



FOREIGN AGRICULTURAL SERVICE

Food Assistance Division
Office of Capacity Building and Development

FY 19 Food Assistance Proposal
Guidance and Request for Applications

**LOCAL AND REGIONAL FOOD AID PROCUREMENT PROGRAM
NOTICE OF FUNDING OPPORTUNITY**

May 22, 2019

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U.S. DEPARTMENT OF AGRICULTURE
Foreign Agricultural Service

Modifications

This Notice of Funding Opportunity (NOFO), originally issued on March 26, 2019, has been modified. There are two modifications and they are highlighted in yellow in the body of the NOFO.

Mod. No.	Date	Description of Modification
0001	May 22, 2019	Part C 3 Other Submission Requirements and Information: Clarifying note on variance in required forms by entity type (domestic or foreign)
0001	May 22, 2019	Part D 2 b Required Sections and Forms: Clarifying note on required forms by entity type (domestic or foreign)
0001	May 22, 2019	Appendix A - Application Content Checklist: Clarifying notes on which forms are not applicable to foreign entities.

Notice of Availability of Funds and Funding Opportunity Announcement for the USDA Local and Regional Food Aid Procurement program

ANNOUNCEMENT TYPE: Request for Application

FUNDING OPPORTUNITY NUMBER: USDA-FAS-10.612-0700-19

CATALOG OF FEDERAL DOMESTIC ASSISTANCE (CFDA) NUMBER: 10.612

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 and time 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 3](#) and [Part D 2](#) for application requirements to make an application considered complete.

Comments regarding this request for applications will be considered to the extent practicable and should be submitted to ppded@fas.usda.gov. Please include “FY19 MGD NOFO” in the subject line of your e-mail. Questions must be received no later than 5:00:00 P.M. EDT May 22, 2019, and responses to questions will be posted on FAIS within three (3) business days.

EXECUTIVE SUMMARY: FAS is soliciting proposals for the Local and Regional Food Aid Procurement (LRP) program for Fiscal Year (FY) 2019. FAS expects to award multiple cooperative agreements under LRP, totaling up to \$15 million. Applications for cooperative agreements will be prioritized for the following countries: Burkina Faso, Cambodia, Liberia, Nepal, and Nicaragua. FAS may give preference for funding to eligible entities that have, or are working towards, projects under the McGovern-Dole International Food for Education and Child Nutrition program (McGovern-Dole). To fulfill its mandate under the Food, Conservation, and Energy Act of 2008, as amended by the Agriculture Improvement Act of 2018, FAS will enter into cooperative agreements with eligible organizations to implement field-based projects that improve local or regional procurements of eligible commodities, including strengthening local production to provide development assistance and respond to food crises and disasters in developing countries. FAS proposes these LRP guidelines in accordance with 7 CFR § 1590.

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 specify which country/NOFO they are applying to and may submit more than one application. Application instructions, award terms and conditions, scoring criteria, etc. are the same for each NOFO contained in this announcement. NOFO numbers can be found in [Part A 4](#) and [Appendix B](#).
- **Merit and Criteria:**
 - o Please refer to the updated table of Merit and Criteria in Table 1, [Part E 1](#) Criteria.
 - o Please note that "overall application quality" is a new scored aspect within Merit and Criteria. Refer to [Part E 1](#).
 - o FAS will review and score Negative Factors and Positive Factors in FY 19. Please refer to [Part E 6](#) Negative Factors and [Part E 7](#) Positive Factors. Negative Factors will be scored and can result in a maximum of five points deducted from the Applicant's overall score. Positive Factors will be scored and can result in a maximum of five points bonus to the Applicant's overall score.
 - o The score of the Project Level Results Framework has been combined with the Monitoring and Evaluation (M&E) section and the Other Details section has been combined into the Introduction and Strategic Analysis section.

LIST OF ACRONYMS

CFR	Code of Federal Regulations
CV	Curriculum Vitae
DUNS	Data Universal Number System
EMMA	Emergency Market Mapping Analysis
FAD	Food Assistance Division
FAIS	Food Aid Information System
FAO	United Nations Food and Agriculture Organization
FAS	Foreign Agricultural Service
FEWS NET	Famine Early Warning System Network
FFPr	Food for Progress
FPMA	Food Price Monitoring and Analysis Tool
FTF	Feed the Future
FY	Fiscal Year
GAIN	Global Agricultural Information Network
GFSS	Global Food Security Strategy
GDP	Gross Domestic Product
HGSF	Home Grown School Feeding
IR	Intermediate Results
ITSH	Internal Transport, Storage, and Handling
LRP	Local and Regional Procurement
M & E	Monitoring and Evaluation
McGovern-Dole	McGovern-Dole International Food for Education and Child Nutrition Program
MIFIRA	Market Information and Food Insecurity Response Analysis
MT	Metric Tons
NGO	Non-Governmental Organization
NICRA	Negotiated Indirect Cost Recovery Agreement
NIFA	National Institute of Food and Agriculture
NOFO	Notice of Funding Opportunity
OCBD	Office of Capacity Building and Development
OMB	Office of Management and Budget
PER	Public Expenditure Review
PMP	Performance Monitoring Plan
PVO	Private Voluntary Organization
RCT	Randomized Control Trial
RF	Results Framework
SAM	System for Award Management
SCP	Structure, Conduct and Performance Framework
SF	Standard Form

SFHB	School Feeding and Humanitarian Branch
SO	Strategic Objective
UN	United Nations
USAID	United States Agency for International Development
USDA	United States Department of Agriculture
USG	United States Government
WFP	World Food Programme

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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

10.612 USDA Local and Regional Food Aid Procurement Program

3. Notice of Funding Opportunity Title

UNITED STATES DEPARTMENT OF AGRICULTURE LOCAL AND REGIONAL
FOOD AID PROCUREMENT PROGRAM

4. Notice of Funding Opportunity Numbers

Country-Specific NOFO Numbers

USDA-FAS-10.612-0700-19-686 – Burkina Faso

USDA-FAS-10.612-0700-19-442 – Cambodia

USDA-FAS-10.612-0700-19-669 – Liberia

USDA-FAS-10.612-0700-19-367 – Nepal

USDA-FAS-10.612-0700-19-524 – Nicaragua

5. Authorizing Authority for Program

The LRP Program is authorized in the Food, Conservation, and Energy Act of 2008, Title III, Part C, Section 3206, Public Law 110-246, 122 Stat. 1840, 7 U.S.C 1726c, as amended by the Agriculture Improvement Act of 2018, Public Law 115-334.

6. Appropriation Authority for Program

Consolidated Appropriations Act of 2019 Public Law 116-6.

7. Announcement Type

New

8. Program Regulations

Awards made within this funding opportunity will be subject to 7 CFR 1590 and 2 CFR 200 as adopted by 2 CFR 400. The regulations (7 CFR § 1590) supporting LRP 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

LRP aims to support development activities to strengthen the capacity of food-insecure developing countries and address the causes of chronic food insecurity. Under LRP, recipients use FAS-provided funds to purchase eligible commodities in developing countries and pay for associated administrative and operational costs related to the implementation of field-based projects in a foreign country pursuant to an agreement with FAS. LRP also supports the consumption of locally or regionally produced food and strengthens local value chains and all associated procurement activities. LRP will focus primarily on development programs, although the regulations also provide for the furnishing of food assistance in the form of an emergency response (7 CFR § 1590.1(a)(2)). Given the role of the United States Agency for International Development (USAID) as the lead agency in the provision of U.S. emergency humanitarian assistance, any emergency response will be determined in consultation with the USAID Administrator, as provided for in section 3206(b)(2) of the 2008 Farm Bill, as amended, to ensure programs address the highest priority needs only and are not duplicative.

Funds provided by FAS under LRP may be used to provide food assistance in the form of development assistance, emergency response, or both, through a field-based project. 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. FAS may give preference for funding to eligible entities that have, or are working towards, projects under McGovern-Dole. Applications will be prioritized for Burkina Faso, Cambodia, Liberia, Nepal and Nicaragua as described in [Appendix B](#).

10. US Government Strategies

Feed the Future and Global Food Security Strategy

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 strongly encouraged to align proposed interventions with the objectives found in the GFSS and required to ensure that proposed activities are complementary and not duplicative.

USDA Global Food Security Council guidance commits LRP to report on select Feed the Future (FtF) indicators, particularly in the area of nutrition and health, which are identified and defined as standard LRP performance indicators. Four FY 19 LRP priority countries are also GFSS Aligned Countries: Burkina Faso, Cambodia, Liberia, and Nicaragua, and Nepal is a GFSS Target Country. Proposals submitted for these countries should demonstrate contemplated alignment of the proposed LRP activities with GFSS in the country of application. Proposals should describe how and why proposed activities align with GFSS. Proposals that do not align proposed LRP activities with GFSS should demonstrate that alignment was considered and note why LRP objectives would be reached without GFSS alignment.

B. FEDERAL AWARD INFORMATION

1. Award Amounts

Anticipated Funding: Up to \$15,000,000 (total) in FY 19

The Local and Regional Procurement Program anticipates making one to five awards between \$2 and \$4 million each. All projects in this announcement will be funded subject to availability of appropriated funding. 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. FAS seeks proposals for up to a three-year implementation period, except if indicated otherwise 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

Local and Regional Procurement 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 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 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 LRP regulations (7 CFR § 1590.3(a)(1)) and 7 USC 1726c, a private voluntary organization, a cooperative, or an intergovernmental organization is eligible to submit an application to become an Applicant under LRP. See 7 CFR 1590.2 for the definition of a private voluntary organization.

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 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, subrecipients 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 subrecipients 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 and Forms to be considered complete. Note: the list of required forms varies, based on whether an Applicant is a foreign or domestic entity. An Applicant must submit all required forms relevant for their entity type. 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

Cost sharing, matching, or cost participation is not required for eligibility, but is encouraged to maximize program impacts and engender in-country sustainability. Applicants must identify and explain any cost sharing in the budget summary and narrative (7 CFR § 1590.4(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 \(https://apps.fas.usda.gov/faiss/public\)](https://apps.fas.usda.gov/faiss/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) 720-2637 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 typed on standard 8.5" x 11" sized paper with 1-inch margins;
- Be paginated with each page consecutively numbered;
- Cite source information and/or provide an explanation of the analysis undertaken;
- Be submitted in PDF;

- Not exceed eighty-one (81) pages, excluding the cover page and appendices; and adhering to the following page limit guidelines:
 - o Introduction: a maximum of one (1) page
 - o Strategic Analysis: a maximum of five (5) pages
 - o Plan of Operations and Activities: a maximum of ten (10) pages¹
 - o Sustainability and Lasting Impact: a maximum of five (5) pages
 - o Procurement Approach: a maximum of five (5) pages
 - o Commodity Management: a maximum of five (5) pages
 - o Economic Impact: a maximum of three (3) pages
 - o Organizational Capacity and Staffing: a maximum of five (5) pages
 - o Monitoring and Evaluation: a maximum of twenty-one (21) pages
 - Results Framework: a maximum of five (5) pages
 - Indicators: a maximum of four (4) pages
 - Evaluation Plan: a maximum of twelve (12) pages
 - o Budget Summary: a maximum of one (1) page
 - o 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

All applications, regardless of entity type, must include the following sections to be considered complete:

- Introduction
- Strategic Analysis
- Plan of Operation and Activities
 - o Value Chain Map
 - o Activities Section
- Sustainability and Lasting Impact
- Procurement Approach
 - o Commodity Selection
 - o Commodity Total Calculation
 - o Method of Procurement
 - o Procurement and Distribution Plan
 - o Market Impact Analysis
- Commodity Management
- Economic Impact
- Organizational Capacity and Staffing

¹ Includes Value Chain Map

- o Organizational Chart
- o Curriculum Vitae
- o In-Country Registration
- o Past Performance Records
- o Audited Financial Statements (if applicable)
- Monitoring and Evaluation
 - o Project-Level Results Framework
 - o Indicators
 - o Evaluation Plan
- Budget
 - o Standard Budget Summary
 - o Budget Narrative
 - o SF-424 <https://www.grants.gov/web/grants/forms/sf-424-family.html>
 - o Applicant's most recent approved NICRA agreement
- Project-specific commitment letters from anticipated subrecipients (if subrecipients are proposed).

Each application ***submitted by a domestic entity*** (FAS will determine whether an entity is considered foreign or domestic based on the entity's registration information on SAM.gov.) must also include the following forms to be considered complete:

- [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>
- [Certification Regarding Lobbying](#). If paragraph two of the certification applies, then complete and submit the [SF-LLL Disclosure of Lobbying](#).

Each application ***submitted by a foreign entity*** (FAS will determine whether an entity is considered foreign or domestic based on the entity's registration information on SAM.gov.) must also include the following forms to be considered complete:

- SF- 424 <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](#).

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 LRP Regulations, 7 CFR § 1590.4, as well as the guidance within this notice.

Further details on submission dates and times can be found in [Part D 4](#). **Incomplete applications will not be reviewed.** An application content checklist can be found in [Appendix A](#).

Applicants should review the FAS guidance for each of these sections, which requires submission as an attachment or data input directly into FAIS. More detailed information on the contents of each section is provided below in [Part D 2 c](#).

