USDA to participate in the evaluation, particularly during discussions related to mid- course corrections or changes in strategy, results frameworks, and critical assumptions.

The evaluation may occur precisely at the mid-point in project implementation (i.e. for a 30 month project the midterm review may occur during month 15) or earlier depending on the project work plan and implementation timeline. Exact timing of midterm data collection may also be adjusted to account for factors such as delays in project implementation start, timing of baseline data collection, the school calendar, and the agricultural season. Literacy assessments, for example, should occur at the same time during each school year, and the midterm evaluation schedule should account for this. The project may determine the most strategic timing of the evaluation, however, the timing should allow for sufficient time for the implementation of project activities. The project should allow at least four months of implementation of key project activities before developing the terms of reference (TOR) for the midterm evaluation. The project is required to keep USDA up to date on the scheduling of the midterm evaluation through the submission of project reports.

The program participant's evaluation unit will develop the TOR for the midterm evaluation which includes the purpose and scope of the evaluation, specific issues or questions to be addressed in the evaluation, prospective approach and methodology, timing and work plan of the evaluation, ethical considerations, and evaluation management and selection of the evaluation team. The evaluation TOR must be submitted to USDA for review and approval prior to the selection of the evaluation team and implementation of the evaluation. As a general practice, the draft evaluation TOR should be submitted to USDA no later than three (3) months prior to the start of the evaluation activities.

Unless identified in the project proposal, the independent evaluation consultant(s) should be selected through a competitive procurement process. The selection of the evaluation contractor or consultant(s) must be based on professional competency, experience in relation to the evaluation tasks, independence from the program participant, avoidance of conflict of interest, and experience and knowledge of the country in which the evaluation will be conducted.

As the final output of the evaluation, the project is required to submit a detailed report outlining the purpose of the evaluation, methodology, primary questions, findings, lessons learned to date, and recommendations. The final midterm evaluation report should include proposed actions the project deems appropriate to address the review findings and recommendations. The project is required to submit the midterm evaluation report to USDA for review and approval. The final report must be submitted to USDA within 90 days following the evaluation fieldwork and within 15 days of finalizing the midterm evaluation report.

Within 30 days of receiving the final midterm evaluation report, USDA will engage collaboratively with the project staff to discuss the proposed actions that need to be taken to address the findings and recommendations. The participating organization must include information on the progress of implementation of the agreed upon actions in future semi-annual performance reports. Final versions of midterm evaluation reports will be made publicly available.

Final Evaluations

Each project is required to undergo a comprehensive, independent final evaluation. The purpose of the final evaluation is to assess whether the project has achieved the expected results as outlined in the project-level results framework. The final evaluation should assess areas of project design, implementation, management, lessons learned, and replicability. It should seek to provide lessons learned and recommendations for USDA, program participants and other key stakeholders for future food assistance and capacity building programs. The evaluation will likely use mixed methods approaches as outlined in the agreed upon evaluation plan. In general the final evaluation should assess:

Relevance-The extent to which the project interventions met the needs of the project beneficiaries and is aligned with the country's agriculture and/or development investment strategy and with USDA and US Government's development goals, objectives, and strategies. Relevance should also address the extent to which the project was designed taking into account the economic, cultural and political context and existing relevant program activities.

Effectiveness-The extent to which the project has achieved its objectives. Effectiveness should also assess the extent to which the interventions contributed to the expected results or objectives.

Efficiency-The extent to which the project resources (inputs) have led to the achieved results. An assessment of efficiency should also consider whether the same results could have been achieved with fewer resources or whether alternative approaches could have been adopted to achieve the same results.

Impact-Assessment of the medium and long-term effects, both intended and unintended, of a project intervention. Effects can be both direct or indirect and positive or negative. To the extent possible, the evaluation should assess the extent to which the effects are due to the project intervention and not other factors.

Sustainability-Assessment of the likelihood that the benefits of the project will endure over time after the completion of the project. Sustainability should also assess the extent to which the project has planned for the continuation of project activities, developed local ownership for the project, and developed sustainable partnerships.

In addition to the focus on relevance, effectiveness, efficiency, sustainability and impact as described above the evaluation may focus on other areas of particular interest to USDA, project staff or key stakeholders. Input on the scope and purpose of the evaluation therefore must be solicited from key stakeholders during the planning stages of the evaluation as described.

The program participant will be responsible for allocating sufficient funds, managing, and contracting with an independent consultant(s) to conduct the final evaluation. As with midterm evaluations, if the program participant maintains an evaluation unit, USDA requires that the unit provide oversight on the evaluation. The evaluation should be managed by an organizational staff person or a project staff person with significant knowledge and expertise concerning evaluation. Ideally, the organization would maintain an evaluation unit that was separate from the staff or line management function of the project being evaluated. Such a structure helps to ensure the independence and impartiality of the evaluation process and report of findings, conclusions, and recommendations.

The timing of the final evaluation should be established at the start of the project and included in the project work plan and updated as appropriate. In general, the evaluation should be timed to inform new programming decisions and strategies. Final project evaluations should be planned at least six (6) months prior to the completion of a project.

USDA supports a participatory evaluation process. This helps to ensure the quality, validity, utility and mutual ownership of the evaluation findings and recommendations. As a result, USDA staff, as well as, relevant program participant staff and key stakeholders should be involved cooperatively in the design and implementation of the evaluation to the extent possible and appropriate including but not limited to the evaluation preparation and planning, as a key informant and key stakeholder, reviewing findings, conclusions and recommendations to ensure factual accuracy of the evaluation report and discussing and addressing evaluation recommendations.

The organization's evaluation unit should develop a TOR for the evaluation which includes the purpose and scope of the evaluation, specific issues or questions to be addressed in the evaluation, prospective approach and methodology, timing and work plan of the evaluation, ethical considerations, and evaluation management and selection of evaluation team. The evaluation TOR must be submitted to USDA for review and approval prior to the selection of the evaluation team and implementation of the evaluation. As a general practice, the draft evaluation TOR should be submitted to USDA no later than three (3) months prior to the start of the evaluation activities.

Unless identified in the project proposal, the independent evaluation consultant(s) should be selected through a competitive procurement process. The selection of the evaluation contractor or consultant(s) must be based on professional competency, experience in relation to the evaluation tasks, independence from the program participant, avoidance of conflict of interest, and experience and knowledge of the country in which the evaluation will be conducted.

The final evaluation report must be submitted to USDA for review and approval within 90 days following the evaluation fieldwork and before the project closes (before the project end date). The final project evaluation will be made public as described below.

Other Evaluation Activities

FAD, in cooperation with MES, may identify additional evaluation activities of strategic interest to the Agency. This may include higher-level country-based or thematic evaluations. FAD may focus specific evaluation activities, for example, on understanding the impact of microfinance activities or agricultural extension programs on agricultural productivity.

USDA managed evaluations may also include impact evaluation activities as defined above. Such activities require collaboration with the program participants and therefore will be defined in more detail in the solicitation process.

When selecting projects to undergo impact evaluation FAD will consider:

- Projects that have the potential or expectation to scale-up or receive future funding;
- Projects that propose new interventions, where little evidence on their effectiveness exists;
- Projects that are considered "pilot" projects; and
- Projects or interventions receiving a significant amount of USDA funds.

USDA may also decide to conduct an evaluation after project completion. Such an evaluation may seek to assess the long-term effects and sustainability of a project.

In order to ensure the availability of adequate data and information to support a post-project evaluation USDA may require a project to submit any quantitative data that is collected by the project, in particular data that is collected for evaluation purposes. The data must be submitted in a user-friendly readable format with accompanying data documentation. Data submitted should not be aggregated but should be individual level record data. The data and proper documentation should be provided in a format that is sufficiently useable and readable by USDA or its evaluation contractor.

Data Quality Standards and Assessment

USDA and program participants utilize monitoring and evaluation data to inform current and future funding activities, assess the performance of its programs, and report on the results of its programs to external stakeholders including Congress, other USG partner agencies, OMB, GAO, other external stakeholders including partner countries and the public. Therefore, USDA places a strong emphasis on ensuring a high level of data quality for its performance measures.

The following criteria should be considered when assessing data quality:[17]

Validity – Data measure the result or outcome it is intended to measure.
Reliability – Data collected over time are comparable. Trends are meaningful and allow for measurements of progress over time. Data collection methods and analyses are consistent over time.
Precision – Data have a sufficient level of detail to be useful in decision-making and to present a fair picture of performance.
Integrity – Data quality is routinely monitored. Data quality assessments are integrated into data collection processes and procedures to ensure data are not erroneously reported or intentionally altered.
Timeliness –Data are collected in a timely manner to inform management decision-making and strategic planning. The expectation is that data are reported semi-annually.

All final project evaluation plans should include a discussion on how the project will ensure and maintain the quality of monitoring and evaluation data at all levels involved in data collection from data collected by field staff/monitors to analysis and reports of performance data in project reports. Projects should develop tools and guidelines for project staff and implementing partners to ensure that all relevant partners understand the definitions of the performance measures, data collection methods, and reporting processes and procedures.

Projects are required to develop a process for verifying and validating data to ensure that the data submitted in the project reports meets the criteria above. The process should be outlined in the evaluation plan. USDA may request to review data quality assessments or may wish to conduct a data quality assessment in cooperation with the project during a project site visit.

If after conducting a data quality assessment the project identifies weaknesses or concerns with the accuracy or quality of the data the project should provide this information to USDA in the semi-annual performance reports. The project may request to revise or correct previously submitted data to USDA and should provide such information in subsequent semi-annual performance reports. The project should include a narrative noting the data quality issues experienced and describe corrective action the project has taken to ensure such reporting errors do not affect future semi-annual performance reports.

