FY 2012 Food Aid Proposal Guidance and Entry Instructions

Food Assistance Division
Office of Capacity Building and Development

How to Use this Guide

This guide is intended for applicants to the Food for Progress Program and the McGovern-Dole International Food for Education and Child Nutrition Program. It serves two purposes: to give specific guidance on the content to be included in project proposals and to provide instructions for physically entering proposals in the Food Aid Information System (FAIS). The diagram below outlines the general process for completing FY 2012 Food Aid proposals.

Roadmap for Completing FY 2012 Food Aid Proposals

Review Federal Register Notice and Attachments

- Review Priority Countries, Regions, and Sectors
- Review Program Results Frameworks
- Review Guidance on Using Results Frameworks
- Review Monitoring and Evaluation Policy

Set up FAIS user account

Read Food Aid Proposal Guidance and Entry Instructions (this document), which includes:

- Guidance on Introductory Statement (including strategic analysis and project-level framework)
- Plan of Operation Guidance
- Guidance on Program Budget

Attach required documents:

- Attach Strategic Analysis
- Attach Project Level Framework(s)
- Attach SF-424
- Attach Performance Monitoring Plan

Enter Introductory Statement

Enter Plan of Operation in FAIS, composed of:

- Results section
- Commodity section

Enter Program Budget

FAIS URLs:

Public Site: www.fas.usda.gov/fais/public

Log-in Page (user account required): www.fas.usda.gov/fais/webapp

For questions on FAIS, please contact any of the following people:

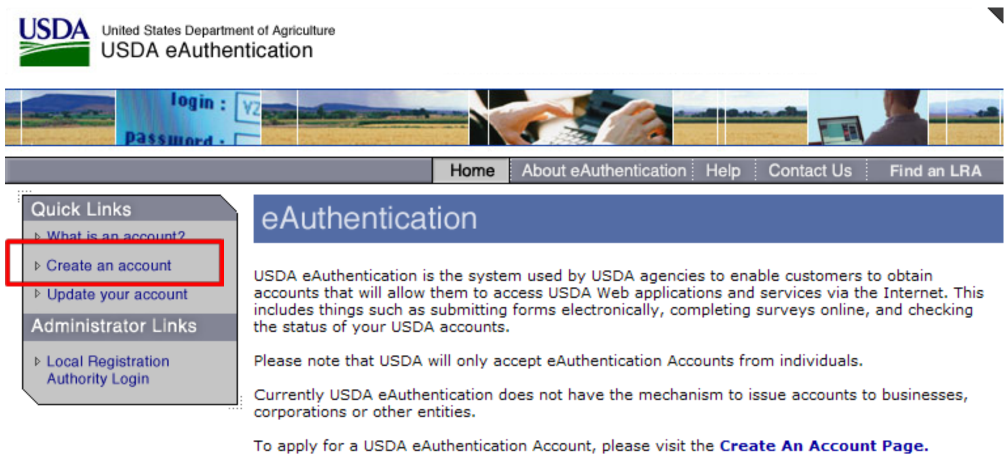
Dorothy Feustel, Food Assistance Division, Deputy Director .... (202) 720-0150
Nicola Sakhleh, Food for Progress, Senior Analyst.. (202) 720-4228
Erika Beltran, McGovern-Dole Program, Senior Analyst.............................. (202) 401-0129

TABLE OF CONTENTS

SECTION 1: HOW TO REGISTER FOR FAIS

Register for a USDA EAuthentication Account

All FAIS users must have a USDA eAuthentication (eAuth) account in order to register. Program Participants only require a Level 1 account to access FAIS. To set up an eAuth account, please access the eAuth website and follow the onscreen instructions: http://www.eauth.egov.usda.gov/.