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

i. Introduction and Strategic Analysis

Provide a one-paragraph summary of the proposed project. The summary should address the duration of the project, estimated total value of the program, number of direct beneficiaries (i.e. number of school age children) and the main focus of the proposed interventions.

This section should explain the strategy behind the proposed method of intervention and describe how the project will implement this strategy. The strategic analysis should:

- Identify the targeted beneficiaries, regions, and specific needs of the targeted population, and the rationale for their selection;
- Explain the state of food security in the targeted region; including access to diverse, nutrition, and quality foods, and a brief description of the capacity of producers, producer organizations, and market linkages in the target region;
- Explain the selection for the local procurement in the target area and reference the value chain and market analysis to support the strategic analysis and how the commodity selection was determined in the context of other school feeding programs in the region or country, and the cultural appropriateness of the local diet, including cultural acceptability;
- Explain the working relationship with the Applicant government, the collaboration done to develop the proposed project, and how the project would leverage other development resources to achieve results;
- Describe the current government-supported school feeding programs or school feeding initiatives. Applicants should include information on how the LRP activities will complement the school-feeding programs when relevant. This includes school feeding policies, modalities of cash transfer, and how the LRP program will strengthen the handover strategy to the local Government;
- Identify specific in-country constraints, including potential climate and other environmental risks, that could obstruct the project's efforts to address the identified needs;
- Provide a realistic assessment of opportunities to link, complement, and leverage USG and other donor funded activities. Please include any current programs, policies, and strategies of other stakeholders (e.g., recipient government, USG, other donors, private sector, etc.) to demonstrate how the proposal would increase the capacity of local and regional food market systems². World Food Programme (WFP) Applicants should include evidence of collaboration with other United Nations agencies, notably FAO and the Rome-based agencies, and the reporting practice of each agency that documents collaboration with those agencies;
- Method of Educating the Public: State the methods of notifying consumers in the Applicant country of the source of funding for program activities;
- Method of Choosing Beneficiaries: Briefly identify the criteria and methodology used to target the geographic area(s) and the beneficiary group(s). Criteria and methodology should help to distinguish why some regions or beneficiary groups will receive resources (funds or agricultural products) while others may not. Applicants should consider the following questions when preparing a response:

² A food market system is defined as the network of all the activities that take place within the food system between the farm gate and the consumer. This includes processing, wholesaling, retailing, food service, and transportation functions.

- Why and with what methodology did the Applicant select the geographic area(s), institutions, and beneficiaries?
- Which sources of information did the Applicant use (i.e. government agency survey, computer database, interviews, assessments, etc.)?
- With whom did the Applicant collaborate to target regions, institutions, and beneficiaries?
- Target Geographic Area: List the targeted geographic areas where the proposed activities will take place; the inclusion of maps for illustration is encouraged and can be uploaded in FAIS as an attachment.

ii. Plan of Operation and Activities

The Plan of Operation must include a list of the activities to be implemented with a brief statement of the objectives to be accomplished and a detailed description of each activity, including the implementation steps and anticipated completion dates. Applicants should map their activities into the Value Chain Map to demonstrate how each intervention addresses the proposed strategy.

a. Value Chain Map

To demonstrate an understanding of the food system within the target area of intervention, Applicants should map the value chain(s) of proposed commodities. The selection of the commodity for procurement should be shown in the Value Chain Map. The Value Chain Map should be a visual representation (such as: graphic or diagram) and include the following information:

- *Types of producers and volumes produced:* What type of producer is producing each commodity? Where are they located? Are commodities produced locally, domestically, or imported from neighboring countries? The Value Chain Map should show approximate current production data of the chosen commodities in the targeted regions. Applicants must demonstrate how the project will consider seasonal fluctuations in agricultural harvests, labor markets, and food commodity prices, including those for the same of like products.
- *Input supply:* What inputs are important to the production of each commodity? To what degree are they available and used? Please include recent supply (production), demand (consumption), import, and export statistics along with sources (such as USDA GAIN Reports); to support these statements.

- *Producer organization:* Are producers organized into groups or cooperatives? If so, what is the nature of that organization and what role does it play in the procurement of inputs or marketing of commodities?
- *Levels of aggregation:* Who handles and trades each commodity in between production and processing and/or end markets? What are the storage and transportation conditions at each level? The map should depict the flow of commodities so that it is clear what percentages of production go through each channel.
- *Processing:* What processing does this commodity typically undergo? Are processing facilities centralized or do they occur locally?
- *Distribution:* What is the nature of distribution? Also, to be discussed in [Market Impact Analysis](#).
- *End market use:* Who consumes each commodity?
- *Governance and Enabling Environment:* Governance overlays all levels of the Value Chain Map. Include current laws, regulations, and initiatives that are relevant to the function of the value chain. Please expand on initiatives that are enforced and to what degree do producers avail extension services.

b. Activities Section

The Activities Section is evaluated based on the quality and technical merit of the content submitted, including in-depth description of each activity, and how each activity will be implemented. Applicants should demonstrate how activities will address the needs identified in the Introduction and Strategic Analysis section, including the constraints on smallholder farmers, and how to satisfy the demands of local or regional procurement. Furthermore, this section must detail how these activities will produce the results stated in the project-level Results Framework (RF). Applicants should reference the Value Chain Map in this section to demonstrate how their proposed interventions are targeting leverage points, including economic and social structures, commercial incentives, and social norms and incentives, which will spur behavior and ultimately market change. The activities section should include the following:

- Explain how the project will strengthen the ability of local and regional farmers, community farmer groups, farmer cooperatives and associations, processors, agribusinesses and governments to supply food to school meals programs and or during crises and disasters;
- Describe in detail the project's targeted interventions, and demonstrate how the project will complement existing efforts in school feeding;

- Describe how the program will incorporate strategies to improve the nutritional status of beneficiaries, and improve access to diverse, nutritional, quality foods. The Applicant must identify all beneficiaries and whether they are children, adolescent girls, mothers, or other adults that will be targeted for improved food security and nutrition as well as improved access to diverse, nutritious, and safe foods;
- This section should distinguish the activities to be implemented by the Applicant from those to be implemented in coordination with other partners. Applicants must provide a brief description of the capacity of all subrecipients and their role in project implementation.

iii. Sustainability and Lasting Impact

Capacity development is an important factor to enhance global food security and long-term self-reliance is key to the success of development program interventions such as LRP. Applicants should explain how proposed activities will be implemented in a manner that ensures sustainability, and how outcomes will be sustained after the project ends. Applicants should include information on their collaboration with the host government and engagement with the private sector, and their efforts to build local capacity and strengthen market linkages for local and regional procurement of commodities. Proposals must include information on any type of capacity-building training. This section should include a handover and exit strategy for the project. Applicants should demonstrate how they will overcome the current barriers and how they will develop buy-in from stakeholders including producer groups, community leaders, school feeding management staff, government officials.

iv. Procurement Approach

Applicants must present a comprehensive description of their approach to procuring requested commodities and illustrate consideration of market impacts and beneficiary needs. This section of the proposal should include:

- **Commodity Selection:** Applicants should consider activities that will help producers reduce food loss and waste to meet market demand for nutritious and safe food. When selecting a commodity based on the analysis of the value chain, Applicants should provide a clear explanation of how the proposed commodity, when prepared, will address the nutritional and micronutrient deficiencies of the intended beneficiaries. The applicant must explain the intended (per serving) nutritional contributions from the ration such as calories, protein, and key micronutrients that are age appropriate. The applicant should also demonstrate that the seasonality of the selected commodities has been considered, including verifying that sufficient

quantities, and sufficient storage if applicable, will be available at times that align with the school calendar.

- **Commodity Total Calculation:** The total amount of each commodity needed for the project should be calculated. Please use the following formula to calculate the number of metric tons (MT) needed for each commodity:

$$\text{MT of each commodity} = (G \times S \times D) / 1,000,000$$

G = grams, per student, per day

S = number of students

D = number of days that the ration is provided

- **Method of Procurement:** Describe if the requested commodities will be procured directly from local or regional markets or if vouchers will be used to procure the requested commodities. Provide a justification for why the method was chosen. Market analyses of voucher and cash transfer programs should include analysis of the relevant commodity market(s) in the project location, using previous market analyses as references whenever possible. The analysis should demonstrate that vendors can respond to the increased demand that the cash/voucher project will create, without causing a shortage of the commodities in question and/or causing prices to rise for other low-income consumers who are not part of the project. In order for cash transfer or food voucher projects to work successfully, food supplies in the market must already meet or exceed demand, and a sudden loss in purchasing power, or demand, should be the primary constraint to meeting acute food security needs.
- **Procurement and Distribution Plan:** Through the Procurement and Distribution Plan, the Applicant should outline the timing of commodity procurement and distribution (or of food vouchers and cash transfers, if applicable). The plan should include dates that are sensitive to seasonal market fluctuations in both procurement and distribution markets. A Procurement and Distribution Plan should be submitted regardless of the procurement modality (see [Appendix H](#) for the Procurement and Distribution Plan template).
- **Market Impact Analysis:** Provide an analysis of the impact of procurement(s) on markets in the location of the commodity origin and distributions in the project implementation area. The analysis should

demonstrate that the proposed intervention is unlikely to do discernible economic harm to key market actors, such as producers, buyers, distributors, and consumers, and that the eligible commodities can be procured locally or regionally without a disruptive impact on farmers located in, or the economy of, the target country or any country in the target region. The analysis will also assert that the eligible commodities can be procured without unduly disrupting world prices for agricultural commodities or normal patterns of commercial trade with foreign countries. The section will also reference the sources and methodologies used in completing the market impact analysis. Applicants should also provide a plan for conducting a yearly market study for each year of local and regional procurement of commodities which should identify any potential negative effects, such as unusual changes in commodity prices. More information can be found in [Part F 8](#) Other Requirements.

- **Also include the following information:**
 - Tonnage and packaging of commodity to be purchased as a percentage of the estimated total tonnage produced (in location of origin) and consumed (in location of distribution) to demonstrate Applicant's understanding of the economic impact of the project. Applicants must demonstrate how the project will consider seasonal fluctuations in agricultural harvests, labor markets, and food commodity prices, including those for same or like products (substitutable commodities);
 - Relevant local, regional, and international trading patterns, including trade for further processing of the commodities;
 - Issues with competition at different levels of the market system; and
 - Possible negative impact on stakeholders (e.g., traders, wholesalers, transporters, retailers, local producers, wage laborers, vulnerable non-beneficiaries).
 - To assist in developing an analysis, USDA recommends consulting the Famine Early Warning System Network (FEWS NET) and, as appropriate, using market assessment tools such as:
 - MIFIRA, or Market Information and Food Insecurity Response Analysis;
 - EMMA, or Emergency Market Mapping and Analysis;
 - SCP, or Structure, Conduct and Performance Framework;
 - FPMA, or Food Price Monitoring and Analysis Tool; or other appropriate tools.

v. Commodity Management

All proposed eligible commodities, processed and unprocessed, must be produced or processed within the target country or region, and must satisfy relevant quality, safety, and hygienic standards. Applicants must demonstrate that they have considered how to meet the standards outlined below and have plans or protocols in place to meet them during program implementation. For grains, legumes, and pulses, the commodities must meet national food safety standards. If the country does not have food safety standards, the commodities must adhere to *Codex Alimentarius* standards, as recommended in the International Code of Practices: General Principles of Food Hygiene CAC/RCP 1-1969 Rev 4-2003, including Annex *Hazard Analysis and Critical Control Point (HACCP) System and Guidelines*. Food safety activities may include but are not limited to the following:

- For commodities other than grains, legumes, and pulses, the commodities must adhere to *Codex Alimentarius* standards as recommended in the International Code of Practices: General Principles of Food Hygiene CAC/RCP 1-1969 Rev 4-2003, including Annex *Hazard Analysis and Critical Control Point (HACCP) System and Guidelines*.
- Cereals, groundnuts, tree nuts, or derived food products must be tested for aflatoxins at a government or private laboratory or by an independent inspection company within the region. The maximum acceptable total aflatoxin level is 20 parts per billion.
- Unprocessed commodities must be purchased in the target country or another developing country in the target region. For processed commodities, both processing and production of the primary commodity must take place in the target country or in a developing country in the target region.
- *Special Needs and 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.
- *Transportation and Storage*: Applicants must provide a clear description of any port, transportation, storage, and warehouse facilities that would be used with sufficient detail to demonstrate that the facilities would be adequate to handle the requested commodities without undue spoilage or waste, and, in the cases where the Applicant proposes to distribute some or all of the requested commodities, Applicants must provide a clear description of how they would transport commodities from the procurement market to the point at which distribution is made to the beneficiaries (7 CFR § 1590.5(e)(5)). The Applicant must address inland transportation, handling, and storage (at all levels) of the procured commodities.
- *Processing or Packaging*: Applicants must provide information on any reprocessing or repackaging of the requested commodities that would occur

prior to the distribution. Applicants should indicate if no reprocessing or repackaging of the requested commodities will take place.