[17] Definitions have been drawn from USAID's TIPS sheet on Data Quality Standards, https://www.fsnnetwork.org/sites/default/files/tips-dataqualitystandards.pdf

Facilitating the Exchange of Information and Enhancing Learning

In support of the USDA open government initiative[18] and to increase transparency and learning, all final versions of USDA evaluation reports will be made publicly available on the FAS website. Evaluators shall provide a copy of the evaluation reports that is free of personally identifiable information (PII) and proprietary information. In addition, USDA will regularly publish information on project and program level results and accomplishments. This will ensure that the widest audiences as possible are reached and that other organizations learn from FAS's experiences. Principled exceptions may be made where classified, personal, or proprietary information is concerned. Finally, USDA regularly discusses evaluation reports with key stakeholders, including internal staff, implementers, and interagency partners where appropriate, for the purpose of applying findings to program improvement. Reports are disseminated and saved as part of project records.

USDA invests in the training of key staff in evaluation management and methods, and staff uses their expertise to enhance the quality of monitoring and evaluation in food aid projects and also to integrate results into planning and decision-making. MES trains implementing partners on monitoring and evaluation where feasible, with an emphasis on applying quality M&E practices to strengthen program results. MES also participates in internal and external knowledge sharing events in order to foster learning and to build on M&E best practices in the broader evaluation field.

The facilitation and exchange of lessons learned and good practices will lead to improved program design and effectiveness of current and future efforts in food assistance and capacity building. USDA also supports and encourages its partner organizations in efforts to increase transparency and learning.

[18] For more information and the USDA Open Government Initiative please see: http://www.usda.gov/open.

Annex A. Sample Performance Monitoring Plan

PERFORMANCE INDICATOR	INDICATOR DEFINITION AND UNIT OF MEASUREMENT	DATA SOURCE	METHOD/APPROACH OF DATA COLLECTION OR CALCULATION	DATA COLLECTION		ANALYSIS, USE & REPORTING	
				WHEN	WHO	WHY	WHO
Immediate Objective 1: Increased business sector activity in target areas **"Areas" may include regions, communities, groups, administrative units, associations, organizations, enterprises, countries, or special populations.**							
1. Number and percent of existing firms that expanded businesses over the past year	Definition: Firms included are those receiving training and/or seed funds directly under LED or QZ programs and those vendors/suppliers who are indirectly involved in LED, LMAC/RR or EC. Business expansion is self-reported using a survey that asks Y/N if expansion has occurred. Disaggregated by LED, LMAC/RR and EC, based on direct and indirect involvement. Unit: # of assisted firms that report business expansion; among firms assisted, # of firms that report expansion as a % of total firms assisted.	Project Survey	Data will be collected for each firm 1 year after seed funds are received. One year is counted after the last disbursement of funds. Data will be collected from all qualifying firms (i.e. not a sample survey). Survey will include questions about net revenues. This data may be used ultimately in this indicator in lieu of expansion questions.	Quarterly, to capture all results from firms whose one year post-service delivery period terminates in that period.	Local specialists to administer survey to be reviewed by regional coordinators.	Periodic management reviews (semi-annual) Technical Reports (semi-annual)	Regional coordinator in conjunction with Project Director.

APPENDIX I

Currently the required terms and conditions are as stated below. FAS is currently re-evaluating these terms. If new terms and conditions are finalized before awards are issued, the terms and conditions below will be replaced.

USDA Standard Terms and Conditions for Public International Organizations

I. CONTROLLING LANGUAGE

All award documents, to include progress and financial reports, must be in the English language and in terms of U.S. dollars, including correspondence and supporting documents. If an award or any supporting documents are provided in both English and a foreign language, it must be stated in each version that the English language version is the controlling version.

II. FOREIGN AGRICULTURAL SERVICE (FAS) RESPONSIBILITIES

The *Deputy Administrator (DA)* of USDA's FAS/Office of Capacity Building and Development (OCBD) or his/her designee is responsible for all actions on behalf of FAS, including entering into, changing, or terminating an award. Except as otherwise provided in the Agreement, the DA is responsible for administrative coordination and liaison with the RECIPIENT. Except as otherwise provided in the Agreement, the DA is the only person authorized to approve changes in any of the requirements in the award. Except as otherwise provided in the Agreement, in the event the RECIPIENT effects any change at the direction of any person other than the DA, the change(s) will be considered to have been made without authority and no adjustment will be made in the amount of the award to cover any increase in costs incurred as a result thereof.

III. RECIPIENT RESPONSIBILITIES AND COMPLIANCE

The RECIPIENT is responsible for notifying FAS of any significant problems relating to the administrative, programmatic or financial aspects of the award.

The RECIPIENT has full responsibility for the management of the project or activity supported under the award and the award terms and conditions. Although the RECIPIENT is encouraged to seek the advice and opinion of the FAS Program Manager (PM) or FAS' Grants Management Officer (GMO) on special problems that may arise, such advice does not diminish the RECIPIENT's responsibility for making prudent and sound administrative judgments under the circumstances prevailing at the time the decision was made and should not imply that the responsibility for operating decisions has shifted to FAS.

IV. System for Award Management and Universal Identifier Requirements (This award term is required by 2 CFR 25.220 and can be found in Appendix A to 2 CFR part 25)

A. Requirement for System for Award Management
Unless you are exempted from this requirement under 2 CFR 25.110, you as the recipient must maintain the currency of your information in the SAM until you submit the final financial report required under this award or receive the final payment, whichever is later. This requires that you review and update the information at least annually after the initial registration, and more frequently if required by changes in your information or another award term.

B. Requirement for unique entity identifier
If you are authorized to make subawards under this award, you:
1. Must notify potential subrecipients that no entity (*see* definition in paragraph C of this award term) may receive a subaward from you unless the entity has provided its unique entity identifier to you.
2. May not make a subaward to an entity unless the entity has provided its unique entity identifier to you.

C. Definitions
For purposes of this award term:
1. *System for Award Management (SAM)* means the Federal repository into which an entity must provide information required for the conduct of business as a recipient. Additional information about registration procedures may be found at the SAM Internet site (currently at *http://www.sam.gov*).
2. *Unique entity identifier* means the identifier required for SAM registration to uniquely identify business entities.
3. *Entity,* as it is used in this award term, means all of the following, as defined at 2 CFR part 25, subpart C:
a. A Governmental organization, which is a State, local government, or Indian Tribe;
b. A foreign public entity;
c. A domestic or foreign nonprofit organization;
d. A domestic or foreign for-profit organization; and
e. A Federal agency, but only as a subrecipient under an award or subaward to a non-Federal entity.
4. *Subaward:*
a. This term means a legal instrument to provide support for the performance of any portion of the substantive project or program for which you received this award and that you as the recipient award to an eligible subrecipient.
b. The term does not include your procurement of property and services needed to carry out the project or program (for further explanation, see 2 CFR 200.330).
c. A subaward may be provided through any legal agreement, including an agreement that you consider a contract.
5. *Subrecipient* means an entity that:
a. Receives a subaward from you under this award; and
b. Is accountable to you for the use of the Federal funds provided by the subaward

V. CONFIDENTIALITY OF INFORMATION

a. Confidential information, as used in this Provision, means:
   1. Information or data of a personal nature about an individual.
   2. Information or data submitted by or pertaining to an institution or organization.
   3. Product and/or commercial information; trade secret information; personal privacy information; and/or RECIPIENT's internal, pre-decisional information.

b. The Information generated in the performance of activities under this award are subject to RECIPIENT's rules including any established administrative, technical, and physical safeguards to protect the security and confidentiality of personal information, as laid down, inter alia, in the confidentiality Policy of the RECIPIENT.

c. FAS and the RECIPIENT may, by mutual consent, identify elsewhere in this award specific information and/or categories of information which the Government will furnish to the RECIPIENT which is confidential.

VI. ADMINISTRATIVE AND ALLOWABLE COST REQUIREMENTS

All RECIPIENTs shall comply with the following terms and conditions unless otherwise specified in the USDA-WFP Framework Agreement.

The principal investigator(s) or project director(s) shall receive a copy of the terms and conditions, including the award-specific requirements, and any subsequent changes in the terms and conditions.

The appropriate RECIPIENT officials shall be made aware of the terms and conditions. These terms and conditions may be duplicated, copied or otherwise reproduced as appropriate. This provision does not alter the RECIPIENT's full responsibility for conduct of the project and compliance with all terms and conditions.

VII. MANDATORY DISCLOSURE

In the event the RECIPIENT and/or Sub RECIPIENTs become aware of violations of criminal law involving fraud, bribery, or illegal gratuities potentially affecting the Federal award, this information will be brought to the attention of the appropriate official [FAS Deputy Administrator, with a copy to the Program Manager and Grants Management Officer] in writing in a timely manner.

In the event that the RECIPIENT and/or Sub RECIPIENT has not complied with the requirements of this section, FAS may take remedial measures as necessary, including suspension or termination in whole or in part of the Federal award.

VIII. PRIOR APPROVAL REQUIREMENTS

The RECIPIENT must submit all requests, in writing to FAS through the Program Manager, before the project period end date indicated on the award. **Written prior approval, by way of amendment, is required for:**

- Change in the scope or the objective of the project or program (even if there is no associated budget revision requiring prior written approval).
- Additional Federal funding.
- Extension of the period of performance.
- Transfers of funds between direct cost categories in the approved budget when such cumulative transfers among those direct cost categories exceed ten percent of the total budget approved in this Award require prior written approval by FAS.
- Unless described in the application and funded in the approved award, the sub-award, transfer or contracting out of any work under an award.

- The RECIPIENT is not authorized at any time to transfer amounts budgeted for direct costs to the indirect costs line item or vice versa, without prior written approval of FAS.