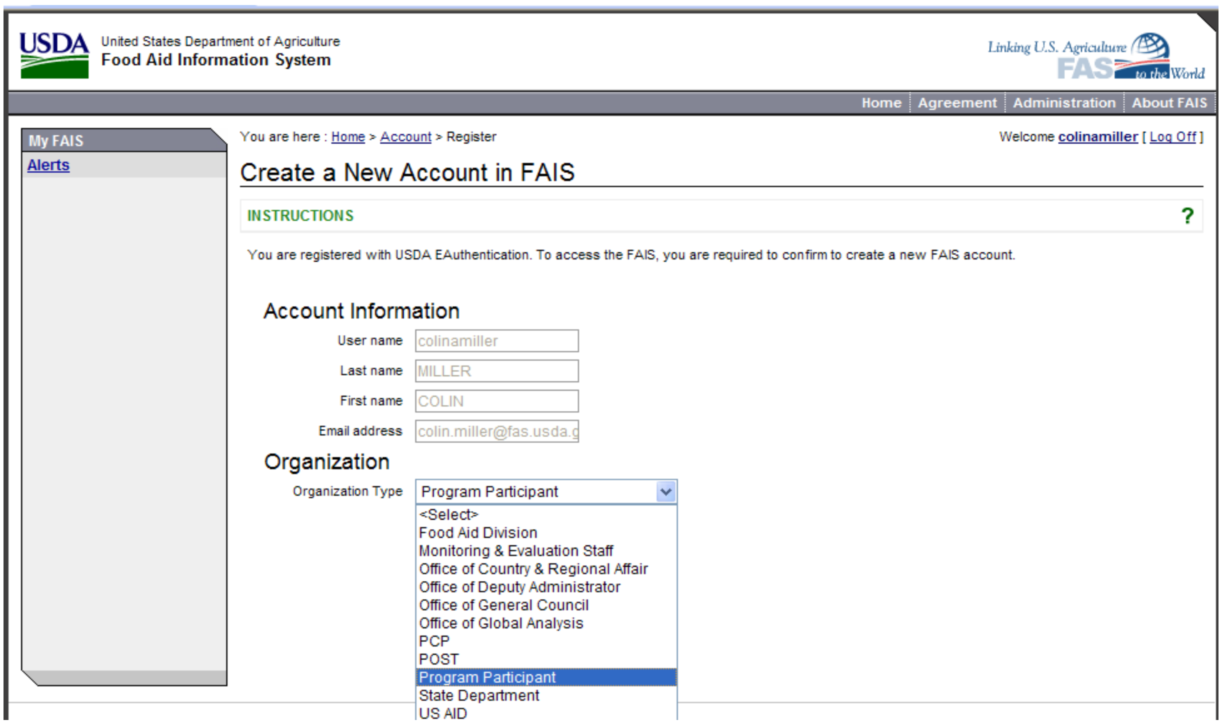


Register Your Organization with USDA

Once you have your e-authentication account you may register your organization with USDA in FAIS. When creating a new account in FAIS (see next step), you must associate yourself with a registered organization. In order to register your organization, follow the instructions under the "How to Use FAIS" heading on the FAIS homepage: http://www.fas.usda.gov/fais/public. Please note that your organization is already registered if you have applied for a USDA food aid grant through the previous FADS proposal entry module.

Create a New Account in FAIS

Once your organization is registered, go to https://www.fas.usda.gov/fais/webapp/ where you will be prompted to sign in using your eAuth account the first time you visit the FAIS webpage. After signing in through the eAuth, you will be directed to create a new account. (See screenshot below.) Follow the onscreen instructions to create your account. After registering, you must wait for a system administrator to activate your account before you can begin to use FAIS. You will be notified by email when your account has been activated.