- *Duty-Free Entry:* Applicants must indicate that commodities procured regionally for direct distribution will be imported and distributed free from all customs, duties, tolls, and taxes. Additionally, Applicants must provide information on the action it has taken or will take to ensure that any requested commodities for direct distribution will be imported and distributed free from all customs, duties, tolls, and taxes (7 CFR § 1590.9(a)).
- Applicants should ensure that all the requested information aligns with the timeline and amounts indicated in the Procurement and Distribution Plan, submitted under the procurement approach section (see [Appendix H](#) Procurement and Distribution Plan template)

vi. Economic Impact

LRP is expected to maximize the impact of food assistance by realizing results achieved under the USDA Local and Regional Food Aid Procurement Pilot Project during the period of 2009-2012 and documented in an independent evaluation report (<http://www.fas.usda.gov/newsroom/local-and-regional-food-aid-procurement-pilot-project-independent-evaluation-report>). This includes: cost savings in transport, shipping, and handling; better match between Applicants' needs and program commodity availability; and time savings between the procurement and delivery of food, which is especially important in emergency situations. The Applicant will also assert that procurement of commodities will not, to the best of its knowledge, unduly impact world prices or normal patterns of commercial trade. If applicable, the plan must provide information on the extent to which any sale or barter of the requested commodities would displace or interfere with any sales that may otherwise be made by the Applicant or any other entity in the target country (Executive Order 12866 and 13563).

To show the summary of the Economic Impact, applications should show the following:

- *Timeliness:* Applicants must demonstrate timeliness by providing analysis of using the LRP approach instead of actual transoceanic food aid deliveries to the same country, and during the same time period. This analysis should take procurement type, infrastructure, climate conditions, geography (landlocked versus coastal), regulations in procurement locations and distribution zones, commodity type, capacity of suppliers, and other relevant factors into consideration.

- *Cost Effectiveness:* Applicants must provide estimate of cost-effectiveness by comparing LRP activities (including procurement type) against transoceanic deliveries to the same country matched in time, and by commodity. In generating cost-effectiveness estimates, Applicants must include the cost of the purchased commodity, ocean freight, and internal transport, storage, and handling (ITSH) for food aid shipments from the United States using USDA commodity and ocean freight costs. Please note that while voucher programs do not incur storage or handling costs, they do involve other costs such as printing, distribution, monitoring, and training which must be taken into account.

vii. Organizational Capacity and Staffing

In a five-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 five-page narrative should also include information on the staffing plan. The staffing plan should include a brief description of all long-term staff positions and levels of experience. Applicants should propose an overall staffing plan that demonstrates technical and regional/national expertise required for efficient and effective project implementation, administration and management. 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 five-page Organizational Capacity and Staffing narrative, Applicants must also identify any subrecipient that would be involved and provide a description of each subrecipient responsibilities and its capability to perform those responsibilities. 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 five-page Organizational Capacity and Staffing narrative.

- *Organizational Chart (submitted as a separate attachment beyond the five-page Organizational Capacity and Staffing narrative):* Applicants must include an appropriate and adequate organizational chart that include and note key personnel positions and the roles and responsibilities 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 LRP 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 five-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 five-page Organizational Capacity and Staffing narrative):* Applicants should attach completed past performance records for no more than three grants 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 grants or contracts that are similar to the scope and size of programming in the Applicants' proposal, including those of grants or contracts implemented in the proposed country and/or specifically mentioned in the Applicant's introduction section of the proposal. Applicants are strongly encouraged to include at least one past performance record for past or active awards outside of the McGovern-Dole, LRP, or Food for Progress programs.

- *Guidance for Audited Financial Statements (submitted as separate attachments beyond the five-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.

viii. Monitoring and Evaluation

a. Project Level Results Framework

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 identify and articulate how the proposed project will contribute to the USDA Food Assistance Program results frameworks, as shown in [Appendix E](#) – LRP 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 LRP program-level RF as the basis of their project-level RF. 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. 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:
 - Statements of result, not a process or activity
 - Uni-dimensional, generally one element per result statement
 - Precise and clearly understood without having to look at indicators or other project documents for definition

- 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
 - Identifies 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. 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.” Generally, projects should not have killer assumptions.

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.

b. Indicators

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.). If an application includes an activity that has a corresponding LRP standard indicator, the Applicant must include that LRP standard indicator.³ 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 [Appendix G](#) - Food Aid Division Monitoring and Evaluation Policy⁴, 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 F](#) 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 responsibilities 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.

c. Evaluation Plan

According to 7 CFR § 1590.13(d), all Applicants must, as provided in the agreement, submit to FAS a final evaluation of the implementation of the agreement. Applicants must also submit baseline data information for

³ For more information see the Food Assistance Indicator Handbook
https://apps.fas.usda.gov/faiss/public/files/FAD%20Indicator%20Handbook_Feb%202019.pdf

⁴ For more information see the FAS Monitoring and Evaluation Policy
https://apps.fas.usda.gov/faiss/public/files/FAD%20MandE%20Policy_Feb%202019.pdf

performance monitoring indicators and an evaluation 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. The strategic objective of LRP is to improve the effectiveness of food assistance through local and regional procurement. As such, all LRP projects must include, as part of their evaluation plan, key evaluation questions that aim to assess the project's effect on improving the capacity of organizations and governments to procure food for school feeding programs in a cost-effective and timely manner. The methodology should include a discussion of how the project intends to measure the changes in the capacity of smallholder farmers and/or other actors along the proposed value chain to supply sufficient quantities of quality, nutritious, and safe agriculture commodities to school feeding programs. 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. The Applicant must submit 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,

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 McGovern-Dole Learning Agenda**

Review the Learning Agenda provided on the FAIS homepage – [McGovern-Dole 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 McGovern Dole program-level RF and the LRP program-level RF, but also the broader school meals 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 LRP project can contribute to building the evidence base for many of the questions. Applicants are strongly encouraged to include a short section in their evaluation plan explaining (i) which questions in the Learning Agenda their proposed evaluations and/or special studies will help answer, and (ii) how Applicants may wish to partner with other organizations and leverage external resources to conduct special studies.

- **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.

- **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 in the Organizational Capacity and Staffing narrative.

- **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:

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

The Food Aid Division Monitoring and Evaluation Policy ([Appendix G](#)) 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 a short section in the Evaluation Plan and in the Budget Narrative ([Appendix D](#)).

ix. Budget

Per 7 CFR § 1590.4(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 overall cost effectiveness of a proposal, FAS requires all Applicants to provide the following budgetary materials:

- *A budget summary* (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.
- *A budget narrative* (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.
- *A completed and signed SF-424. (submitted as an 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>.
- *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.

x. 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. If Applicants do not want to duplicate information, then in each required section please indicate which page it is located on in full proposal. 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 [Commodity Management](#)]
 - Commodity List
 - Special Needs & Distribution Methods
 - Transportation and Storage
 - Processing or Repackaging
 - Duty Free Entry
 - Economic Impact
 - Ration Justification
- Result Section
 - Results [duplicative of [Results Framework](#)]
 - Activities [duplicative of [Plan of Operations and Activities](#)]

- o Mapping [duplicative of [Results Framework](#)]
- o 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 26, 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 date and time 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: 07/30/2019

Anticipated Award Date: 09/30/2019

5. Intergovernmental Review

This program is not subject to E.O. 12372

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 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 22, 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) 720-2637 or e-mail: ppded@fas.usda.gov.

E. APPLICATION REVIEW INFORMATION

1. Criteria

Applications are evaluated on the areas of criteria and merit in Table 1. FAS may invite comments from other federal and non-federal reviewers on its award recommendations, but FAS will make the final determination on which applications to fund.

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 1: Merit and Criteria

<u>Evaluative Areas of Criteria</u>	<u>Merit</u>
Introduction and Strategic Analysis	14
Plan of Operation and Activities	13
Sustainability and Lasting Impact	12
Procurement Approach	7

<u>Evaluative Areas of Criteria</u>	<u>Merit</u>
Commodity Management	10
Economic Impact	7
Organizational Capacity and Staffing	12
Monitoring and Evaluation	10
Budget	10
Overall Application Quality	5
Negative Factors	-5 (Deduction)
Positive Factors	+5 (Bonus)

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 C 4](#) Cost Share or Matching and [Part E 7](#) Positive Factors.

The content requirements for each evaluative area in Table 1 are described in [Part D 2 c](#), except Overall Application Quality. This entire application package will be taken into consideration when scoring Overall Application Quality. This includes spelling, grammar, commodity inconsistencies, page limits, overall consistency, and adherence to the NOFO guidance.

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 (see [Part C](#)) or an application is determined to be incomplete (see [Part D 2 b](#)), it will not be reviewed. FAS will notify the Applicant of rejected applications.

All complete and eligible applications will be reviewed as described below.

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

Technical reviewers will review each eligible application against the evaluation criteria presented in this announcement. The reviewers will assign a score and provide summary comments based on the evaluation criteria identified above.

Following each panel review, FAS staff will score and rank each proposal. Subject to funding availability, top ranked proposals 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.

FAS may perform an additional review of the applicant organization and any and/or its key personnel. This may include reviewing audit reports, publicly available materials and/or government databases and may have a bearing on award outcome. FAS may request additional materials from the applicant as part of this review.

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 1](#) for additional information on marking proprietary information.

FAS screens all technical reviewers for potential conflicts of interest. FAS will require all 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 comments related to the evaluation criteria, 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 Award Date

FAS plans to notify Applicants selected for awards around July 30, 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 b](#) for a description of what elements and attachments must be included for an application to be considered complete.
- Ineligible; please refer to [Part C 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 it is encouraged. 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 analyses. 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).

8. Additional Factors

USDA will consider the following desired program policy factors in the selection process:

- Selection of projects for award that build upon existing McGovern-Dole program activities in order to support the procurement of commodities for school feeding programs.

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 award, FAS will begin negotiations with the Applicant to develop a cooperative agreement. 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 LRP regulations, 7 CFR § 1590. Until signed, FAS reserves the right not to fund a selected proposal.

2. Administration and National Policy Requirements

a. Standard Administrative Terms and Conditions

All successful 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 foreign entities are required to comply with USDA Standard Terms and Conditions for Foreign Organizations which are found in [Appendix I](#) and [Appendix J](#).

b. Administrative Standards and Provisions

The cooperative agreements awarded under the LRP program are administered under 7 CFR § 1590 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 foreign entities are required to comply with USDA Standard Terms and Conditions for Foreign Organizations which are found in [Appendix I](#) and [Appendix J](#).

3. Reporting

LRP-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

Semiannual 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.

b. Program Performance Reporting Requirements

Semiannual Performance Reports must be submitted via FAIS. 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 reserve 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 period of performance
- 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 § 1590 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 1](#) and [Part E 7](#)) 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. Organizational Chart

Upon signature by both parties, FAS requires that the Applicant receive approval for key personnel in the form of an organization chart, which must be submitted within 30 days of notification of award. FAS considers any staff with general management responsibility to be key personnel, such as: the Country Director, Monitoring and Evaluation Specialist, Finance Director, or any other critical technical staff who oversee activity implementation. After approval of these staffing positions, the Applicant must notify FAS within one week of the departure or absence for more than three months or for a reduction of level of effort equal to or surpassing 25 percent of any key personnel and amend the agreement document. This is required by 2 CFR § 200.308(c).

b. Annual Work Plan

Within 30 days from the signing of the agreement, the Applicant will provide a detailed annual work plan for the project, to be approved by FAS that will describe all activities, their sequence and timeframes, all outputs and results, and detail milestones and key performance indicators with targets. Subsequent annual work plans will be due on September 1 of each year.

c. Monitoring and Evaluation Requirement

Additionally, LRP funding Applicants will be required to provide the following: procurement plan, an evaluation plan, a PMP, a baseline study, and a final evaluation.

d. Market Study

Within 90 days from the signing of the agreement, the Applicant will provide a complete market study as laid out in the Annual Work Plan, to be reviewed by FAS. The market study will in greater detail assess the market functionality to determine the most appropriate strategies for supplying targeted school canteens with the required quantities of commodities that have been selected for the program. This market study should analyze the level of production for each commodity, assess the level of the market functionality for each commodity, identify key market actors, assess any potential negative effects, such as unusual changes in commodity prices, and evaluate their

capacity to meet the project's needs and formulate recommendations to inform the procurement plan.

e. Subaward Requirements

LRP 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 LRP, Applicants and other interested parties are encouraged to contact:

Benjamin Muskovitz
Director
Food Assistance Division
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) 720-2637

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 by the FAS Program Manager.

The Recipient shall obtain prior written approval from the FAS Program Manager 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 of the FAS Program Manager.