IX. UNALLOWABLE COSTS

“Unallowable costs” means general or centralized expenses directly invoiced under this award, as follows:

a) Alcohol.
b) Bad Debt. Bad debts, including losses (whether actual or estimated) arising from uncollectible accounts and other claims, related collection costs, and related legal costs.
c) Contingencies. Contributions to a contingency reserve or any similar provision made for events the occurrence of which cannot be foretold with certainty as to time, intensity, or with an assurance of their happening, are unallowable. The term "contingency reserve" excludes self-insurance reserves; pension funds; and reserves for normal severance pay.
d) Contributions (to other entities). Contributions and donations by the RECIPIENT to others.
e) Entertainment. Costs of amusement, diversion, social activities, ceremonials, and costs relating thereto, such as meals, lodging, rentals, transportation, and gratuities. (M&IE and lodging are allowed when explicitly specified in the agreement to achieve project goals).
f) Goods or services for personal use. Costs of goods or services for personal use of the RECIPIENT's employees are unallowable regardless of whether the cost is reported as taxable income to the employees.
g) Expenditures, such as incorporation fees, brokers' fees, fees to promoters, organizers or management consultants, attorneys, accountants, or investment counselors, whether or not employees of the RECIPIENT, in connection with establishment or reorganization, are unallowable except with prior approval of the awarding agency.

Generally, the purchase of equipment and property is unallowable unless the Notice of Award authorizes the purchase of such items.

X. INDIRECT COSTS

Indirect costs will not be allowable charges against this Agreement unless specifically included as a line item in the approved budget for this award. Indirect cost recovery for any actual indirect costs incurred by the Recipient which are greater than the indirect cost line item in the approved award budget is limited up to the award amount.

XI. PAYMENTS UNDER THE AWARD

Payment methods shall minimize the time elapsing between the transfer of funds from FAS and the issuance or redemption of checks, warrants, or payment by other means by the RECIPIENT. Approval of payment requests will be based on the RECIPIENT's progress towards achieving the award objectives, the amount of unexpended cash on-hand as reported in the SF-425 and SF-270, and the RECIPIENT's adherence to the terms and conditions of the award, particularly in terms of timely submission of required financial, program and other reports. Delinquency in submitting reports may result in payment delays.

Third party in-kind contributions and voluntary committed cost sharing, if applicable, must be displayed as separate line item and shall not be included in the total project costs available for advance of funds or reimbursement. This information will be reported upon on the SF-425.

Request for payment shall be submitted as needed on Standard Form SF-270, Request for Advance or Reimbursement. In no case shall the RECIPIENT submit an invoice more than monthly or less frequently than annually (when work was performed within the budget period). Payment request must comply or otherwise be consistent with award terms and conditions. Failure to provide timely performance progress and financial reports may result in a delayed payment. The RECIPIENT must retain adequate documentation supporting the payment request, (e.g. contracts, timesheets, invoices, etc.) and provide upon FAS', or its designee's request.

The payments under this Agreement shall be made in United States Dollars.

Interest earned amounts up to $500 per year may be retained for administrative expense. Any additional interest earned on Federal payments deposited in interest-bearing accounts must be remitted annually to FAS.

XII. PRE-AWARD COSTS

Pre-award costs are authorized with prior written approval. FAS will reimburse the RECIPIENT for any approved costs incurred prior to the beginning date of the period of performance for the award and a signed award by the Deputy Administrator responsible for administering the funds.

XIII. REPORTING REQUIREMENTS

Performance progress and financial reports shall be submitted as discussed within your Notice of Award. These reports shall be submitted with any non-competitive continuation application of the RECIPIENT.

Requests for extensions of reporting deadlines may be granted by the Program Manager when the report(s) cannot be furnished in a timely manner for reasons legitimately beyond the control of the RECIPIENT.

FAILURE TO COMPLY WITH THE REPORTING REQUIREMENTS MAY

JEOPARDIZE ELIGIBILIY FOR FUTURE AWARDS OR WILL RESULT IN

SUSPENSION OF ANY FUTURE PAYMENTS UNDER THIS AWARD UNTIL SUCH TIME AS THIS DEFICIENCY HAS BEEN CORRECTED.

Report Formats:

Financial Status Reports must be submitted via the Standard Form (SF) 425 – Federal Financial Report (FFR) and be signed by the RECIPIENT's certified financial officer.

Final Reports:

The RECIPIENT must submit a final Financial Status Report and a final Performance Progress Report within 180 calendar days of the end of the period of performance delineated in the award. If any property or equipment is acquired under the award proper disposition of the property or equipment must be completed. An extension to submit final reports later than stated above, may be requested 45-days in advance from the end of the performance period and may be granted on a case-by-case basis.

In summary, closeout procedures require:

a) submission by the grant Recipient of final financial and program reports within one hundred eighty days (180) calendar days after the project period end date or the date specified in the Agreement, whichever is less;
b) reconciliation of all cost or expenditure discrepancies;
c) prompt payment of allowable costs;
d) immediate collection of any unexpended funds or disallowed costs;
e) de-obligation of excess funds; and
f) disposition of property and/or equipment acquired under the award.

Sub-RECIPIENT Reporting Requirements:

The FAS requires each RECIPIENT to set its own sub-RECIPIENT reporting requirements. RECIPIENTs are responsible for monitoring sub-RECIPIENT activities and training needs, tracking progress toward objectives, and identifying challenges. Sub-RECIPIENTs must adhere to the reporting requirements outlined and communicated by its RECIPIENT for the program year.

Annual Reconciliation of Continuing Assistance Awards:

FAS and the RECIPIENT must reconcile continuing awards at least annually and evaluate program performance and financial reports. Items to be reviewed include a comparison of the RECIPIENT's work performance to its progress reports and project expenditures

XIV. CONFLICT OF INTEREST AND FEDERAL ASSISTANCE AWARDS

The RECIPIENT must maintain written standards of conduct covering conflicts of interest and governing the performance of its employees engaged in the selection, award and administration of sub-awards and sub-contracts.

XV. RETENTION AND ACCESS REQUIRMENTS FOR RECORDS

The RECIPIENT must maintain financial records, supporting documents, statistical records, and all other records pertinent to an award for a period of three years from the date of submission of the final expenditure report. For awards that are renewed quarterly or annually, the retention period is from the date of the submission of the quarterly or annual financial report as authorized by the Department. The Department must request transfer of certain records to its custody from RECIPIENTs when it determines that the records possess long-term retention value. However, in order to avoid duplicate recordkeeping, FAS may arrange for RECIPIENTs to retain any records that are continuously needed for joint use.

XVI. BLOCKING PROPERTY AND PROHIBITING TRANSACTIONS WHO COMMIT, THREATEN TO COMMIT, OR SUPPORT TERRORISM

Certain individuals and entities that commit or pose a significant risk of committing terrorist acts and authorized the Secretary of State to designate additional individuals and entities.

The Order also authorized the Secretary of the Treasury to designate additional individuals and entities that provide support or services to, are owned or controlled by, act for or on behalf of, or are “otherwise associated with,” an individual or entity who has been designated in or under the order. All property and interests in property of the individual or entity in the United States or in the possession or control of United States persons are blocked. The order prohibits all transactions and dealings in blocked property or interests in the United States or by United

States persons, and also prohibits transactions with, and provision of support for, individuals or entities listed in or subject to the Order.

Recipients should be aware of Executive Order 13224 and the names of the individuals and entities designated thereunder. A list of these names can be found in the exclusions section of the SAM.gov. The web site is: http://www.sam.gov.

Recipients are reminded that the terms of this award prohibit transactions with, and the provision of resources and support to, individuals and organizations associated with terrorism. It is the legal responsibility of the Recipient/contractor to ensure compliance with the terms and conditions of this award.

XVII. COPYRIGHTS and PUBLICATION FOR PROFESSIONAL AUDIENCES

The RECIPIENT shall hold copyright in any work that is subject to copyright and that was developed, or for which ownership was acquired, pursuant to any grants from USDA. The Parties may agree on additional provisions concerning intellectual property rights in project outputs developed by the RECIPIENT on individual projects funded by USDA. Such additional provisions will be incorporated in the Grant document and/or related Grant Letter of Agreement or cover letter applicable to the grant in question. The United States Government reserves a royalty-free, nonexclusive, and irrevocable right to reproduce, publish, translate or otherwise use, and to authorize others to use, for Federal Government purposes, any rights of copyright to which a RECIPIENT, sub-RECIPIENT, or contractor purchases ownership with assistance support.

a. If the RECIPIENT finds it is appropriate to acknowledge USDA's contribution in any publications, media releases, or electronic or print material developed or produced pursuant to this Agreement, the RECIPIENT will seek FAS' authorization before releasing any such acknowledgments. *Seal/Logo.*Neither the RECIPIENT nor USDA will have the right to use the logo or official seal of the other party without express written permission.

XVIII. PROHIBITION AGAINST ASSIGNMENT

Notwithstanding any other provision of this award, the RECIPIENT shall not transfer, pledge, mortgage, or otherwise assign this award, or any interest therein, or any claim arising thereunder, to any party or parties, bank trust companies, or other financing or financial institutions.

XIX. OFFICIALS NOT TO BENEFIT

No member of or delegate to Congress or resident Federal Commissioner shall be admitted to any share or part of this award or any benefit that may arise there from; but this provision shall

not be construed to extend to this award if made to a corporation, education, or non-profit institution for its general benefit.

XX. NOTIFICATION OF AWARD FOR SIMILAR PROGRAM

The RECIPIENT shall immediately provide written notification to FAS in the event that, subsequent to this award, other voluntary contributions from governments and/or U.S. Government financial or grant assistance is received relative to the program of activities under this award.

XXI. LOBBYING

None of the funds provided under an award may be expended by the recipient to pay any person for influencing or attempting to influence an officer or employee of any agency, a Member of Congress, an officer or employee of Congress, or an employee of a Member of Congress in the United States in connection with any of the following covered Federal actions: the awarding of any Federal contract, the making of any Federal grant, the making of any Federal loan, the entering into of any cooperative agreement, and the extension, continuation, renewal, amendment, or modification of any Federal contract, grant, loan, or cooperative agreement.