User Roles and Profiles in FAIS

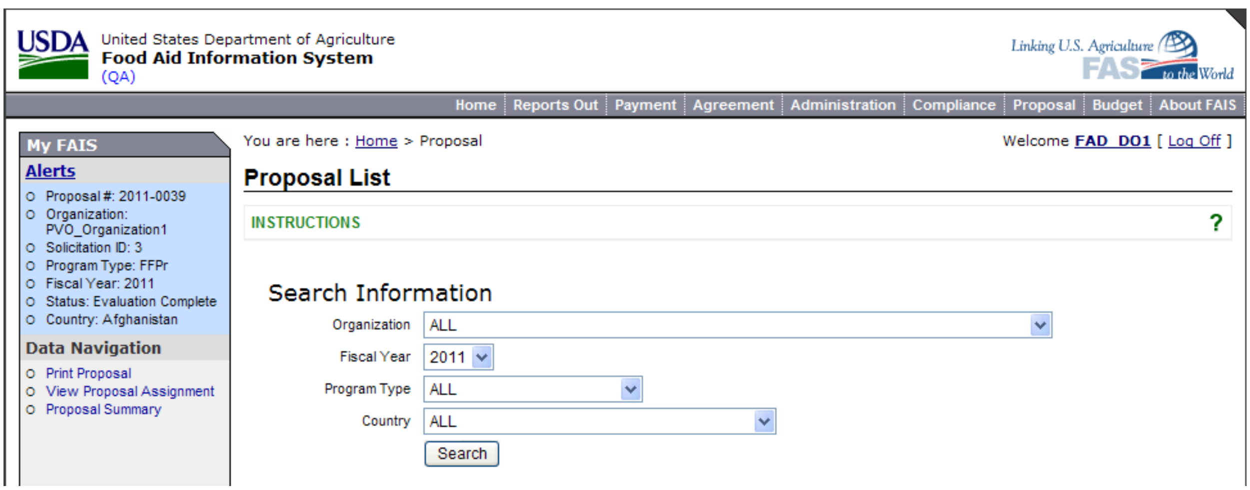
When setting up an account in FAIS, new users must be designated as either Administrative or Non-Administrative Users. Administrative users will maintain the profiles of all your organizations users and maintain the user accounts. Administrative users can activate user accounts, grant permissions (assign roles) to other users, and disable user accounts. It is the responsibility of the Administrative User for the organization to ensure that roles are properly assigned and those users are deleted (unregistered) as they leave the organization. Non-administrative users can request certain roles, which must be approved later by an Administrative person in their organization and edit their own profile data.

SECTION 2: HOW TO CREATE A PROPOSAL

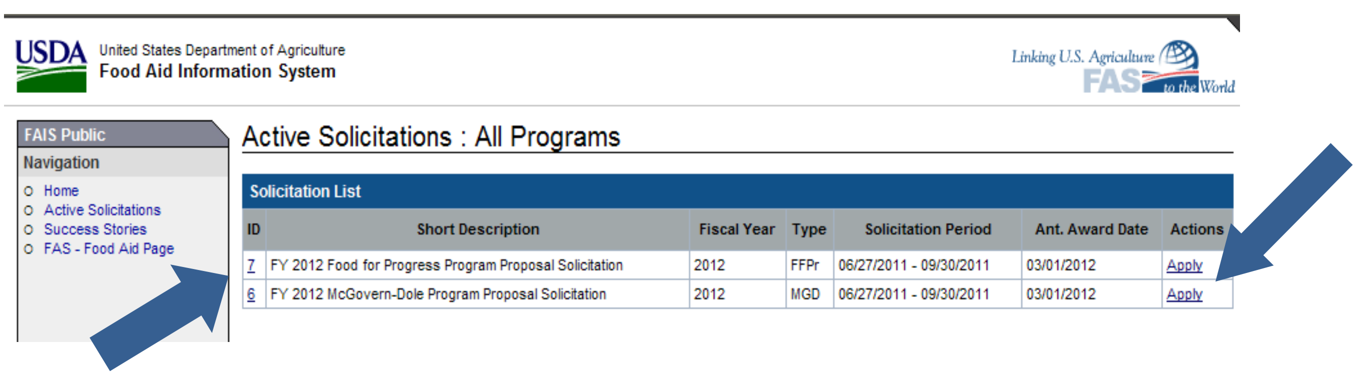
This section explains all of the steps necessary to create a proposal in FAIS up to the point of actually entering proposal content. This section will explain how to initiate a proposal, how to assign contact information, types of users in FAIS, how to assign these user roles, and how to delegate roles to other users.

How to Initiate a Proposal

To initiate a proposal, applicants must select an active solicitation on the FAIS website: http://www.fas.usda.gov/fais/public/FoodAid. (See screenshot below.) Please note that only the Program Participant Director can decide to create a proposal response to the solicitation.