APPENDIX A – Application Content Checklist

1. Applicant Requirements

- ☐ Registered in SAM and active
- ☐ DUNS number for Applicant's organization
- ☐ DUNS number for all subrecipients

2. Uploaded to FAIS as Attachments⁵

- ☐ Introduction and Strategic Analysis
- ☐ Plan of Operations and Activities
- ☐ Sustainability and Lasting Impact
- ☐ Procurement Approach
- ☐ Commodity Management
- ☐ Economic Impact
- ☐ Organizational Capacity and Staffing
- ☐ Subrecipient Commitment Letters (if applicable)
- ☐ Organizational Chart and Key Personnel Chart
- ☐ Curriculum Vitae
- ☐ In-Country Registration
- ☐ Past Performance Records
- ☐ Audited Financial Statements (if applicable)
- ☐ Project-Level Results Framework
- ☐ Indicators
- ☐ Evaluation Plan
- ☐ Summary Budget: a maximum of one page
- ☐ Budget Narrative: a maximum of twenty pages
- ☐ SF-424 <https://www.grants.gov/web/grants/forms/sf-424-family.html>
- ☐ Applicant's most recent approved NICRA agreement
- ☐ AD-3030 (**Not applicable for foreign organizations**)
- ☐ AD-3031 (**Not applicable for foreign organizations**)
- ☐ USDA AD-1047 or USDA AD-1048 Certification Regarding Debarment, Suspension (depending on organization type) (**Not applicable for foreign organizations**)
- ☐ USDA AD-1049, USDA AD-1050, or USDA AD-1052 Certificate Regarding Drug Free Workplace Requirements (depending on organization type) (**Not applicable for foreign organizations**)
- ☐ SF-424B <https://www.grants.gov/web/grants/forms/sf-424-family.html> (**Not applicable for foreign organizations**)
- ☐ The Certification on Lobbying [Grants.gov Lobbying Form](#) and SF-LLL
- ☐ Letters of Support (not required)

⁵ PDF preferred unless otherwise stated in the guidance.

- ☐ Visuals (maps, graphic organizers, etc.) (not required)

3. Completed within FAIS

3.1 Introduction Section

- ☐ All required cells are entered for country, project dates, etc. in FAIS
- ☐ List all Key Personnel positions, their percentage of time dedicated to the project, and their main responsibilities

3.2 Results Section

3.2.1 Results Tab

- ☐ Each result depicted on the proposal's Project Level Frameworks in FAIS has a Result selected

3.2.2 Activities Tab

- ☐ All necessary Activities are selected

3.2.3 Mapping Tab

- ☐ All activities are mapped to at least one result

3.2.4 Other Details Tab

- ☐ Sub Recipients section completed
- ☐ Government and Non-Government Agencies section completed
- ☐ Method of Education Public section completed
- ☐ Method of Choosing Beneficiaries section completed
- ☐ Cash or Non-Cash Contributions section completed
- ☐ Target Geographic Area section completed

3.3 Commodity Section

3.3.1 Commodity Tab

- ☐ All proposed commodities are selected including basic information and monetization and direct feed details where applicable

3.3.2 Special Needs & Distribution Methods

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

3.3.3 Monetization Tab (if applicable)

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

APPENDIX B – Country Specific Guidance

USDA LRP aims to support development activities to strengthen the capacity of food-insecure developing countries and address the causes of chronic food insecurity. USDA LRP also supports the consumption of locally produced food and strengthens local value chains and all associated procurement activities. USDA LRP will focus primarily on development programs, although the regulations also provide for the furnishing of food assistance through an emergency response (7 CFR § 1590).

BURKINA FASO

NOFO NUMBER: USDA-FAS-10.612-0700-19-686

TARGET AREAS: Center-North Region; Provinces of Bam, Sanmatenga, and Namentenga

COUNTRY CONTEXT: Burkina Faso has a population currently estimated at 20 million with 40 percent living below the poverty line⁶. Most of the populace relies on one season of rain-fed agriculture for their livelihoods, leaving the country extremely vulnerable to climate shocks. Following the 2012 drought, Burkina Faso has experienced low and variable rainfalls, land degradation, deforestation, and desertification. Despite the harsh climate, Burkina Faso's agriculture sector continues to generate roughly a third of the country's GDP and employs 80 percent of the population⁷. Agriculture production is generally characterized by low crop and livestock productivity and mainly supports subsistence livelihoods. While improvements in the agriculture sector have greatly reduced the threat of recurring famine, more than 3.5 million people, roughly 20 percent of the population, are food insecure. According to UNICEF, 34 percent of children suffer from chronic malnutrition and 10 percent suffer from acute malnutrition.⁸ Furthermore, 70 percent of the population lives in rural areas,⁹ which leads to a heavy reliance on low-productivity subsistence farming and heavy stress placed on the main cash crop of cotton to provide a limited source of income.

CHALLENGES AND OPPORTUNITIES: In 2017, Burkina Faso's GDP rose to \$688.53 per person per year, with the agriculture sector producing roughly a third of the country's GDP and employing 80 percent of the population¹⁰. The Government of Burkina Faso (GoBF) has three objectives and priorities for the agriculture sector: 1) ensuring food and nutrition security; 2) sustained economic growth; and 3) poverty reduction. Despite these priorities, agriculture in Burkina Faso is negatively affected by limited access to irrigation, expensive inputs and

⁶ Food and Agriculture Organization, 2012

⁷ <https://www.usaid.gov/burkina-faso>

⁸ https://www.unicef.org/appeals/files/Burkina_Faso_HAC_2013_28_dec.pdf

⁹ <http://www.fao.org/docrep/field/009/i3760e/i3760e.pdf>

¹⁰ <https://tradingeconomics.com/burkina-faso/gdp-per-capita>

equipment, land tenure insecurity, transportation, and limited access to credit which constrains farmers. Traditional subsistence agriculture still dominates the rural areas¹¹. The main export crops include sesame shea nuts, cotton, and ground nuts. The products grown for domestic consumption are cereals such as rice and fonio (a West African grain), cassava, beans and fruit¹².

To improve the challenging situation for Burkina Faso's smallholder farmers, USDA and USAID have provided developmental relief in the form of agriculture sector development programs. USDA's FFPr is implementing a five-year project aimed at increasing rural smallholder farmers' ability to meet market demands for high-quality sesame seeds. This program also aims to build the capacity of post-harvest handling and storage techniques, increase access to agriculture extension services, improve the sesame value chain, and provide greater and better market information. USAID is also working under the Resilience in the Sahel Enhanced (RISE) initiative to improve agriculture livelihoods for vulnerable rural populations by funding activities aimed at improving farmers' access to credit, diversifying economic opportunities, and intensifying agricultural and animal production and natural resource management.¹³ USAID implements interventions in the areas of agriculture and natural resource management, health and nutrition, and civil society strengthening in the Center North region, and other poor, rural, agricultural communities. USAID also implements literacy activities in these RISE priority areas and has requested strong coordination with McGovern-Dole to avoid duplication and leverage the program.

KEY PROGRAMMING PRIORITIES: To date, McGovern-Dole has committed a total of \$61.4 million over eight years (FY2011-2019) to Burkina Faso in the form of a daily mid-day meal comprised of USDA-donated soy-fortified bulgur, lentils, and fortified vegetable oil to students located in primary schools in the districts of Bam, Sanmatenga, and Namentenga in the Center North region. These meals are prepared at school by volunteer cooks during three to four months of the school year. In the remaining months, school feeding is administered and provided for by the communities or the GoBF. While there is no established national school feeding policy in place, this commitment from the GoBF to procure and administer school feeding, supports the Government's strong commitment to establish a national school feeding policy.

Competitive proposals should demonstrate how to strengthen and improve local agricultural markets and linkages, procurement practices for food commodities, food safety protocols, and systems between local smallholder farmers and public and private food agricultural markets. In addition, successful applicants will design activities to strengthen the transportation system to improve local agricultural markets and linkages; work with the GoBF to strengthen irrigation systems and water points to improve yields for local smallholder farmers; and assist local

¹¹ <http://www.fao.org/agriculture/ippm/projects/burkina-faso/en/>

¹² <https://www.worldbank.org/en/country/burkinafaso>

¹³ <https://www.usaid.gov/burkina-faso/agriculture-and-food-security>

smallholder farmers in obtaining proper tools and equipment to help increase their yields. Lastly, proposals should also demonstrate linkages to USDA's McGovern-Dole program through the LRP program, which can help establish a path for sustainability where modalities for local procurement, such as the farm-to-school model, are strengthened and the GoBF is able to expand its own school feeding program through LRP capacity building efforts.

CAMBODIA

NOFO NUMBER: USDA-FAS-10.612-0700-19-442

TARGET AREAS: Siem Reap, Kampong Chhnang, and Kampong Thom

COUNTRY CONTEXT: Cambodia, following more than two decades of strong economic growth, has attained lower middle-income status. With a population of nearly 16.5 million people¹⁴ the gross national income (GNI) per capita reached \$1,230 in 2017.¹⁵ This has been driven by garment exports and tourism. Cambodia has sustained an average growth rate of 7.7% between 1995-2017. Due to the sustained economic growth, poverty in Cambodia has fallen, albeit more slowly now than in the past. According to official estimates, the poverty rate in 2014 was 13.5 percent compared to 47.8% in 2007.¹⁶ Despite these gains, 4.5 million Cambodians remain below the poverty line. About 90 percent of the poor live in the countryside. In 2018, Cambodia was ranked 146 out of 189 countries on the Human Development Index (HDI).¹⁷

According to the Ministry of Agriculture, Forestry and Fisheries (MAFF), in 2017 agriculture contributed to 24.9 percent of the GDP and employed about 44 percent of the workforce.¹⁸ Most Cambodian farmers are smallholders with less than two hectares per household. Seventy-five percent of cultivated land is dedicated to producing rice, the remaining 25 percent is dedicated to industrial crops, such as rubber.¹⁹ Crop production contributes about 57 percent of the GDP²⁰. In recent years, rice production has increased significantly, which is allowing for Cambodia to export its excess rice, however household access to sufficient and nutritious food remains a challenge. According to a 2017 Cost of Diet Analysis, 21 percent of households in Cambodia may be unable to afford a nutritious diet.²¹

CHALLENGES AND OPPORTUNITIES: The annual agriculture growth in Cambodia grew to 5.3 percent from 2004 – 2012. While the focus of the Cambodian agriculture production has

¹⁴ <https://www.cia.gov/library/publications/the-world-factbook/geos/cb.html>

¹⁵ <https://www.worldbank.org/en/country/cambodia/overview>

¹⁶ <https://www.worldbank.org/en/country/cambodia/overview>

¹⁷ <http://hdr.undp.org/en/2018-update>

¹⁸ MAFF Reptot 2017-2018

¹⁹ <http://www.fao.org/3/a-i3761e.pdf>

²⁰ MAFF Report 2017/18

²¹ <https://www1.wfp.org/countries/cambodia>

been primarily on rice, there is a growing trend to focus on alternative, more profitable crops such as vegetables, maize and cassava.²² According to USAID, the Ministry of Agriculture, Forestry and Fisheries also recognizes the potential for growth in the vegetable sector. The Ministry's Crop Master Plan of 2030 states that vegetables are a priority for production.²³ Feed the Future programming in Cambodia is focused on working with local government to collectively implement better irrigation methods, decrease the use of pesticides and find more efficient ways to grow rice, vegetables and farm fresh fish.²⁴ In 2018, USDA's FFPr funded a five-year project aimed at increasing agricultural productivity in the freshwater aquaculture industry through improved inputs and practices in Pursat, Battambang, Siem Reap, Kampong Thom, and Kampong Cham.

KEY PROGRAMMING PRIORITIES: USDA's McGovern-Dole International Food for Education and Child Nutrition (McGovern-Dole) program has invested \$77.9 million in school feeding programs in Cambodia since 2007 in the regions of Siem Reap, Battambang, Kampong Chhnang, and Kampong Thom. Since 2007, McGovern-Dole has actively engaged government officials at the local and national levels to build their respective institutional capacities to take over and administer a NSFP. As part of the McGovern-Dole capacity building effort, USDA-donated fortified rice and fortified vegetable oil has been introduced along with local fresh vegetables as a hybrid model to transfer schools over 100 percent to a HGSF model which is now sourcing all commodities locally to supply a nutritious meal to primary school children.

Following on the efforts laid out through the McGovern-Dole program, school feeding has been included in the National Social Protection Policy Framework (NSPPF) 2016-2025, and into the National School Health Policy. As found in the Mid-term Evaluation of the Fiscal Year 2016 Cambodia McGovern-Dole program in 2018, "The Royal Government of Cambodia (GOC) has repeatedly shown its commitment to universal coverage of school feeding programs in public primary schools. However, the major challenge is how to meet the demand to provide healthy meals and support the local economy and agriculture, while keeping the school feeding program affordable". To show their commitment to school feeding, the GOC has donated 2,000 Metric Tons (MT) of rice to the program annually. Now, the Government of Cambodia has pledged to invest \$6 million over the next three years into Home Grown School Feeding (HGSF), while maintaining their current cash scholarship program to encourage school attendance. The GOC has also pledged to expand their cash scholarship program beyond the initial grades of 4-6 to includes grades 1-3. This, hopefully coupled with a daily school meal, will continue to encourage a higher enrollment rate for the younger grades.