XXII. AUDIT

All financial accounts and statements shall be expressed in United States Dollars and shall be subject exclusively to the internal and external auditing procedures laid down in the Financial Regulations, Rules and directives of WFP, in conformity with the single audit principle observed by the United Nations system as a whole.

Should an audit report of the External Auditor of WFP to its Governing Bodies contain observations relevant to the activities under this Agreement, WFP shall make available to FAS a copy of such a report, together with WFP's comments thereon.

XXIII. AIR TRAVEL

The recipient must comply with the Fly America Act (49 U.S.C. 40118) and 41 CFR 301-10.131 – 301-10.143, Use of United States Flag Air Carriers, when air travel is financed by U.S. Government funds under the award.

XXIV. EVALUATION AND SITE VISITS

FAS may, separately or jointly with other donors, take the initiative to evaluate and assess whether the programme activities have achieved their objectives, and determine the outcomes, impact and relevance of the interventions funded by this award. The RECIPIENT Office of

Evaluation will be consulted on any proposed evaluation, specifically on the Terms of Reference for such evaluation, and irrespective of any participation by the RECIPIENT in an evaluation under this provision. The RECIPIENT may be invited to join such initiatives. The RECIPIENT will, upon request, assist in providing relevant information within the limits of its rules and regulations.

FAS, through its authorized representatives, has the right, at all reasonable times, to make site visits to review project accomplishments and to provide such technical assistance as may be required.

As part of any monitoring and program evaluation activities the RECIPIENT must permit FAS, upon reasonable notice, to interview the organization's staff and clients regarding the program. Financial documentation must be made available for FAS to review upon request to determine that the funding provided is being maintained in accordance with WFP Financial Rules and Regulations, in separate accounts, and being expended in a manner that furthers the purpose and objectives of the specified Programme Agreement being reviewed.

Should any report of the WFP office of evaluation contain observations relevant to the activities under this Agreement then the RECIPIENT shall notify and make available to the Government of United States a copy of such a report, together with RECIPIENT's comments thereon.

XXV. SUSPENSION OR TERMINATION

The RECIPIENT may unilaterally suspend implementation of Project activities under this Agreement in the event that force majeure seriously threatens the safety and security of workers on the site or makes continuation of Project activities and observation of minimum safety precautions impossible. The suspension can last for up to a third of the implementing period described in the detailed plan of work mutually approved by the Parties for the Project. In the event of such a suspension, the RECIPIENT shall resume implementation of the Project once circumstances allow. In case the suspension persists longer than a third of the mutually approved implementing period, the Agreement may be terminated by mutual agreement by the Parties.

The obligations assumed by the Parties under this Agreement shall survive the termination of the Agreement to the extent necessary to permit the orderly conclusion of activities, the withdrawal of personnel, funds and property, reports required under this Agreement, the settlement of accounts between the Parties hereto and the settlement of contractual liabilities that are required in respect of any personnel, subcontractors, consultants or suppliers. The RECIPIENT shall promptly remit any remaining funds after the settlement of accounts between the Parties to FAS.

The RECIPIENT may terminate their performance of a project in whole or in part. When both parties agree that continuation of the project would not produce results commensurate with further expenditure of funds or for any other reason, the award may be terminated by mutual consent. The RECIPIENT may terminate the project after the authorized representative advises

the Grants Management Officer in writing; and concurrently sends a copy to the Program Manager. When FAS wishes to terminate a project, the Deputy Administrator will issue, in writing, a termination notice to the RECIPIENT's authorized representative. Within 30 days after receipt of a request by either party for termination by mutual agreement, the other party will provide an appropriate written response.

The two parties must agree upon the termination conditions, including the effective date, and, in the case of partial termination, the portion to be terminated. The RECIPIENT must not incur new obligations for the terminated portion after the effective date and must cancel as many outstanding obligations as possible. FAS will allow full credit to the RECIPIENT for the Federal Share of the obligations that cannot be cancelled properly incurred by the RECIPIENT prior to termination.

For Cause. FAS reserves the right to terminate the award in whole or in part at any time before the project period end date, whenever it is determined that the RECIPIENT has failed to comply with the conditions of the award. FAS must promptly notify the RECIPIENT in writing of the determination and reasons for the termination, together with the effective date. Payments made to RECIPIENT by FAS awards terminated for cause must be in accordance with the legal rights and liabilities of the parties.

Disputes: Any dispute between FAS and WFP arising out of the interpretation or execution of this Agreement shall be settled by mutual consultations in accordance with Article 12.9 of the Framework Agreement and ARTICLE XXXI-PRIVILEGES AND IMMUNITIES of this document.

XXVI. REPORTING SUBAWARDS AND EXECUTIVE COMPENSATION (This award term is required by 2 CFR 170.220 and can be found in Appendix A to 2 CFR part 170)

a. *Reporting of first-tier subawards.*
1. *Applicability.* Unless you are exempt as provided in paragraph d. of this award term, you must report each action that obligates $25,000 or more in Federal funds that does not include Recovery funds (as defined in section 1512(a)(2) of the American Recovery and Reinvestment Act of 2009, Pub. L. 111-5) for a subaward to an entity (see definitions in paragraph e. of this award term).
2. *Where and when to report.*
i. You must report each obligating action described in paragraph a.1. of this award term to *http://www.fsrs.gov.*
ii. For subaward information, report no later than the end of the month following the month in which the obligation was made. (For example, if the obligation was made on November 7, 2010, the obligation must be reported by no later than December 31, 2010.)
3. *What to report.* You must report the information about each obligating action that the submission instructions posted at *http://www.fsrs.gov specify.*

b. *Reporting Total Compensation of Recipient Executives.*
1. *Applicability and what to report.* You must report total compensation for each of your five most highly compensated executives for the preceding completed fiscal year, if—
i. the total Federal funding authorized to date under this award is $25,000 or more;
ii. in the preceding fiscal year, you received—
(A) 80 percent or more of your annual gross revenues from Federal procurement contracts (and subcontracts) and Federal financial assistance subject to the Transparency Act, as defined at 2 CFR 170.320 (and subawards); and
(B) $25,000,000 or more in annual gross revenues from Federal procurement contracts (and subcontracts) and Federal financial assistance subject to the Transparency Act, as defined at 2 CFR 170.320 (and subawards); and
iii. The public does not have access to information about the compensation of the executives through periodic reports filed under section 13(a) or 15(d) of the Securities Exchange Act of 1934 (15 U.S.C. 78m(a), 78o(d)) or section 6104 of the Internal Revenue Code of 1986. (To determine if the public has access to the compensation information, see the U.S. Security and Exchange Commission total compensation filings at *http://www.sec.gov/answers/execomp.htm.*)
2. *Where and when to report.* You must report executive total compensation described in paragraph b.1. of this award term:
i. As part of your registration profile at *https://www.sam.gov.*
ii. By the end of the month following the month in which this award is made, and annually thereafter.

c. *Reporting of Total Compensation of Subrecipient Executives.*
1. *Applicability and what to report.* Unless you are exempt as provided in paragraph d. of this award term, for each first-tier subrecipient under this award, you shall report the names and total compensation of each of the subrecipient's five most highly compensated executives for the subrecipient's preceding completed fiscal year, if—
i. in the subrecipient's preceding fiscal year, the subrecipient received—
(A) 80 percent or more of its annual gross revenues from Federal procurement contracts (and subcontracts) and Federal financial assistance subject to the Transparency Act, as defined at 2 CFR 170.320 (and subawards); and
(B) $25,000,000 or more in annual gross revenues from Federal procurement contracts (and subcontracts), and Federal financial assistance subject to the Transparency Act (and subawards); and
ii. The public does not have access to information about the compensation of the executives through periodic reports filed under section 13(a) or 15(d) of the Securities Exchange Act of 1934 (15 U.S.C. 78m(a), 78o(d)) or section 6104 of the Internal Revenue Code of 1986. (To determine if the public has access to the compensation information, see the U.S. Security and Exchange Commission total compensation filings at *http://www.sec.gov/answers/execomp.htm.*)
2. *Where and when to report.* You must report subrecipient executive total compensation described in paragraph c.1. of this award term:
i. To the recipient.
ii. By the end of the month following the month during which you make the subaward. For example, if a subaward is obligated on any date during the month of October of a given year (*i.e.,* between October 1 and 31), you must report any required compensation information of the subrecipient by November 30 of that year.

d. *Exemptions*
If, in the previous tax year, you had gross income, from all sources, under $300,000, you are exempt from the requirements to report:
i. Subawards, and
ii. The total compensation of the five most highly compensated executives of any subrecipient.

e. *Definitions.* For purposes of this award term:
1. *Entity* means all of the following, as defined in 2 CFR part 25:
i. A Governmental organization, which is a State, local government, or Indian tribe;
ii. A foreign public entity;
iii. A domestic or foreign nonprofit organization;
iv. A domestic or foreign for-profit organization;
v. A Federal agency, but only as a subrecipient under an award or subaward to a non-Federal entity.
2. *Executive* means officers, managing partners, or any other employees in management positions.
3. *Subaward:*
i. This term means a legal instrument to provide support for the performance of any portion of the substantive project or program for which you received this award and that you as the recipient award to an eligible subrecipient.
ii. The term does not include your procurement of property and services needed to carry out the project or program (for further explanation, see Sec. __ .210 of the attachment to OMB Circular A-133, "Audits of States, Local Governments, and Non-Profit Organizations").
iii. A subaward may be provided through any legal agreement, including an agreement that you or a subrecipient considers a contract.
4. *Subrecipient* means an entity that:
i. Receives a subaward from you (the recipient) under this award; and
ii. Is accountable to you for the use of the Federal funds provided by the subaward.
5. *Total compensation* means the cash and noncash dollar value earned by the executive during the recipient's or subrecipient's preceding fiscal year and includes the following (for more information see 17 CFR 229.402(c)(2)):
i. *Salary and bonus.*
ii. *Awards of stock, stock options, and stock appreciation rights.* Use the dollar amount recognized for financial statement reporting purposes with respect to the fiscal year in accordance with the Statement of Financial Accounting Standards No. 123 (Revised 2004) (FAS 123R), Shared Based Payments.
iii. *Earnings for services under non-equity incentive plans.* This does not include group life, health, hospitalization or medical reimbursement plans that do not discriminate in favor of executives, and are available generally to all salaried employees.
iv. *Change in pension value.* This is the change in present value of defined benefit and actuarial pension plans.
v. *Above-market earnings on deferred compensation which is not tax-qualified.*
vi. Other compensation, if the aggregate value of all such other compensation (e.g. severance, termination payments, value of life insurance paid on behalf of the employee, perquisites or property) for the executive exceeds $10,000.