A Local and Regional Food Aid Procurement (LRP) Program in Cambodia will need to continue to build the capacity of schools and the local, regional, and national government to take full

²² <http://www.worldbank.org/en/news/feature/2015/08/19/cambodian-agriculture-in-transition-opportunities-and-risks>

²³ <https://www.usaid.gov/cambodia/speeches/sep-27-2017-polly-dunford-launch-event-feed-future-cambodia-harvest-ii>

²⁴ <https://www.usaid.gov/cambodia/speeches/sep-27-2017-polly-dunford-launch-event-feed-future-cambodia-harvest-ii>

ownership of a school feeding program. Competitive proposals should demonstrate how to strengthen and improve local agricultural markets and linkages, procurement practices for food commodities, and systems between local smallholder farmers and public and private food agricultural markets. Proposals should include innovative ways of leveraging USG investments through USAID's Feed the Future initiative and to FFPr, as well as, to be aligned with the graduation strategy of McGovern-Dole. Through these linkages a path to sustainability can be established, where modalities for local procurement can strengthen the GOC ability to expand its own school feeding program.

LIBERIA

NOFO NUMBER: USDA-FAS-10.612-0700-19-669

TARGET AREAS: Rivercess, Sinoe, Grand Kru, River Gee, Maryland, and Grand Gedeh

COUNTRY CONTEXT: Liberia has a population of 4.8 million, with an annual growth rate of 2.6 percent. The massive out-migration from rural-to-urban areas has largely been blamed on vestiges of past civil wars (First Liberian Civil War 1989-1996, Second Liberian Civil War 1999-2003) which left many rural areas depleted of basic resources. The steady rural out-migration and human flow to the cities has increasingly put a strain on limited urban resources. Monrovia, the capital of Liberia, has been the most affected by this rural out-migration. Even after the end of Liberia's civil conflict in 2003, the intensity of rural-to-urban migration has not abated. The 2014-2015 Ebola crisis also led to significantly decreased economic activity with the country still recovering.

Liberia's gross domestic product (GDP) for 2017 was estimated at \$6.1 billion and the GDP per capita at \$1,300. Real GDP growth projected to increase to 4.7 percent in 2019 and 4.8 percent in 2020²⁵. Liberia is classified as both a least-developed and a low-income food-deficit country; it is ranked 154 out of 160 in the 2017 United Nations Development Programme Human Development Index²⁶. New natural resource projects, increased investments in infrastructure and road development paired with relative political stability indicated by the March 2018 completion of the UN's 15-year peacekeeping mission are steps in the right direction. However, economic performance over the last several years has been very poor, with rising inflation contributing to an economic backslide.

CHALLENGES AND OPPORTUNITIES: Liberia's tropical climate is marked by an abundance of precipitation, water resources, and fertile soils, offering major opportunities for agricultural production. Agriculture represents 34 percent of Liberia's GDP, employing more

²⁵ <https://www.afdb.org/en/countries/west-africa/liberia/liberia-economic-outlook/>

²⁶ http://hdr.undp.org/sites/all/themes/hdr_theme/country-notes/LBR.pdf

than 60 percent of the population with major exports including natural rubber, palm oil, and cocoa and major staple productions including rice, cassava, and bananas.²⁷ Timber is also a major export, but similar to the slash and burn method employed in farming, its harvesting is largely unsustainable. Despite widespread participation in agriculture, especially in rural areas, local farming struggles to compete with cheaper food imports which represent more than 80 percent of staple food consumption.²⁸ Increasing domestic food prices are largely driven by high transportation costs, poor farm-to-market road networks, and increasing demand. A lack of farming machinery and equipment, fertilizers and pesticides, and food storage capacity also limit the growth of agricultural success.

In 2018, the Government of Liberia (GoL) validated its five-year (2019-2023) ‘Pro-poor Agenda for Prosperity and Development’ (PAPD) seeking to improve income, security, better access to basic services and greater opportunities for self-improvement, especially addressing the needs of vulnerable populations. The PAPD references providing sustainable schools meals for schools using local commodities and systems, outlining specific goals in section 2.4.4.2 *Providing Basic Income, Education, and Care for Children* to: 1) Improve food and nutrition security in vulnerable communities through increased local production and consumption of nutritious foods; 2) Increase farmers’ income and enhance resilience to shocks by promoting access of smallholders to production inputs and market opportunities through the home-grown school feeding program; and 3) Use the provision of daily school meals to increase enrolment to basic education and student retention, to ultimately gain academic performance improvements.²⁹

USDA has been providing school feeding assistance to Liberia under the McGovern-Dole program since 2009. To date, these contributions total approximately \$77.8 million. In 2017, USDA awarded a \$29 million, five-year, project to provide a daily hot meal and take-home rations to approximately 43,818 primary school students in 239 schools across the counties of in Grand Gedeh, River Gee, Rivercess and Grand Bassa. In 2013, McGovern-Dole awarded a \$20 million, three-year project, to provide a daily hot meal to 132,000 primary school students in 887 schools across the counties of Nimba, Grand Gedeh, River Gee, Sinoe, Maryland, Grand Kru, Gbarpolu, Rivercess and Grand Bassa.

The USG-funded Feed the Future Liberia Agribusiness development Activity (LADA) is working with the GoL to develop key policies addressing national standards for seed, fertilizers, pesticides, and food safety. LADA also works with the private sector and civil society groups to address capacity gaps and access market opportunities. Given its efforts across public and private interests, LADA represents a strong opportunity for collaboration and strong leveraging of USG resources.

²⁷ <https://www.cia.gov/library/publications/the-world-factbook/geos/li.html>

²⁸ <https://www.export.gov/article?id=Liberia-Agricultural-Sectors>

²⁹ <https://liberianconsulatega.com/wp-content/uploads/2017/07/PAPD-Pro-Poor-Agenda-for-Prosperity-and-Development.pdf>

KEY PROGRAMMING PRIORITIES: A successful proposal for LRP in Liberia will demonstrate linkages to USDA’s McGovern-Dole project, building on the commitment of the GoL and helping to establish a path for sustainability where modalities for local procurement, such as the farm-to-school model, are strengthened.

A successful proposal will demonstrate how to strengthen and improve local agricultural markets and linkages, procurement of nutritious indigenous produced commodities, and systems between local smallholder farmers and public and private food agricultural markets. Reflecting on the challenges and opportunities in Liberia, especially with existing programs and GoL initiatives, successful proposals will explore linkages with existing value chain projects, including public-private partners (e.g. IFAD and FAO), and leverage existing USG investments. USDA recommends that applicants explore possible linkages with the Feed the Future Liberia Agribusiness Development Activity.

NEPAL

NOFO NUMBER: USDA-FAS-10.612-0700-19-367

TARGET AREAS: Mid-West and Far-West Regions

COUNTY CONTEXT: As 25 percent of its 29.8 million population³⁰ lives below the poverty line, Nepal is considered to be among one of the least developed countries in the world.³¹ With its per capita Gross Domestic Product (GDP) of \$728.40, many Nepali are poor and food insecure.³² Among the 2.8 million children under 5 nationwide, 36 percent are stunted and 27 percent underweight.³³

Nearly two-thirds of the population relies on agriculture for its livelihood, mostly subsistence farming with livestock integrated with crops, yet this sector only accounts for less than a third of GDP. Farmers process agricultural products such as pulses, rice, corn, wheat; while rice, maize, wheat and barley are a few of the major staple food crops. Lentils and soybean are the important pulse crops. Because of unpredictable weather patterns, most farmers diversify their crops to mitigate loss. Livestock is also an important source of farmer income, as well as fresh water fish such as trout in the lower mountains is quite popular.³⁴

CHALLENGES AND OPPORTUNITIES: With a 6.6 percent GDP annual growth projected through 2020, this improved economic climate bodes well for the country’s business.³⁵ Despite

³⁰ <http://www.worldometers.info/world-population/nepal-population/>

³¹ <https://www.cia.gov/library/publications/the-world-factbook/geos/np.html>

³² https://databank.worldbank.org/data/views/reports/reportwidget.aspx?Report_Name=CountryProfile&Id=b450fd57&tbar=y&dd=y&inf=n&zm=n&country=NPL; <https://tradingeconomics.com/nepal/gdp-per-capita>

³³ <https://www.usaid.gov/what-we-do/global-health/nutrition/countries/nepal-nutrition-profile>;

<http://documents.worldbank.org/curated/en/635951468124159285/pdf/683780WP0P1235000Nutrition0in0Nepal.pdf>

³⁴ <http://www.fao.org/nepal/fao-in-nepal/nepal-at-a-glance/en/>; <http://www.fao.org/countryprofiles/index/en/?iso3=NPL>

³⁵ <http://country.eiu.com> ;

<http://www.worldbank.org/en/country/nepal>

improving economic conditions, Nepal continues to struggle with food insecurity and malnutrition, particularly in the remote Mid-West and Far-West regions and finding an effective means to respond to unpredictable climate shocks. With limited access to improved seeds, new technologies (particularly relating to food safety), and market opportunities, farmers are challenged. In addition, poor yields in agricultural production have further increased food insecurity and depressed rural economies. Thirty-six percent of Nepali children under the age of 5 years old suffer from chronic malnutrition or stunting, which causes lifelong debilitating effects such as blindness, brain damage, and infectious diseases.³⁶

Nepal has a growing segment of working age youth (median age of 23).³⁷ Population experts predict a decline through 2031 in the proportion of the population living in the remote mountain and hillside regions as opposed to the urbanized Terai region where an influx of internal migrants is projected to add economic pressure. The country's poor agricultural inputs and outputs, and weak and inefficient internal transportation network systems, further exacerbated by unpredictable climate shocks, and the direct impact on farming households' incomes, nutrition, and food security, present a unique opportunity for Applicants to address these growing agricultural and nutritional gaps, particularly in the remote hillside areas in the Mid- and Far West regions of Nepal, through LRP activities.

KEY PROGRAMMING PRIORITIES: Under the U.S. government's current Global Food Security Strategy (GFSS), Nepal is designated as a Feed the Future³⁸ country. USAID has invested programs in Nepal that address improvements in agriculture and nutrition.³⁹ In this FY 19 LRP solicitation's target regions, the Applicant will coordinate with USAID on any agriculture and nutrition related activities that are being implemented in LRP's target regions to ensure leveraging of U.S. government investments and ensure non-duplication. In addition, FAO has active programs throughout Nepal⁴⁰ and the Applicant will also ensure leveraging and non-duplication of LRP activities with FAO and any other entities addressing agricultural improvement in this solicitation's target areas.

The Applicant shall design a field-based project that improves local or regional procurements of eligible commodities to improve diversity in the local diet of the population in the target regions where malnutrition is high, including strengthening the local production and marketing of these selected commodities particularly through strengthening of local transportation systems. In addition, the Applicant needs to find ways to not only strengthen the agricultural environment in the Mid-West and Far-West regions to improve food security and incomes, but also to link the proposed agricultural activities (such as improved value chains and food supplies for example) with school feeding activities in the region. The Applicant will need to address the link between

³⁶ <https://www.usaid.gov/nepal/agriculture-and-food-security>

<https://www.usaid.gov/what-we-do/global-health/nutrition/countries/nepal-nutrition-profile>

³⁷ <http://www.worldometers.info/world-population/nepal-population/>

³⁸ Feed the Future is an initiative designed to assist less developed countries tackle food insecurity and malnutrition

³⁹ <https://www.usaid.gov>

⁴⁰ <http://www.fao.org/countryprofiles/index/en/?iso3=NPL>

proposed agricultural activities and improvements in the nutritional status of the population, particularly the schoolchildren and youth, in the target regions.

The Applicant will also need to find ways to improve the food safety systems and capacity of the government, as it is currently lacking and/or non-existent. To sustain the benefits of capacity building of local farmers supplying food to school feeding programs, the successful Applicant will find ways to build strong market linkages between local smallholder farmers and the private sector.

NICARAGUA

NOFO NUMBER: USDA-FAS-10.612-0700-19-524

TARGET AREA: Jinotega

COUNTY CONTEXT: Nicaragua is one of the poorest countries in Latin America and the Caribbean with nearly 30 percent of the population below the poverty line, and is deemed a low-income, food deficit country.⁴¹ Nicaragua has a population of just over 6 million, with approximately 42 percent of the population residing in rural areas.⁴² Approximately 80% of the rural population relies on agriculture for its livelihoods. Smallholder farmers make up most of the agriculture sector, which accounts for approximately 17% of GDP.⁴³ However, in the second and third quarter of 2018, the economy contracted 4.6 and 4.8 percent, respectively, in part due to political and social unrest which unfolded in April 2018.⁴⁴

CHALLENGES AND OPPORTUNITIES: The socio-political crisis and resulting economic contraction has thrown hundreds of thousands of additional Nicaraguans into poverty and intensified the hardships faced by the already poor.⁴⁵ This is driven primarily by job losses and secondarily by a steep decline in domestic consumption, which has left business owners and commission-based employees with a fraction of their expected income. The deteriorating economy is likely to increase food prices and worsen food security. Farming households within the region's dry corridor, an area most affected by climate change and droughts, mainly located in the center-north of Nicaragua (Estelí, Nueva Segovia, Madriz, Chinandega Matagalpa, and Jinotega), are particularly vulnerable; especially as the prevalence of chronic undernutrition in the Departments of Nueva Segovia, Madriz, and Jinotega is estimated to reach 28 – 30 percent.

4647

⁴¹ <http://www.fao.org/countryprofiles/index/en/?iso3=NIC>

⁴² <https://www.cia.gov/library/publications/the-world-factbook/geos/nu.html>

⁴³ <https://www.wfp.org/countries/nicaragua>

⁴⁴ <https://tradingeconomics.com/nicaragua/gdp-growth-annual>

⁴⁵ <http://www.worldbank.org/en/country/nicaragua/overview>

⁴⁶ <http://fews.net/central-america-and-caribbean/el-salvador-honduras-and-nicaragua/remote-monitoring-report/december>

⁴⁷ https://docs.wfp.org/api/documents/WFP-0000101929/download/?_ga=2.205292176.1022749671.1551825061-1835699660.1549545051

However, current government policies support small-scale farmers and seeks to increase agricultural production and develop agri-businesses. To address challenges facing Nicaragua's agriculture sector, USDA's FFPr projects have worked to increase agricultural productivity, expand trade, and improve the income of Nicaraguan producers in the coffee, cacao, and livestock sectors. USDA Animal and Plant Health Inspection Service (APHIS) and the Food Safety and Inspection Service (FSIS) have also provided capacity building programs to Nicaragua as most of its exported goods are destined to the U.S., including agricultural products such as coffee, red meats, dairy, and seafood.⁴⁸

To date, McGovern-Dole has provided over \$73 million in school feeding assistance to Nicaragua over 16 years (FY 2003 – 2019) and currently has projects active in the Departments of Estelí, Leon, Jinotega, and the Southern Caribbean Autonomous Region. In 2010, the USDA granted the Government of Nicaragua a LRP pilot project which successfully procured eggs, dairy, fresh fruit, and vegetables among other commodities.

KEY PROGRAMMING PRIORITIES: A strong proposal will demonstrate linkages to the USDA McGovern-Dole program and build the capacity of smallholder farmers to supply nutritious and culturally appropriate commodities. Applicants are encouraged to leverage existing USG investments, explore linkages with existing value chain projects, and develop public-private partnerships. USDA recommends that Applicants seek ways to work with civil-society organizations and private sector farmer organizations and agribusiness.

Finally, successful proposals will address how the activities and selected commodities will promote local dietary diversity and improve the nutritional status of the population. In addition, proposals should describe strategies to improve household food security and income. Nicaragua is vulnerable to excessive rainfall and droughts. Therefore, Applicants should include resilience strategies to assist farmers with withstanding and recuperating from weather shocks. Applicants are expected to demonstrate in-depth understanding of the evolving socio-political and economic situation in Nicaragua and how it affects small-scale farmers in the dry corridor.

APPENDIX C – Budget Summary

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

⁴⁸ <https://www.export.gov/article?id=Nicaragua-Market-Overview>

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: <i>Insert Description</i>				\$0.00	\$0.00
Activity 2: <i>Insert Description</i>				\$0.00	\$0.00
Activity 3: <i>Insert Description</i>				\$0.00	\$0.00
Activity 4: <i>Insert Description</i>				\$0.00	\$0.00
Activity 5: <i>Insert Description</i>				\$0.00	\$0.00
Activity 6: <i>Insert Description</i>				\$0.00	\$0.00
Activity 7: <i>Insert Description</i>				\$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 (LRP):

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 in 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 Activity 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 subrecipients, 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/Subrecipients:

- 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.

SECTION 4: Commodity and Food Purchases (Local and Regional Procurement (LRP) only)

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

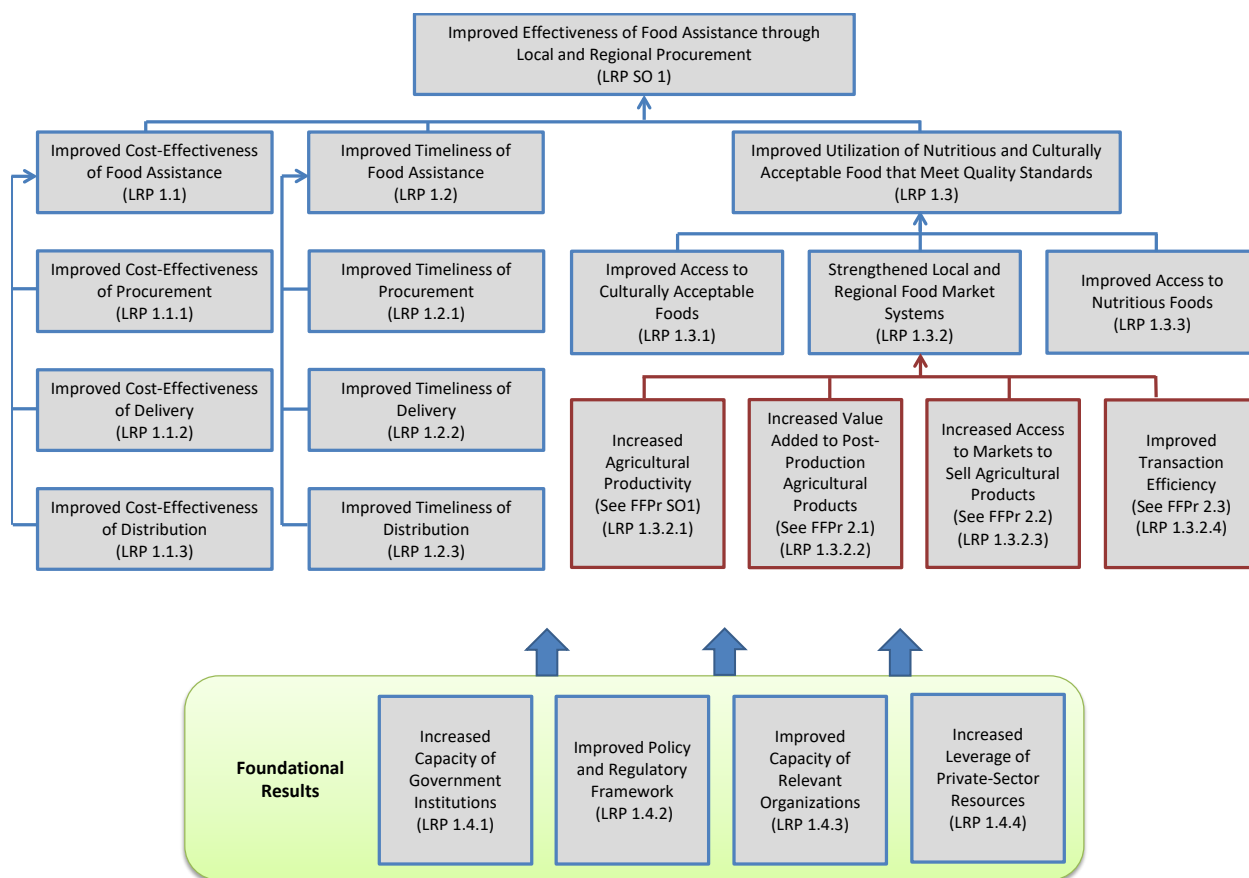
- Commodity Procurement
 - Describe purchases of commodities in-country or in the region.
- Food Vouchers
 - Describe food vouchers used for providing food assistance.
- Cash Transfers
 - Describe cash transfers for providing food assistance.
- Commodity and Food Purchases Indirect
 - Describe the indirect 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 5: 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 – LRP Results Framework



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 – Local and Regional Procurement Standard Indicators

LOCAL AND REGIONAL PROCUREMENT STANDARD INDICATORS DEFINITIONS

LRP SO1: Improved Effectiveness of Food Assistance through Local and Regional Procurement

LRP INDICATOR 1: 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 LRP 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;
- School-aged children who benefit from food procured and school meals provided by the project;

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. The indicator tracks access to services and overall project direct beneficiaries. 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: Number: Individuals	INDICATOR LEVEL: Output	DIRECTION OF CHANGE: Higher is better	FREQUENCY OF REPORTING: Annually covering the period: October 1 – September 30
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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
 - **Parents/caregivers**;
 - **Household members** (household-level interventions only), such as new access to basic sanitation and/or receipt of family rations;
 - **School-aged children** (i.e. those participating in school feeding programs);
 - **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 LRP Indicator 2 <i>Number of individuals benefiting indirectly as a result of USDA assistance</i> . 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]	DEFINITIONAL AND MEASUREMENT 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).

LRP SO1: Improved Effectiveness of Food Assistance through Local and Regional Procurement			
LRP INDICATOR 2: Number of individuals benefiting indirectly from USDA-funded interventions			
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 students receiving school meals. Participants' neighbors that, due to spontaneous spillover, apply USDA-promoted improved 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 direct beneficiary, the individual should not also be counted as an indirect beneficiary if they are indirectly benefitting from other project interventions.			
RATIONALE: This indicator tracks the indirect impact of a project on the community or area of intervention.			
INDICATOR CHARACTERISTICS			
UNIT OF MEASURE: Number: Individuals	INDICATOR LEVEL: Output	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: Data will be collected from program participant beneficiary 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. 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
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LRP SO1: Improved Effectiveness of Food Assistance through Local and Regional Procurement

LRP INDICATOR 3: 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. School feeding programs build human capital as it is used to encourage children’s attendance in school and help them benefit from the instruction received. School meals and especially take-home rations provided are the resources transferred to assist children in attending school and may offset the opportunity costs to households that may, for example, rely on their children’s income from work. 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/capital (e.g. literacy training, school feeding, maternal and child health visits such as prenatal and well-baby visits); and/or
- Activities which strengthen household assets (e.g. take-home rations)

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: Provides information on USDA assistance aimed at increasing self-sufficiency in vulnerable populations. School feeding programs build human capital as they are used to encourage children’s attendance in school and help them benefit from the instruction received. School feeding programs as a social safety net provide an explicit or implicit transfer to households of the value of the food distributed. The value of the transfers varies from school snacks to large take-home rations.

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:

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: Data will be collected from program participant administrative records and reports. Recipients should keep detailed lists of all participants.	
MEASUREMENT NOTES: The key to qualifying as a social assistance beneficiary under this indicator is the receipt of a cash or in-kind resource transfer. A conditional cash or in-kind transfer “provides poor households with cash, food, or other benefits on condition that they keep children in school, attend health clinics, or make other desired behavioural changes.” Therefore, students that received school meals and/or take-home rations should be counted as social assistance beneficiaries for this indicator. If the take-home ration size is calculated taking household requirement into account (i.e. with the objective of providing support to the family rather than the individual) then all family members should be counted as direct beneficiaries under this indicator. Teachers, cooks, and other school administrators that receive school meals as a form of payment for their services should not be counted as a beneficiary under this indicator. This indicator is usually a subset of the count of direct beneficiaries in a project because it tracks only those listed above, recipients of a cash or in-kind resource transfer, whereas direct beneficiaries include any participant who takes part in any project activity, including for example government officials or administrators who are trained, or PTA leaders who are mentored. To avoid double counting, persons should not be counted multiple times in one fiscal year or in the life-of-project total. For example, a participant (student) receiving a school meal and a take home ration each year would be counted once each year, and 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: Yes [ES.5-1]	DEFINITIONAL AND MEASUREMENT 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).

LRP 1.1: Improved Cost-Effectiveness of Food Assistance			
LRP INDICATOR 4: Cost of transport, storage and handling of commodity procured as a result of USDA assistance (by commodity)			
DEFINITION: This indicator will collect the cost (in US dollars) of transport, storage and handling for procured commodities by commodity type. Costs should reflect all necessary costs for procured commodities. Cost should include storage, warehousing and commodity distribution costs; internal transport via rail, truck or barge transportation; commodity monitoring in storage and at distribution sites; vehicle procurement; in-country operational costs, and others, for the duration of a program. Cost should also include commodity quality and safety testing. RATIONALE: Cost of transport, storage and handling of commodities procured provides key information in the estimation of total LRP costs (combined with commodity costs) and is a measure of the LRP program's impacts on the local or regional transport markets in the country or region receiving USDA assistance. This measurement also helps track access and barriers to markets as it relates to the availability of commodities in the beneficiary areas.			
INDICATOR CHARACTERISTICS			
UNIT OF MEASURE: US Dollars	INDICATOR LEVEL: Output	DIRECTION OF CHANGE: Lower is better	FREQUENCY OF REPORTING: Biannually covering the periods: October 1-March 31 and April 1-September 30
DISAGGREGATION: Commodity Type: Commodity procured			
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 USDA assistance. Convert local currency to USD at the average market foreign exchange rate for the reporting period. Report exchange rate in comments in FAIS. Note that the quantity (in metric tons) of commodities procured will be reported in LRP Indicator 6. There should be a direct link between the cost of freight of commodities procured reported for this indicator and the volume (in metric tons) of reported in LRP Indicator 6. Data for indicators 6 and 4 must be reported so that USDA can calculate the freight cost per metric ton of commodities procured. There must also be a direct link between the cost of the procured commodities in LRP indicator 5 and costs of transport, storage and handling of commodities procured. The sum of LRP indicators 5 and 4 should be the total cost associated with the procurement, transport and delivery of commodities. BASELINE INFO: Baseline is zero.			