XXVII. DRUG-FREE WORKPLACE

1) The Recipient will make a good faith effort, on a continuing basis, to maintain a drug-free workplace. As part of that effort, the Recipient will publish a drug-free workplace statement and provide a copy to each employee who will be engaged in the performance of any project/program that receives Federal funding. The statement must:

a) Tell the employees that the unlawful manufacture, distribution, dispensing, possession, or use of a controlled substance is prohibited in its workplace;

b) Specify the actions the Recipient will take against employees for violating that prohibition; and

(1) Let each employee know that, as a condition of employment under any instrument, he or she:

i) Must abide by the terms of the statement; and

ii) Must notify the Recipient in writing if he or she is convicted for a violation of a criminal drug statute occurring in the workplace, and must do so no more than five calendar days after the conviction.

The Recipient agrees that it will establish an ongoing drug-free awareness program to inform employees about:

c) The dangers of drug abuse in the workplace;

d) The Recipient's policy of maintaining a drug-free workplace;

e) Any available drug counseling, rehabilitation and employee assistance programs; and

f) The penalties that the Recipient may impose upon them for drug abuse violations occurring in the workplace.

2) The policy statement and program must be in place as soon as possible, no later than the 30 days after the effective date of this Federal award, or the completion date of this Federal award, whichever occurs first, unless the Recipient obtains FAS' express written approval.

3) The Recipient agrees to immediately notify FAS if an employee is convicted of a drug violation in the workplace. The notification must be in writing, identify the employee's position title, the Recipient number of each instrument on which the employee worked. The notification must be sent to FAS within ten calendar days after the Recipient learns of the conviction.

4) Within 30 calendar days of learning about an employee's conviction, the Recipient must either:

a) Take appropriate personnel action against the employee, up to and including termination; or

b) Require the employee to participate satisfactorily in a drug abuse assistance or rehabilitation program.

XXVIII. RELIGIOUS PERSECUTION

The Recipient must ensure that its personnel take into account in their work the considerations reflected in the International Religious Freedom Act, 22 U.S.C. 6401, et al. concerning country- specific conditions, the right to freedom of religion, methods of

religious persecution practiced in foreign countries, and applicable distinctions within a country between the nature of and treatment of various religious practices and believers.

XXIX. PROHIBITION ON ABORTION RELATED ACTIVITIES

The RECIPIENT agrees that none of the funds provided by this award shall be used to issue grant funds to lobby for or against abortion. The RECIPIENT agrees that none of the funds provided by this award shall be used to pay for the performance of abortion as a method of family planning or to motivate or coerce any person to practice abortions.

XXX. TRAFFICKING IN PERSONS [Applicable only to agreements where the public international organization recipient could provide funding under the award to a private entity as a subrecipient]

a. *Provisions applicable to a recipient that is a private entity.*
1. You as the recipient, your employees, subrecipients under this award, and subrecipients' employees may not—
i. Engage in severe forms of trafficking in persons during the period of time that the award is in effect;
ii. Procure a commercial sex act during the period of time that the award is in effect; or
iii. Use forced labor in the performance of the award or subawards under the award.
2. We as the Federal awarding agency may unilaterally terminate this award, without penalty, if you or a subrecipient that is a private entity —
i. Is determined to have violated a prohibition in paragraph a.1 of this award term; or
ii. Has an employee who is determined by the agency official authorized to terminate the award to have violated a prohibition in paragraph a.1 of this award term through conduct that is either—
A. Associated with performance under this award; or
B. Imputed to you or the subrecipient using the standards and due process for imputing the conduct of an individual to an organization that are provided in 2 CFR part 180, "OMB Guidelines to Agencies on Governmentwide Debarment and Suspension (Nonprocurement)," as implemented by our agency at 2 CFR part 417.

b. *Provision applicable to a recipient other than a private entity.* We as the Federal awarding agency may unilaterally terminate this award, without penalty, if a subrecipient that is a private entity—
1. Is determined to have violated an applicable prohibition in paragraph a.1 of this award term; or
2. Has an employee who is determined by the agency official authorized to terminate the award to have violated an applicable prohibition in paragraph a.1 of this award term through conduct that is either—
i. Associated with performance under this award; or
ii. Imputed to the subrecipient using the standards and due process for imputing the conduct of an individual to an organization that are provided in 2 CFR part 180, "OMB Guidelines to Agencies on Governmentwide Debarment and Suspension (Nonprocurement)," as implemented by our agency at 2 CFR part 417.

c. *Provisions applicable to any recipient.*
1. You must inform us immediately of any information you receive from any source alleging a violation of a prohibition in paragraph a.1 of this award term.
2. Our right to terminate unilaterally that is described in paragraph a.2 or b of this section:
i. Implements section 106(g) of the Trafficking Victims Protection Act of 2000 (TVPA), as amended (22 U.S.C. 7104(g)), and
ii. Is in addition to all other remedies for noncompliance that are available to us under this award.
3. You must include the requirements of paragraph a.1 of this award term in any subaward you make to a private entity.

d. *Definitions.* For purposes of this award term:
1. "Employee" means either:
i. An individual employed by you or a subrecipient who is engaged in the performance of the project or program under this award; or
ii. Another person engaged in the performance of the project or program under this award and not compensated by you including, but not limited to, a volunteer or individual whose services are contributed by a third party as an in-kind contribution toward cost sharing or matching requirements.
2. "Forced labor" means labor obtained by any of the following methods: the recruitment, harboring, transportation, provision, or obtaining of a person for labor or services, through the use of force, fraud, or coercion for the purpose of subjection to involuntary servitude, peonage, debt bondage, or slavery.
3. "Private entity":
i. Means any entity other than a State, local government, Indian tribe, or foreign public entity, as those terms are defined in 2 CFR 175.25.
ii. Includes:
A. A nonprofit organization, including any nonprofit institution of higher education, hospital, or tribal organization other than one included in the definition of Indian tribe at 2 CFR 175.25(b).
B. A for-profit organization.
4. "Severe forms of trafficking in persons," "commercial sex act," and "coercion" have the meanings given at section 103 of the TVPA, as amended (22 U.S.C. 7102).

XXXI. TERRORIST FINANCING

Consistent with numerous United Nations Security Council resolutions, including S/RES/1269 (1999), S/RES/1368 (2001), and S/RES/1373 (2001), both FAS and the recipient are firmly committed to the international fight against terrorism and, in particular, against the financing of terrorism. It is the policy of FAS to seek to ensure that none of its funds are used, directly or indirectly, to provide support to individuals or entities associated with terrorism. In accordance with this policy, the recipient undertakes to use reasonable efforts to ensure that none of the FAS funds provided under the award are used to provide support to individuals or entities associated with terrorism.

XXXII. PRIVILEGES AND IMMUNITIES

Any differences which may arise as to the interpretation, application or performance of this Agreement shall be governed by general principles of law, to the exclusion of any single national system of law, and will be settled by means of mutual consultations between USDA and WFP.

XXXIII. DISCLAIMER

Nothing in the Agreement shall be deemed a waiver, expressed or implied, of any of the privileges and immunities accorded to WFP and the United States, its agencies, instrumentalities, and personnel pursuant to customary international law, and any other international agreement.

APPENDIX J -- Standard Terms and Conditions for Foreign Organizations

The United States Department of Agriculture (USDA)
STANDARD TERMS AND CONDITIONS FOR FOREIGN ORGANIZATIONS

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I. CONTROLLING LANGUAGE

All award documents, to include progress and financial reports, must be in the English language and in terms of U.S. dollars, including correspondence and supporting documents. If an award or any supporting documents are provided in both English and a foreign language, it must be stated in each version that the English language version is the controlling version.

II. FOREIGN AGRICULTURAL SERVICE (FAS) RESPONSIBILITIES

The *Deputy Administrator (DA)* of USDA's FAS/Office of Capacity Building and Development (OCBD) or his/her designee is responsible for all actions on behalf of FAS, including entering into, changing, or terminating an award. Except as otherwise provided in the Agreement, the DA is responsible for administrative coordination and liaison with the RECIPIENT. Except as otherwise provided in the Agreement, the DA is the only person authorized to approve changes in any of the requirements in the award. Except as otherwise provided in the Agreement, in the event the RECIPIENT effects any change at the direction of any person other than the DA, the change(s) will be considered to have been made without authority and no adjustment will be made in the amount of the award to cover any increase in costs incurred as a result thereof.

III. RECIPIENT RESPONSIBILITIES AND COMPLIANCE

The RECIPIENT is responsible for notifying FAS of any significant problems relating to the `administrative, programmatic or financial aspects of the award.

The RECIPIENT has full responsibility for the management of the project or activity supported under the award and the award terms and conditions. Although the RECIPIENT is encouraged to seek the advice and opinion of the FAS Program Manager (PM) or FAS' Grants Management Officer (GMO) on special problems that may arise, such advice does not diminish the RECIPIENT's responsibility for making prudent and sound administrative judgments under the circumstances prevailing at the time the decision was made and should not imply that the responsibility for operating decisions has shifted to FAS.

IV. UNIVERSAL IDENTIFIER AND SYSTEM FOR AWARD MANAGEMENT REQUIREMENTS

Requirement for System for Award Management

Unless you are exempted from this requirement under 2 CFR 25.110, you as the recipient must maintain the currency of your information in the SAM until you submit the final financial report required under this award or receive the final payment, whichever is later. This requires that you review and update the information at least annually after the initial registration, and more frequently if required by changes in your information or another award term.

Requirement for unique entity identifier

If you are authorized to make subawards under this award, you:

Must notify potential subrecipients that no entity (*see* definition in paragraph C of this award term) may receive a subaward from you unless the entity has provided its unique entity identifier to you.

May not make a subaward to an entity unless the entity has provided its unique entity identifier to you.

Definitions

For purposes of this award term:

System for Award Management (SAM) means the Federal repository into which an entity must provide information required for the conduct of business as a recipient. Additional information about registration procedures may be found at the SAM Internet site (currently at *http://www.sam.gov*).

Unique entity identifier means the identifier required for SAM registration to uniquely identify business entities.

Entity, as it is used in this award term, means all of the following, as defined at 2 CFR part 25, subpart C:

A Governmental organization, which is a State, local government, or Indian Tribe;

A foreign public entity;

A domestic or foreign nonprofit organization;

A domestic or foreign for-profit organization; and

A Federal agency, but only as a subrecipient under an award or subaward to a non- Federal entity.

Subaward:

This term means a legal instrument to provide support for the performance of any portion of the substantive project or program for which you received this award and that you as the recipient award to an eligible subrecipient.

The term does not include your procurement of property and services needed to carry out the project or program.

A subaward may be provided through any legal agreement, including an agreement that you consider a contract.

Subrecipient means an entity that:

Receives a subaward from you under this award; and

Is accountable to you for the use of the Federal funds provided by the subaward.

V. CONFIDENTIALITY OF INFORMATION

a. Confidential information, as used in this Provision, means:

Information or data of a personal nature about an individual.

Information or data submitted by or pertaining to an institution or organization.

Product and/or commercial information; trade secret information; personal privacy information; and/or RECIPIENT's internal, pre-decisional information.

The Information generated in the performance of activities under this award are subject to RECIPIENT's rules including any established administrative, technical, and physical safeguards

to protect the security and confidentiality of personal information, as laid down, inter alia, in the confidentiality Policy of the RECIPIENT.

FAS and the RECIPIENT may, by mutual consent, identify elsewhere in this award specific information and/or categories of information which the Government will furnish to the RECIPIENT which is confidential.

VI. ADMINISTRATIVE AND ALLOWABLE COST REQUIREMENTS:

All RECIPIENTs shall comply with the following terms and conditions unless otherwise specified in legislation or program regulations.

The principal investigator(s) or project director(s) shall receive a copy of the terms and conditions, including the award-specific requirements, and any subsequent changes in the terms and conditions.

The appropriate RECIPIENT officials shall be made aware of the terms and conditions. These terms and conditions may be duplicated, copied or otherwise reproduced as appropriate.

This provision does not alter the RECIPIENT's full responsibility for conduct of the project and compliance with all terms and conditions.

VII. MANDATORY DISCLOSURE

In the event the RECIPIENT and/or Sub RECIPIENTs become aware of violations of criminal law involving fraud, bribery, or illegal gratuities potentially affecting the Federal award, this information will be brought to the attention of the appropriate official [FAS Deputy Administrator, with a copy to the Program Manager and Grants Management Officer] in writing in a timely manner.

In the event that the RECIPIENT and/or Sub RECIPIENT has not complied with the requirements of this section, FAS may take remedial measures as necessary, including suspension or termination in whole or in part of the Federal award.

VIII. PRIOR APPROVAL REQUIREMENTS

The RECIPIENT must submit all requests, in writing to FAS through the Program Manager, before the project period end date indicated on the award. Written prior approval, by way of amendment, is required for:

Change in the scope or the objective of the project or program (even if there is no associated budget revision requiring prior written approval).

Additional Federal funding.

Extension of the period of performance.

Transfers of funds between direct cost categories in the approved budget when such cumulative transfers among those direct cost categories exceed ten percent of the total budget approved in this Award require prior written approval by FAS.

Unless described in the application and funded in the approved award, the sub-award, transfer or contracting out of any work under an award.

The RECIPIENT is not authorized at any time to transfer amounts budgeted for direct costs to the indirect costs line item or vice versa, without prior written approval of FAS.

IX. UNALLOWABLE COSTS

"Unallowable costs" means general or centralized expenses directly invoiced under this award, as follows:

Alcoholic Beverages. Costs of alcoholic beverages.

Bad Debt. Bad debts, including losses (whether actual or estimated) arising from uncollectible accounts and other claims, related collection costs, and related legal costs.

Contingencies. Contributions to a contingency reserve or any similar provision made for events the occurrence of which cannot be foretold with certainty as to time, intensity, or with an

assurance of their happening, are unallowable. The term "contingency reserve" excludes self-insurance reserves; pension funds; and reserves for normal severance pay.

Contributions (to other entities). Contributions and donations by the RECIPIENT to others.

Entertainment. Costs of amusement, diversion, social activities, ceremonials, and costs relating thereto, such as meals, lodging, rentals, transportation, and gratuities. (M&IE and lodging are allowed when explicitly specified in the agreement to achieve project goals).

Goods or services for personal use. Costs of goods or services for personal use of the RECIPIENT's employees are unallowable regardless of whether the cost is reported as taxable income to the employees.

Expenditures, such as incorporation fees, brokers' fees, fees to promoters, organizers or management consultants, attorneys, accountants, or investment counselors, whether or not employees of the RECIPIENT, in connection with establishment or reorganization, are unallowable except with prior approval of the awarding agency.

Generally, the purchase of equipment and property is unallowable unless the Notice of Award authorizes the purchase of such items.

X. INDIRECT COSTS

Indirect costs will not be allowable charges against this Agreement unless specifically included as a line item in the approved budget for this award. Indirect cost recovery for any actual indirect costs incurred by the Recipient which are greater than the indirect cost line item in the approved award budget is limited up to the award amount.

XI. PAYMENTS UNDER THE AWARD

Payment methods shall minimize the time elapsing between the transfer of funds from FAS and the issuance or redemption of checks, warrants, or payment by other means by the RECIPIENT. Approval of payment requests will be based on the RECIPIENT’s progress towards achieving the award objectives, the amount of unexpended cash on-hand as reported in the SF-425 and SF-

270, and the RECIPIENT's adherence to the terms and conditions of the award, particularly in terms of timely submission of required financial, program and other reports. Delinquency in submitting reports may result in payment delays.

Third party in-kind contributions and voluntary committed cost sharing, if applicable, must be displayed as separate line item and shall not be included in the total project costs available for advance of funds or reimbursement. This information will be reported upon on the SF-425.

Request for payment shall be submitted as needed on Standard Form SF-270, Request for Advance or Reimbursement. In no case shall the RECIPIENT submit an invoice more than monthly or less frequently than annually (when work was performed within the budget period). Payment request must comply or otherwise be consistent with award terms and conditions. Failure to provide timely performance progress and financial reports may result in a delayed payment. The RECIPIENT must retain adequate documentation supporting the payment request, (e.g. contracts, timesheets, invoices, etc.) and provide upon FAS', or its designee's request.

The payments under this Agreement shall be made in United States Dollars.

Interest earned amounts up to $500 per year may be retained for administrative expense. Any additional interest earned on Federal payments deposited in interest-bearing accounts must be remitted annually to FAS.

XII. PRE-AWARD COSTS

Pre-award costs are not authorized. FAS will not reimburse the RECIPIENT for any costs incurred prior to the beginning date of the period of performance for the award and a signed award by the Deputy Administrator responsible for administering the funds.

XIII. REPORTING REQUIREMENTS

Performance progress and financial reports shall be submitted as discussed within your Notice of Award. These reports shall be submitted with any non-competitive continuation application of the RECIPIENT.

Requests for extensions of reporting deadlines may be granted by the Program Manager when the report(s) cannot be furnished in a timely manner for reasons legitimately beyond the control of the RECIPIENT.

FAILURE TO COMPLY WITH THE REPORTING REQUIREMENTS MAY

JEOPARDIZE ELIGIBILIY FOR FUTURE AWARDS OR WILL RESULT IN

SUSPENSION OF ANY FUTURE PAYMENTS UNDER THIS AWARD UNTIL SUCH TIME AS THIS DEFICIENCY HAS BEEN CORRECTED.

Report Formats:

Financial Status Reports must be submitted via the Standard Form (SF) 425 – Federal Financial Report (FFR) and be signed by the RECIPIENT's certified financial officer.

Final Reports:

The RECIPIENT must submit a final Financial Status Report and a final Performance Progress Report within 180 calendar days of the end of the period of performance delineated in the award. If any property or equipment is acquired under the award proper disposition of the property or equipment must be completed. An extension to submit final reports later than stated above, may be requested 45-days in advance from the end of the performance period and may be granted on a case-by-case basis.

In summary, closeout procedures require:

submission by the grant Recipient of final financial and program reports within one hundred eighty days (180) calendar days after the project period end date or the date specified in the Agreement, whichever is less;

reconciliation of all cost or expenditure discrepancies;

prompt payment of allowable costs;

immediate collection of any unexpended funds or disallowed costs;

de-obligation of excess funds; and

disposition of property and/or equipment acquired under the award.