DATA ENTRY IN FAIS: The indicator title must be entered into the relevant performance reporting section of FAIS <i>VERBATIM</i> 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

LRP 1.1.1: Improved Cost-Effectiveness of Procurement			
LRP INDICATOR 5: Cost of commodity procured as a result of USDA assistance (by commodity and source country)			
DEFINITION: This indicator will collect the cost (in US dollars) of procured commodities by commodity type and source country. The cost reported for the indicator is the actual cost of the procured commodities during the reporting period. Costs of procured commodities exclude all freight costs. Freight costs (ocean, inland, and internal) are reported in LRP Indicator 4. RATIONALE: Value (in US dollars) of procured commodities is a measure of the LRP program's impacts on the local or regional market in the country or region receiving USDA assistance. This measurement also helps track access to markets and availability of commodities in the beneficiary areas.			
INDICATOR CHARACTERISTICS			
UNIT OF MEASURE: US Dollars	INDICATOR LEVEL: Output	DIRECTION OF CHANGE: Lower is better	FREQUENCY OF REPORTING: Biannually covering the periods: October 1-March 31 and April 1-September 30
DISAGGREGATION: Source Country: Country where the commodity was procured. Commodity Type: Commodity procured.			
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 USDA assistance. There should be a direct link between cost of commodities procured and direct beneficiaries (the number of individuals participating, LRP Indicator 1). Direct beneficiaries should include those beneficiaries receiving commodities through take-home rations, school meals or snacks, or direct distribution as a result of emergency assistance. Data should only be collected from direct project beneficiaries. These beneficiaries should be reported in LRP Indicator 1. Convert local currency to USD at the average market foreign exchange rate for the reporting period. Report exchange rate in comments in FAIS. Note that the quantity (in metric tons) of commodities procured will be reported in LRP Indicator 6. There should be a direct link between the cost of procured commodities reported for this Indicator and the volume (in metric tons) of purchases reported in LRP Indicator 6. Data for indicators 6 and 5 must be reported so that USDA can calculate the cost per metric ton of commodities procured.			
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

LRP 1.3.2: Strengthened Local and Regional Food Market Systems			
LRP INDICATOR 6: Quantity of commodity procured (MT) as a result of USDA assistance (by commodity and source country)			
DEFINITION: This indicator will collect the quantity of commodities procured (in metric tons (MT) through USDA local and regional procurement program. This includes the quantity of all procured commodity(ies) as a result of USDA investment during the reporting period.			
RATIONALE: Quantity (in MT) of procured commodities at the local and regional level indicates the amount of food provided to direct beneficiaries and is an indication of the availability of local foods for those beneficiaries receiving USDA assistance.			
INDICATOR CHARACTERISTICS			
UNIT OF MEASURE: Metric Tons	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: Source Country: Country where the commodity was procured. Commodity Type: Commodity procured.			
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 procurement records.			
MEASUREMENT NOTES: Collect data only at the project-level, attributed to USDA assistance. There should be a direct link between quantity of commodities procured and direct beneficiaries (the number of individuals participating, LRP Indicator 1). Direct beneficiaries should include those beneficiaries receiving commodities through take-home rations, school meals or snacks, or direct distribution as a result of emergency assistance. These beneficiaries should be reported in LRP Indicator 1. Quantity (in metric tons) of procured commodities should also be directly related to value of procurements measured in LRP Indicator 5. 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		

LRP 1.3.2.1: Increased Agricultural Productivity

LRP INDICATOR 7: 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. USDA recognizes the difficulty and cost to collect sales data directly from producers, especially when working with firms through 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: U.S. Dollar	INDICATOR LEVEL: Outcome	DIRECTION OF CHANGE: Higher is better	FREQUENCY OF REPORTING: Annually covering the period: October 1 – September 30
DISAGGREGATION: FIRST LEVEL <u>Type of product or service:</u> See definition for list of product and service types. For agricultural commodities, report the specific commodity. SECOND LEVEL <u>Type of producer/firm (firms are non-farm enterprises):</u> Producer - smallholder, Producer – non-smallholder, Firm – microenterprise, Firm - Small and medium enterprise, Firm- Large enterprise or corporation. <i>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.</i> <i>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.</i> THIRD LEVEL <u>Sex of producer or proprietor(s):</u> 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. <u>Age:</u> 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. <u>Report exchange rate in comments in FAIS.</u> 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 • <i>Repeat as necessary with each relevant <u>Type of producer/firm</u></i> Note that the volume (in metric tons) of sales of agricultural commodities will be reported in LRP Indicator 4. 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 LRP Indicator 8. 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 MEASUREMENT 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).

LRP 1.3.2.1: Increased Agricultural Productivity			
LRP INDICATOR 8: 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: Metric Tons	INDICATOR LEVEL: Outcome	DIRECTION OF CHANGE: Higher is better	FREQUENCY OF REPORTING: 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 <u>Type of producer/firm (firms are non-farm enterprises):</u> 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) <i>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</i>			

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 LRP Indicator 7.

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 LRP Indicator 7.

DATA ENTRY IN FAIS:

The indicator title must be entered into the relevant performance reporting section of FAIS <i>VERBATIM</i> 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 MEASUREMENT 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.

LRP 1.3.2.2: Increased Value Added to Post-Production Agricultural Products			
LRP INDICATOR 9: 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 MEASUREMENT NOTES: None		

LRP 1.4.2: Improved Policy and Regulatory Framework
LRP INDICATOR 10: Number of policies, regulations, or administrative procedures in each of the following stages of development as a result of USDA assistance
DEFINITION: Number of enabling environment policies/regulations/administrative procedures in the areas of agricultural resource, food, market standards & regulation, public investment, education, nutrition, natural resource or water management and climate change adaptation/mitigation as it related to agriculture that: <u>Stage 1:</u> 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/regulations/administrative procedures) <u>Stage 2:</u> 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 <u>Stage 3:</u> Underwent the third stage of the policy reform process (policies were presented for legislation/decreet to improve the policy environment for education) <u>Stage 4:</u> Underwent the fourth stage of the policy reform process [official approval (legislation/decreet) of new or revised policy/regulation/administrative procedure by relevant authority] <u>Stage 5:</u> Completed the policy reform process (implementation of new or revised policy/regulation/administrative procedure by relevant authority) <u>Other:</u> Or were otherwise shaped by the recipient's direct involvement. This indicator is disaggregated by two types of policies/ regulation/ administrative procedures: educational, and child health and nutrition. To be counted under education, actions must have, as their ultimate purpose, improving equitable access to or the quality of education services. Child health may include government health facilities, established procedures, materials, public information, or training. Nutrition may include public sector investment allocated to nutrition, nutritional content of agricultural products as provided to consumers, nutritional products, nutrition service delivery, provision of deworming medication, school-based WASH, etc. Policies, regulations or administrative procedures that focus on <i>school feeding</i> should be captured as educational policies, regardless of which local ministry or agency is involved. Child health and nutrition actions besides those which focus on school feeding should be captured as child health and nutrition policies. Count the highest stage completed during the reporting year. RATIONALE: The indicator measures the number of policies/regulations/administrative procedures in the various stages of progress towards an enhanced enabling environment for education and child health and nutrition. It includes the development, implementation, and enforcement of policies and regulations that support the achievement of one or more results in the MGD framework focused on improving literacy of school-age children, or focused on increasing use of health, nutrition and dietary practices.

INDICATOR CHARACTERISTICS			
UNIT OF MEASURE: Number: Policies, regulations, and/or administrative procedures and supplementary narrative	INDICATOR LEVEL: Stages 1 & 2: Output Stages 3, 4 & 5: Outcome	DIRECTION OF CHANGE: Because this indicator tracks individual policies through the disaggregated stages, one should see the disaggregate for each stage change over time in certain ways. One should expect the value of disaggregates measuring the earlier stages to decline and the disaggregates measuring later stages of progress to increase as the enabling environment is strengthened (i.e. move from analysis to adoption and implementation of reforms)	FREQUENCY OF REPORTING: Annually covering the period: October 1-September 30
DISAGGREGATION: <u>Type of policy:</u> • Educational • Child Health and Nutrition <u>Stage:</u> Disaggregates will be shown by stages (1-5) and 6 as noted above.			
DATA SOURCE: WHO COLLECTS DATA FOR THIS INDICATOR: Data will be collected by Recipients. HOW SHOULD IT BE COLLECTED: Data 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, and regulations should be submitted to USDA and attached in project reports.			
MEASUREMENT NOTES: Only count policies specifically addressed and supported 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, or formation of the law or policy. BASELINE INFO: Baseline is zero.	
DATA ENTRY IN FAIS: The indicator title must be entered into the relevant performance reporting section of FAIS <i>VERBATIM</i> 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

LRP 1.4.3: Improved Capacity of Relevant Organizations

LRP INDICATOR 11: 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 individuals 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 period 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) - o 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 <i>receiving</i> training, for which the outcome, individuals <i>applying</i> new practices should be reported under LRP Indicator 12 <i>Number of individuals in the agriculture system who have applied improved management practices or technologies with USDA assistance.</i> 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 MEASUREMENT NOTES: None

LRP 1.4.3: Improved Capacity of Relevant Organizations

LRP INDICATOR 12: 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:

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 LRP Indicator 12, *Number of individuals in the agriculture system who have applied improved management practices or technologies with USDA assistance* and LRP Indicator 11, *Number of individuals who have received short-term agricultural sector productivity or food security training*.

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: Yes [EG.3.2-24]	DEFINITIONAL AND MEASUREMENT 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).
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LRP 1.4.3: Improved Capacity of Relevant Organizations

LRP 1.4.1: Improved Capacity of Government Institutions

LRP INDICATOR 13: Number of people trained in disaster preparedness as a result of USDA assistance

DEFINITION: Disaster preparedness includes: risk identification, analysis, prioritization, and reduction activities; the design and implementation of regional, national, local, or community level hazard reduction policies and plans; early warning systems, as appropriate; and identification of roles and responsibilities in preventing, responding to, and recovering from disasters and subsequent food crises.

Training refers to new training or retraining of individuals and assumes that training is conducted according to national or international standards, when these exist. Trainings must have specific learning objectives, a course outline or curriculum, and expected knowledge, skills and/or competencies to be gained by participants. Only participants who complete a full training course should be counted. If a training course covers more than one topic, individuals should only be counted once for that training course. If a training course is conducted in more than one session/training event, only individuals who complete the full course should be counted; do not sum the participants for each training event. If individuals are retrained within the reporting period, having received training prior to the project or reporting period, they should be included in the count. Do not count sensitization meetings or one-off information meetings.

Individuals include agricultural producers, processors, national or local government employees, policy makers, researchers, school administrators, teachers, other school workers, community leaders, parents, health professionals, students, NGO staff, and others who are engaged in the food, nutrition, education, emergency response, 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.

Disaster means an event or a series of events that creates a need for emergency food assistance by threatening or resulting in significantly decreased availability of, or access to, food or the erosion of the ability of populations to meet food needs. Disasters include, but are not limited to, natural events such as floods, earthquakes, and drought; crop failure; disease; civil strife and war; and economic turmoil. Disasters can be characterized as slow or rapid-onset. The situation caused by a disaster is a “food crisis”.

Emergency response means any activity that is designed to meet the urgent food and nutritional needs of those affected by acute or transitory food insecurity as a result of a disaster.

RATIONALE: Enhanced human capacity for planning for and responding to disasters and food crises, is expected to lead to improved national and food security, increased efficiency and effectiveness of disaster preparedness and emergency response, program and policy formulation and/or implementation, and is key to transformational development.

INDICATOR CHARACTERISTICS

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

			31 and April 1-September 30
DISAGGREGATION: Sex: 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 from recipient training records, reports, or surveys. Recipients should keep detailed training lists for all training sessions.			
MEASUREMENT NOTES: This indicator is required only if the project is designed to provide an emergency response to food crises and disasters. Count only those individuals targeted by USDA programs. 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. 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: This is also a Foreign Assistance indicator HA.2.1-1 (see: http://www.state.gov/f/indicators/)		

LRP 1.4.4: Increased Leverage of Private-Sector Resources**LRP INDICATOR 14: 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. 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, 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, agricultural 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.

Formal partnerships between schools and producers, cooperatives or other private sector entities for the purpose of sustainably supporting school meals programs should be counted as a nutrition focused partnership.

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 agriculture 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 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 project reports.	
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 MEASUREMENT NOTES: None

LRP 1.4.4: Increased Leverage of Private-Sector Resources

LRP 1.3.2.3: Increased Access to Markets to Sell Agricultural Products

LRP INDICATOR 15: Value of new USG commitments, and new public and private sector investments leveraged by USDA to support food security and nutrition

DEFINITION: The term “investments” is defined as public or private sector resources intended to complement existing/ongoing USDA-funded activities (*i.e.* education or nutrition activity, as described below), including resources provided for purposes of *cost-share* or *matching*. While the majority of such resources will be monetary in nature, non-monetary resources (e.g. in-kind contributions, labor, etc.) should be expressed in their respective dollar values. 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 as a result of USDA assistance” 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.

A nutritional activity includes any activity focused on improving the nutritional content of agricultural products provided to consumers, developing improved nutritional products, increasing support for nutrition service delivery, etc.