Sub-RECIPIENT Reporting Requirements:

The FAS requires each RECIPIENT to set its own sub-RECIPIENT reporting requirements. RECIPIENTs are responsible for monitoring sub-RECIPIENT activities and training needs, tracking progress toward objectives, and identifying challenges. Sub-RECIPIENTs must adhere to the reporting requirements outlined and communicated by its RECIPIENT for the program year.

Annual Reconciliation of Continuing Assistance Awards:

FAS and the RECIPIENT must reconcile continuing awards at least annually and evaluate program performance and financial reports. Items to be reviewed include a comparison of the RECIPIENT's work performance to its progress reports and project expenditures

XIV. CONFLICT OF INTEREST AND FEDERAL ASSISTANCE AWARDS

The RECIPIENT must maintain written standards of conduct covering conflicts of interest and governing the performance of its employees engaged in the selection, award and administration of sub-awards and sub-contracts.

XV. RETENTION AND ACCESS REQUIRMENTS FOR RECORDS

The RECIPIENT must maintain financial records, supporting documents, statistical records, and all other records pertinent to an award for a period of three years from the date of submission of the final expenditure report. For awards that are renewed quarterly or annually, the retention period is from the date of the submission of the quarterly or annual financial report as authorized by the Department. The Department must request transfer of certain records to its custody from RECIPIENTs when it determines that the records possess long-term retention value. However, in order to avoid duplicate recordkeeping, FAS may arrange for RECIPIENTs to retain any records that are continuously needed for joint use.

XVI. BLOCKING PROPERTY AND PROHIBITING TRANSACTIONS WHO COMMIT, THREATEN TO COMMIT, OR SUPPORT TERRORISM

Certain individuals and entities that commit or pose a significant risk of committing terrorist acts and authorized the Secretary of State to designate additional individuals and entities.

The Order also authorized the Secretary of the Treasury to designate additional individuals and entities that provide support or services to, are owned or controlled by, act for or on behalf of, or are "otherwise associated with," an individual or entity who has been designated in or under the order. All property and interests in property of the individual or entity in the United States or in the possession or control of United States persons are blocked. The order prohibits all transactions and dealings in blocked property or interests in the United States or by United States persons, and also prohibits transactions with, and provision of support for, individuals or entities listed in or subject to the Order.

Recipients should be aware of Executive Order 13224 and the names of the individuals and entities designated thereunder. A list of these names can be found in the exclusions section of the SAM.gov. The web site is: http://www.sam.gov.

Recipients are reminded that the terms of this award prohibit transactions with, and the provision of resources and support to, individuals and organizations associated with terrorism. It is the legal responsibility of the Recipient/contractor to ensure compliance with the terms and conditions of this award.

XVII. COPYRIGHTS and PUBLICATION FOR PROFESSIONAL AUDIENCES

The RECIPIENT shall hold copyright in any work that is subject to copyright and that was developed, or for which ownership was acquired, pursuant to any grants from USDA. The Parties may agree on additional provisions concerning intellectual property rights in project outputs developed by the RECIPIENT on individual projects funded by USDA. Such additional provisions will be incorporated in the Grant document and/or related Grant Letter of Agreement or cover letter applicable to the grant in question. The United States Government reserves a royalty-free, nonexclusive, and irrevocable right to reproduce, publish, translate or otherwise use, and to authorize others to use, for Federal Government purposes, any rights of copyright to which a RECIPIENT, sub-RECIPIENT, or contractor purchases ownership with assistance support.

a. If the RECIPIENT finds it is appropriate to acknowledge USDA's contribution in any publications, media releases, or electronic or print material developed or produced pursuant to this Agreement, the RECIPIENT will seek FAS' authorization before releasing any such acknowledgments.

b. If it is the RECIPIENT's intention to identify USDA's contribution to any publication, video, graphic artwork, or other information/media product resulting from this award, the product shall state that the views expressed by the author(s) do not necessarily reflect those of USDA. Acknowledgements should identify the sponsoring FAS office and bureau or mission as well as the following:

"This publication, video or other information/media product (specify) was made possible through support provided by the United States Department of Agriculture's Foreign Agricultural

Service. The opinions expressed herein are those of the author(s) and do not necessarily reflect the views of the Government of the United States, USDA or the Foreign Agricultural Service."

c. The RECIPIENT shall provide FAS with one copy of all published works developed under this award and with lists of other written work produced under this award.

d. The results of the Project, in whatever form, shall be the sole property of the RECIPIENT. Subject to the rights of third parties, and subject also to the rules and policies of the RECIPIENT.

e. *Seal/Logo.* Neither the RECIPIENT nor USDA will have the right to use the logo or official seal of the other party without express written permission.

XVIII. PROHIBITION AGAINST ASSIGNMENT

Notwithstanding any other provision of this award, the RECIPIENT shall not transfer, pledge, mortgage, or otherwise assign this award, or any interest therein, or any claim arising thereunder, to any party or parties, bank trust companies, or other financing or financial institutions.

XIX. OFFICIALS NOT TO BENEFIT

No member of or delegate to Congress or resident Federal Commissioner shall be admitted to any share or part of this award or any benefit that may arise there from; but this provision shall not be construed to extend to this award if made to a corporation, education, or non-profit institution for its general benefit.

XX. NOTIFICATION OF AWARD FOR SIMILAR PROGRAM

The RECIPIENT shall immediately provide written notification to FAS in the event that, subsequent to this award, other voluntary contributions from governments and/or U.S. Government financial or grant assistance is received relative to the program of activities under this award.

XXI. LOBBYING RESTRICTION

For persons entering into a grant or cooperative agreement over $100,000, the Recipient certifies, to the best of his or her knowledge and belief, that:

No Federal appropriated funds have been paid or will be paid, by or on behalf of the undersigned, to any person for influencing or attempting to influence an officer or employee of any agency, a Member of Congress, an officer or employee of Congress, or an employee of a Member of Congress in connection with the awarding of any Federal contract, the making of any Federal Cooperative Agreement, the making of any Federal loan, the entering into of any cooperative agreement, and the extension, continuation, renewal, amendment or modification of any Federal contract, grant, loan, or cooperative agreement.

If any funds other than Federal appropriated funds have been paid or will be paid to any person for influencing or attempting to influence an officer or employee of any agency, a Member of Congress, an officer or employee of Congress, or an employee of a Member of Congress in connection with this Federal contract, grant, loan, or cooperative agreement, the Recipient shall complete and submit Standard Form-LLL, "Disclosure of Lobbying Activities," in accordance with its instructions.

The Recipient shall require that the language of this certification be included in the award documents for all sub-awards at all tiers (including subcontracts, sub-grants, and contracts under grants, loans, and cooperative agreements) and that all Recipients shall certify and disclose accordingly. This certification is a material representation of fact upon which reliance was placed when this transaction was made or entered into. Submission of this certification is a prerequisite for making or entering into this transaction. Any person who fails to file the required certification shall be subject to a civil penalty of not less than $10,000 and not more than $100,000 for each such failure.

XXII. AUDIT

All financial accounts and statements shall be expressed in United States Dollars and shall be subject exclusively to the internal and external auditing procedures laid down in the RECIPIENT's Financial Regulations, Rules and directives. , in conformity with the single audit principle observed by RECIPIENT.

Should an audit report of an External Auditor contain observations relevant to the activities under this Agreement the RECIPIENT shall make available to FAS a copy of such a report, together with the RECIPIENT's comments thereon.

XXIII. TRAVEL

All Federal Government-financed international air transportation must be accomplished by U.S. Flag air carriers or U.S. code sharing to the extent that service by those carriers is available. These circumstances are outlined below:

The United States – European Open Skies Air Transport Agreement (U.S.-E.U. Open Skies Agreement) is a bilateral/multilateral agreement that allows federal funded transportation services to use foreign air carriers under specific circumstances.

The modified agreement allows travelers to:

Use EU carriers if the travelers are not eligible to use City Pair Fares.

Use EU carriers between points in the United States and points OUTSIDE of the EU when there is no City Pair Fare on the route or the traveler is not eligible to use the fare. In essence, this allows travelers to compare costs and select between an EU and U.S. flag carrier when the flight originates, arrives in, or stops in any of the EU countries.

XXIV. EVALUATION AND SITE VISITS

FAS may, separately or jointly with other donors, take the initiative to evaluate and assess whether the programme activities have achieved their objectives, and determine the outcomes, impact and relevance of the interventions funded by this award. The RECIPIENT Office of Evaluation will be consulted on any proposed evaluation, specifically on the Terms of Reference for such evaluation, and irrespective of any participation by the RECIPIENT in an evaluation under this provision. The RECIPIENT may be invited to join such initiatives. The RECIPIENT will, upon request, assist in providing relevant information within the limits of its rules and regulations.

FAS, through its authorized representatives, has the right, at all reasonable times, to make site visits to review project accomplishments and to provide such technical assistance as may be required.

As part of any monitoring and program evaluation activities the RECIPIENT must permit FAS, upon reasonable notice, to interview the organization's staff and clients regarding the program. Financial documentation must be made available for FAS to review upon request to determine that the funding provided is being maintained in accordance with RECIPIENT's Financial Rules and Regulations, in separate accounts, and being expended in a manner that furthers the purpose and objectives of the specified Programme Agreement being reviewed.

Should any report of the RECIPIENT's Office of Evaluation contain observations relevant to the activities under this Agreement then the RECIPIENT shall notify and make available to the Government of United States a copy of such a report, together with RECIPIENT's comments thereon.

XXV. SUSPENSION OR TERMINATION

The RECIPIENT may unilaterally suspend implementation of Project activities under this Agreement in the event that force majeure seriously threatens the safety and security of workers on the site or makes continuation of Project activities and observation of minimum safety precautions impossible. The suspension can last for up to a third of the implementing period described in the detailed plan of work mutually approved by the Parties for the Project. In the event of such a suspension, the RECIPIENT shall resume implementation of the Project once circumstances allow. In case the suspension persists longer than a third of the mutually approved implementing period, the Agreement may be terminated by mutual agreement by the Parties.

The obligations assumed by the Parties under this Agreement shall survive the termination of the Agreement to the extent necessary to permit the orderly conclusion of activities, the withdrawal of personnel, funds and property, reports required under this Agreement, the settlement of accounts between the Parties hereto and the settlement of contractual liabilities that are required in respect of any personnel, subcontractors, consultants or suppliers. The RECIPIENT shall promptly remit any remaining funds after the settlement of accounts between the Parties to FAS.

The RECIPIENT may terminate their performance of a project in whole or in part. When both parties agree that continuation of the project would not produce results commensurate with further expenditure of funds or for any other reason, the award may be terminated by mutual consent. The RECIPIENT may terminate the project after the authorized representative advises the Grants Management Officer in writing; and concurrently sends a copy to the Program Manager. When FAS wishes to terminate a project, the Deputy Administrator will issue, in writing, a termination notice to the RECIPIENT’s authorized representative. Within 30 days after receipt of a request by either party for termination by mutual agreement, the other party will provide an appropriate written response.

The two parties must agree upon the termination conditions, including the effective date, and, in the case of partial termination, the portion to be terminated. The RECIPIENT must not incur new obligations for the terminated portion after the effective date and must cancel as many outstanding obligations as possible. FAS will allow full credit to the RECIPIENT for the Federal Share of the obligations that cannot be cancelled properly incurred by the RECIPIENT prior to termination.

For Cause. FAS reserves the right to terminate the award in whole or in part at any time before the project period end date, whenever it is determined that the RECIPIENT has failed to comply with the conditions of the award. FAS must promptly notify the RECIPIENT in writing of the determination and reasons for the termination, together with the effective date. Payments made to RECIPIENT by FAS awards terminated for cause must be in accordance with the legal rights and liabilities of the parties.

Disputes: Any dispute between FAS and the RECIPIENT arising out of the interpretation or execution of this Agreement shall be settled by mutual consultations between FAS and the RECIPIENT.

XXVI. REPORTING SUBAWARDS AND EXECUTIVE COMPENSATION

a. *Reporting of first-tier subawards.*

Applicability. Unless you are exempt as provided in paragraph d. of this award term, you must report each action that obligates $25,000 or more in Federal funds for a subaward to an entity (see definitions in paragraph e. of this award term).

Where and when to report.

You must report each obligating action described in paragraph a.1. of this award term to *http://www.fsrs.gov*.

For subaward information, report no later than the end of the month following the month in which the obligation was made. (For example, if the obligation was made on November 7, 2010, the obligation must be reported by no later than December 31, 2010.)

What to report. You must report the information about each obligating action that the submission instructions posted at *http://www.fsrs.gov specify*.

b. *Reporting Total Compensation of RECIPIENT Executives.*

Applicability and what to report. You must report total compensation for each of your five most highly compensated executives for the preceding completed fiscal year, if—

the total Federal funding authorized to date under this award is $25,000 or more;

in the preceding fiscal year, you received—

80 percent or more of your annual gross revenues from Federal procurement contracts (and subcontracts) and Federal financial assistance (and subawards); and

$25,000,000 or more in annual gross revenues from Federal procurement contracts (and subcontracts) and Federal financial assistance; and

The public does not have access to information about the compensation of the executives through periodic reports. (To determine if the public has access to the compensation information, see the U.S. Security and Exchange Commission total compensation filings at *http://www.sec.gov/answers/execomp.htm*.)

Where and when to report. You must report executive total compensation described in paragraph b.1. of this award term:

As part of your registration profile at *https://www.sam.gov*.

By the end of the month following the month in which this award is made, and annually thereafter.

c. *Reporting of Total Compensation of SUBRECIPIENT Executives.*

Applicability and what to report. Unless you are exempt as provided in paragraph d. of this award term, for each first-tier SUBRECIPIENT under this award, you shall report the names and total compensation of each of the SUBRECIPIENT's five most highly compensated executives for the SUBRECIPIENT's preceding completed fiscal year, if—

in the SUBRECIPIENT's preceding fiscal year, the SUBRECIPIENT received—

80 percent or more of its annual gross revenues from Federal procurement contracts (and subcontracts) and Federal financial assistance (and subawards); and

$25,000,000 or more in annual gross revenues from Federal procurement contracts (and subcontracts), and Federal financial assistance (and subawards); and

ii. The public does not have access to information about the compensation of the executives through periodic reports. (To determine if the public has access to the compensation information, see the U.S. Security and Exchange Commission total compensation filings at *http://www.sec.gov/answers/execomp.htm*.)

Where and when to report. You must report SUBRECIPIENT executive total compensation described in paragraph c.1. of this award term:

To the RECIPIENT.

By the end of the month following the month during which you make the subaward. For example, if a subaward is obligated on any date during the month of October of a given year (*i.e.*, between October 1 and 31), you must report any required compensation information of the SUBRECIPIENT by November 30 of that year.

d. *Exemptions*

If, in the previous tax year, you had gross income, from all sources, under $300,000, you are exempt from the requirements to report:

Subawards, and

The total compensation of the five most highly compensated executives of any SUBRECIPIENT.

e. *Definitions.* For purposes of this award term:

Entity means all of the following:

A Governmental organization, which is a State, local government, or Indian tribe;

A foreign public entity;

A domestic or foreign nonprofit organization;

A domestic or foreign for-profit organization;

A Federal agency, but only as a SUBRECIPIENT under an award or subaward to a non-Federal entity.

Executive means officers, managing partners, or any other employees in management positions.

Subaward:

This term means a legal instrument to provide support for the performance of any portion of the substantive project or program for which you received this award and that you as the RECIPIENT award to an eligible SUBRECIPIENT.

The term does not include your procurement of property and services needed to carry out the project or program

A subaward may be provided through any legal agreement, including an agreement that you or a SUBRECIPIENT considers a contract.

SUBRECIPIENT means an entity that:

Receives a subaward from you (the RECIPIENT) under this award; and

Is accountable to you for the use of the Federal funds provided by the subaward.

Total compensation means the cash and noncash dollar value earned by the executive during the RECIPIENT's or SUBRECIPIENT's preceding fiscal year and includes the following:

Salary and bonus.

Awards of stock, stock options, and stock appreciation rights. Use the dollar amount recognized for financial statement reporting purposes with respect to the fiscal year in accordance with the Statement of Financial Accounting Standards No. 123 (Revised 2004) (FAS 123R), Shared Based Payments.

Earnings for services under non-equity incentive plans. This does not include group life, health, hospitalization or medical reimbursement plans that do not discriminate in favor of executives, and are available generally to all salaried employees.

Change in pension value. This is the change in present value of defined benefit and actuarial pension plans.

Above-market earnings on deferred compensation which is not tax-qualified.

Other compensation, if the aggregate value of all such other compensation (e.g. severance, termination payments, value of life insurance paid on behalf of the employee, perquisites or property) for the executive exceeds $10,000.

XXVII. DRUG-FREE WORKPLACE

The Recipient will make a good faith effort, on a continuing basis, to maintain a drug-free workplace. As part of that effort, the Recipient will publish a drug-free workplace statement and provide a copy to each employee who will be engaged in the performance of any project/program that receives Federal funding. The statement must:

Tell the employees that the unlawful manufacture, distribution, dispensing, possession, or use of a controlled substance is prohibited in its workplace;

Specify the actions the Recipient will take against employees for violating that prohibition; and

Let each employee know that, as a condition of employment under any instrument, he or she:

Must abide by the terms of the statement; and

Must notify the Recipient in writing if he or she is convicted for a violation of a criminal drug statute occurring in the workplace, and must do so no more than five calendar days after the conviction.

The Recipient agrees that it will establish an ongoing drug-free awareness program to inform employees about:

The dangers of drug abuse in the workplace;

The Recipient's policy of maintaining a drug-free workplace;

Any available drug counseling, rehabilitation and employee assistance programs; and

The penalties that the Recipient may impose upon them for drug abuse violations occurring in the workplace.

The policy statement and program must be in place as soon as possible, no later than the 30 days after the effective date of this Federal award, or the completion date of this Federal award, whichever occurs first, unless the Recipient obtains FAS' express written approval.

The Recipient agrees to immediately notify FAS if an employee is convicted of a drug violation in the workplace. The notification must be in writing, identify the employee's position title, the Recipient number of each instrument on which the employee worked. The notification must be sent to FAS within ten calendar days after the Recipient learns of the conviction.

Within 30 calendar days of learning about an employee's conviction, the Recipient must either:

Take appropriate personnel action against the employee, up to and including termination; or

Require the employee to participate satisfactorily in a drug abuse assistance or rehabilitation program.

XXVIII. RELIGIOUS PERSECUTION

The Recipient must ensure that its personnel take into account in their work the considerations reflected in the International Religious Freedom Act, 22 U.S.C. 6401, et al. concerning country- specific conditions, the right to freedom of religion, methods of religious persecution practiced in foreign countries, and applicable distinctions within a country between the nature of and treatment of various religious practices and believers.

XXIX. PROHIBITION ON ABORTION RELATED ACTIVITIES

The RECIPIENT agrees that none of the funds provided by this award shall be used to issue grant funds to lobby for or against abortion. The RECIPIENT agrees that none of the funds provided by this award shall be used to pay for the performance of abortion as a method of family planning or to motivate or coerce any person to practice abortions.

XXX. TRAFFICKING IN PERSONS

Trafficking in persons (as defined in the Protocol to Prevent, Suppress, and Punish Trafficking in Persons, especially Women and Children, supplementing the UN Convention against Transnational Organized Crime) represents a significant human rights concern to the United States and the international community. The recipient agrees not to engage in trafficking in persons during the performance of this agreement.