An educational activity includes any activity focused on improving educational support to improve the quality of literacy or any other lower level result in the MGD results framework such as improving access to school supplies and materials, improved school infrastructure, increased access to food, and improved literacy instructional materials.

This indicator is not directly paired with the preceding indicator (LRP Indicator 14) 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: The assumption of this indicator is that the higher the value of investment, particularly by the host government, the greater the chances for long-term sustainability of education and nutrition-related activities beyond USDA's initial commitment. Private sector investment is critical because it indicates that the investment is perceived by private agents to provide a positive financial return and therefore is likely to lead to sustainable improvements. All of these investments are key to achieving long-term impact in project areas by increasing host country capacity and ownership of programs. Coordinated and complementary investments from the host government and other public and private sector donors will help achieve improved literacy and increased use of health and dietary practices, which then contribute to the key objective of improving the literacy of school age children and sustaining the benefits made during project implementation to literacy, attendance, and enrollment by graduating the project to full host-country ownership.			
INDICATOR CHARACTERISTICS			
UNIT OF MEASURE: U.S. Dollar	INDICATOR LEVEL: Output	DIRECTION OF CHANGE: Higher is better	FREQUENCY OF REPORTING: Annually covering the period: October 1-September 30
DISAGGREGATION: <u>Type of investment amount:</u> • Host Government amount • Other Public sector amount • Private sector amount • New USG Commitment amount			
DATA SOURCE: WHO COLLECTS DATA FOR THIS INDICATOR: Data will be collected by Recipients. HOW SHOULD IT BE COLLECTED: Data will be collected by partnership records/agreements.			
MEASUREMENT NOTES: Convert local currency to U.S. 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.			
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, partially; combines EG.3.1- 14 with USDA- specific disaggregates	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).
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LRP SO1: Improved Effectiveness of Food Assistance through Local and Regional Procurement			
LRP INDICATOR 16: Number of schools reached as a result of USDA assistance			
DEFINITION: The indicator tracks the number of schools reached during the reporting period by any project activity. While this will commonly be schools reached with school feeding, it will also count schools reached with any other activity (even absent feeding), such as teacher training or other capacity-building activities, facilities improvements, PTA strengthening, etc.			
RATIONALE: The school is the hub of many program activities and having a simple school count is useful in reflecting the breadth of the program.			
INDICATOR CHARACTERISTICS			
UNIT OF MEASURE: Number: Schools	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: 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 recipient 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: No	DEFINITIONAL AND MEASUREMENT NOTES:		

APPENDIX - G
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.⁴⁹ 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.⁵⁰ 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 *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.⁵¹ The FAD M&E Policy also reflects

⁴⁹ For more information see: <http://www.gao.gov/new.items/d07560.pdf> and <http://www.gao.gov/new.items/d11491.pdf>.

⁵⁰ For more information see: <https://www.gao.gov/assets/690/680042.pdf> and <https://www.gao.gov/assets/690/683157.pdf>.

⁵¹ For more information see: <https://www.gpo.gov/fdsys/pkg/BILLS-111hr2142enr/pdf/BILLS-111hr2142enr.pdf>

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).⁵²

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.⁵³ 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).⁵⁴ 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.⁵⁵ 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 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.

⁵² 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>.

⁵³ For more information see: <http://www.oecd.org/dac/effectiveness/parisdeclarationandaccraagendaforaction.htm>

⁵⁴ For more information see: <https://www.eval.org/evaluationroadmap> and <http://www.oecd.org/dac/evaluation/>

⁵⁵ 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).

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 Report⁵⁶, 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.⁵⁷

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
- Shared Transparently

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 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

⁵⁶ For more information see: <https://www.usda.gov/our-agency/about-usda/performance>

⁵⁷ For more information see: <https://www.whitehouse.gov/wp-content/uploads/2017/11/M-18-04-Final.pdf>

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.

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.

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

--OECD/DAC

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.⁵⁸ 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.⁵⁹

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.

⁵⁸ For more information see: <https://www.whitehouse.gov/wp-content/uploads/2017/11/M-18-04-Final.pdf>

⁵⁹ For more information see: <https://www.eval.org/p/cm/ld/fid=51>

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.⁶⁰ 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 sources, collection methods, and reporting frequency, as well as why and by whom indicator data will be analyzed, used, and reported.⁶¹ 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.⁶² 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

⁶⁰ Please see the Food Aid Information System website at: <https://apps.fas.usda.gov/fais/public>

⁶¹ For a sample PMP and key components of a PMP, please see Annex A.

⁶² Please see the Food Assistance Division website at: <https://www.fas.usda.gov/programs/resources/guidance-food-aid-program-standard-indicators>.

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 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.⁶³ 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 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.

⁶³ 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.

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.⁶⁴ 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.

⁶⁴ 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:⁶⁵

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.

⁶⁵ 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 initiative⁶⁶ 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.

⁶⁶ 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	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 H – Commodity Procurement and Distribution Plan Template

Instruction:

Through the Procurement and Distribution Plan, the Applicant should outline the time-periods over the life of the project, broken down by month, for commodity procurement and distribution, and where applicable, the distribution of food vouchers and cash transfers for the procurement of commodities. For each locally procured commodity, each commodity should be a separate line.

For this Procurement and Distribution Plan, the ‘Procurement’ stage is when the project implementer would intend to utilize the funds for the procurement of the commodities from the grower or trade association. The ‘Distribution’ stage when commodities are distributed to beneficiaries, or when food vouchers and/or cash transfers are distributed to beneficiaries. As shown in the template example below, Applicants should mark the months where either procurement or distribution is taking place. Applicants can provide a brief written description to accompany the procurement and distribution plan, not to exceed 1 page at 12 pt. font.

Local and Regional Food Aid Procurement Program Procurement Plan

Country: XXX
Implementing Partner: XXX

		Fiscal Year (FY) 20XX												FY 20XX												FY 20XX		
Procurement Stage / Commodity Type	Quantity (MT) (No. of Vouchers/ CBT)	Oct	Nov	Dec	Jan	Feb	Mar	Apr	May	Jun	Jul	Aug	Sept	Oct	Nov	Dec	Jan	Feb	Mar	Apr	May	Jun	Jul	Aug	Sept	Oct	Nov	Dec
		- [Commodity 1]																										
		- [Commodity 2]																										
		- [Commodity 3]																										
Commodity Distribution																												
- [Commodity 1]	XXX																											
- [Commodity 2]	XXX																											
- [Commodity 3]	XXX																											
- [Food Voucher]	XXX																											
- [Cash-Based Transfer]	XXX																											

****Note:** The highlighting of boxes in this template is as a demonstration only, and should be completed by each project based on their own timing

Appendix I – USDA Standard Terms and Conditions for Public International Organizations

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.

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

1) 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.

2) Requirement for unique entity identifier

If you are authorized to make subawards under this award, you:

- a) 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.
- b) May not make a subaward to an entity unless the entity has provided its unique entity identifier to you.

3) Definitions: For purposes of this award term:

- c) *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>).
- d) *Unique entity identifier* means the identifier required for SAM registration to uniquely identify business entities.
- e) *Entity*, as it is used in this award term, means all of the following, as defined at 2 CFR part 25, subpart C:
 - 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; and
 - v) A Federal agency, but only as a subrecipient under an award or subaward to a non- Federal entity.
- f) *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.
 - iii) A subaward may be provided through any legal agreement, including an agreement that you consider a contract.
- g) *Subrecipient* means an entity that:
 - i) Receives a subaward from you under this award; and
 - ii) 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) Alcoholic Beverages. Costs of alcoholic beverages.
- (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 ELIGIBILITY 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.
- 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 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. 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 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

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.frs.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.

XXXI. 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.

XXXII. 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.

II. 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 ELIGIBILITY 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.

APPENDIX K – Glossary of Terms

- **Activity:** a discrete undertaking within a project to be carried out by an Applicant, directly or through a subrecipient that is specified in an agreement and is intended to fulfill a specific objective of the agreement.
- **Agreement:** a legally binding grant or cooperative agreement entered into between FAS and an Applicant to implement a field-based project under the USDA LRP Program.
- **Climate change risks:** these are trends of dynamic climate variable (e.g., precipitation, temperature, sea-level rise, and severe storms) that have a potential to directly compromise the resilience of the food and agriculture sector.
- **Codex Alimentarius:** the program of the United Nations Food and Agriculture Organization and the World Health Organization that was created to develop food standards, guidelines, and related texts, such as codes of practice to protect the health of consumers, ensure fair trade practices in the food trade, and promote the coordination of all food standards work undertaken by international governmental and nongovernmental organizations.
- **Cooperative:** a private sector organization whose members own and control the organization and share in its services and its profits and that provides business services and outreach in cooperative development for its membership.
- **Cost sharing or matching:** the portion of project expenses, or necessary goods and services provided to carry out the project, not paid or acquired with Federal funds. The term may include cash or in-kind contributions provided by Applicants, subrecipients, foreign public entities, foreign organizations, or private donors.
- **Country of origin:** the country in which the procured commodities were produced.
- **Developing country:** means a country that has a shortage of foreign exchange earnings and has difficulty meeting all of its food needs through commercial channels.
- **Development assistance:** an activity or activities that will enhance the availability of, access to, or the utilization of, adequate food to meet the caloric and nutritional needs of populations suffering from chronic food insecurity, or enhance the ability of such populations to build assets to protect against chronic food insecurity.
- **Disaster:** an event or a series of events that creates a need for emergency food assistance by threatening or resulting in significantly decreased availability of, or access to, food or the erosion of the ability of populations to meet food needs. Disasters include, but are not limited to, natural events such as floods, earthquakes, and drought; crop failure; disease; civil strife and war; and economic turmoil. Disasters can be characterized as slow or rapid-onset. The situation caused by a disaster is a “food crisis.”
- **Disburse:** to make a payment to liquidate an obligation.
- **Eligible commodity:** an agricultural commodity, or the product of an agricultural commodity, that is produced in and procured from a developing country, and that meets each nutritional, quality, and labeling standard of the target country, as determined by the Secretary of Agriculture, as well as any other criteria specified in 7 CFR § 1590.6(b) .

- Emergency response: an activity that is designed to meet the urgent food and nutritional needs of those affected by acute or transitory food insecurity as a result of a disaster.
- FAS: the Foreign Agricultural Service of the United States Department of Agriculture.
- FAS-provided funds: U.S. Dollars provided under an agreement to an Applicant, or through a sub-agreement to a subrecipient, for expenses for the purchase, ocean and overland transportation, and storage and handling of the procured commodities; expenses involved in the administration, monitoring, and evaluation of the activities under the agreement; and operational costs related to the implementation of the field-based project under the agreement.
- Field-based project or project: the totality of the activities to be carried out by an Applicant, directly or through a subrecipient, to fulfill the objectives of an agreement. It can either stand alone or be an add-on component to another program that provides other forms of assistance to the food insecure.
- Food assistance: assistance that is provided to members of a targeted vulnerable group to meet their food needs.
- Local procurement: the procurement of food by an Applicant, directly or through a subrecipient, in the target country to assist beneficiaries within that same country. The use of food vouchers to obtain food under an agreement is a form of local procurement.
- Overland transportation: any transportation other than ocean transportation. It includes internal transportation within the target country and regional transportation within the target region.
- Private voluntary organization: a not-for-profit, nongovernmental organization (in the case of a United States organization, an organization that is exempt from Federal income taxes under § 501(c)(3) of the Internal Revenue Code of 1986) that receives funds from private sources, voluntary contributions of money, staff time, or in-kind support from the public, and that is engaged in or is planning to engage in voluntary, charitable, or development assistance activities (other than religious activities).
- Procured commodities: the eligible commodities that are procured by an Applicant, directly or through a subrecipient, under an agreement.
- Program Income: funds received by an Applicant or subrecipient as a direct result of carrying out an approved activity under an agreement. The term includes but is not limited to income from fees for services performed, the use or rental of real or personal property acquired under a Federal award, the sale of items fabricated under a Federal award, license fees, and royalties on patents and copyrights, and principal and interest on loans made with Federal award funds. Program income does not include FAS-provided funds or interest earned on such funds; or funds provided for cost sharing or matching contributions, refunds or rebates, credits, discounts, or interest earned on any of them.
- Purchase country: a developing country in which the procured commodities are purchased.

- Applicant: an entity that enters into an agreement with FAS and receives FAS-provided funds to carry out activities under the agreement. The term Applicant does not include a subrecipient.
- Regional procurement: the procurement of food by an Applicant, directly or through a subrecipient, in a developing country that is located on the same continent as the target country. Regional procurement does not include the purchase of food in the target country.
- Subrecipient: an entity that enters into a sub-agreement with an Applicant for the purpose of implementing in the target country activities described in an agreement. The term does not include an individual that is a beneficiary under the agreement.
- Target country: the developing country in which activities are implemented under an agreement.
- Target region: the continent on which the target country is located.
- USDA: the United States Department of Agriculture.
- Voluntary committed cost sharing or matching contributions: cost sharing or matching contributions specifically pledged on a voluntary basis by an Applicant in its proposal, which become binding as part of an agreement. Voluntary committed cost sharing or matching contributions may be provided in the form of cash or in-kind contributions.