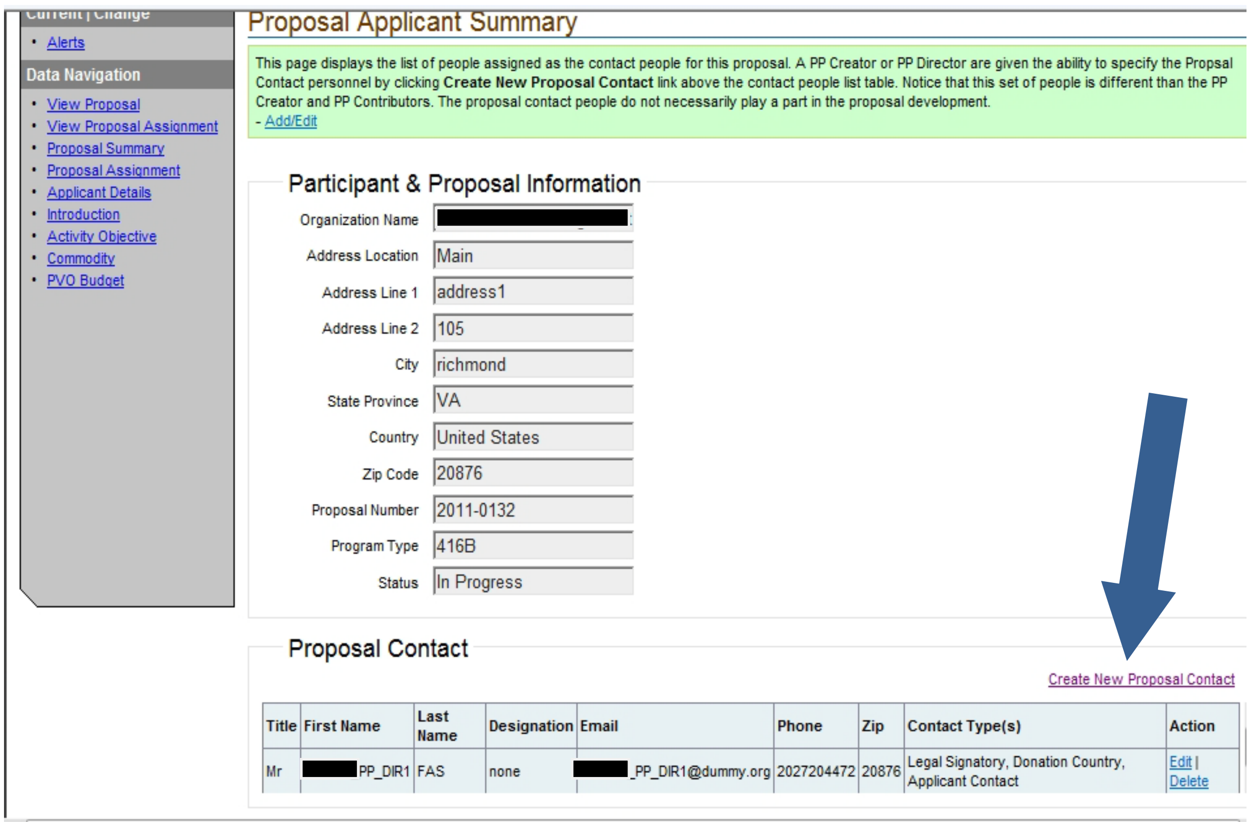


Select the ID number to see the Solicitation for the Program for which you plan to submit a proposal. Select "Apply" to start your application in the FAIS system.



How to Assign Contact Information

In order to assign contact information to your proposal, click the “Applicant Details” link on the “My FAIS” gray navigation pane on the left hand side of the screen. This will lead you to the screenshot below. Your organization’s general contact information will prepopulate. To add individual contacts, click the “Create New Proposal Contact” link, as indicated by the blue arrow in the screenshot. Fill out the information prompted in the screen that appears. When you save a contact, it will appear in the Proposal Contact table shown in the screenshot.



Note that every proposal must have a contact designated to each of the following contact types. One person may be assigned as multiple contact types.

- **US-based contact:** Person in the US to contact for following up on this proposal
- **Organization Headquarters Contact:** Person in the organization HQ for proposal follow up
- **Legal Signatory Contact:** Person who can legally sign documents related to the proposal
- **Applicant Contact:** Person to contact for technical questions regarding the proposal
- **In-Country Contact:** Person to contact in the country where the project will be carried out

The Program Participant Director can assign contacts that are not registered in FAIS. By entering a contact in this section, FAIS will automatically register them. If the contact is already registered in FAIS, FAIS will identify this by the email address entered in the proposal contact information.

Types of Users in FAIS

While the contact designations explain a person's role within their own organization, there are also roles which designate the person's role within the FAIS system. There are three types of Program Participant (PP) users that organizations can designate in a FAIS proposal.

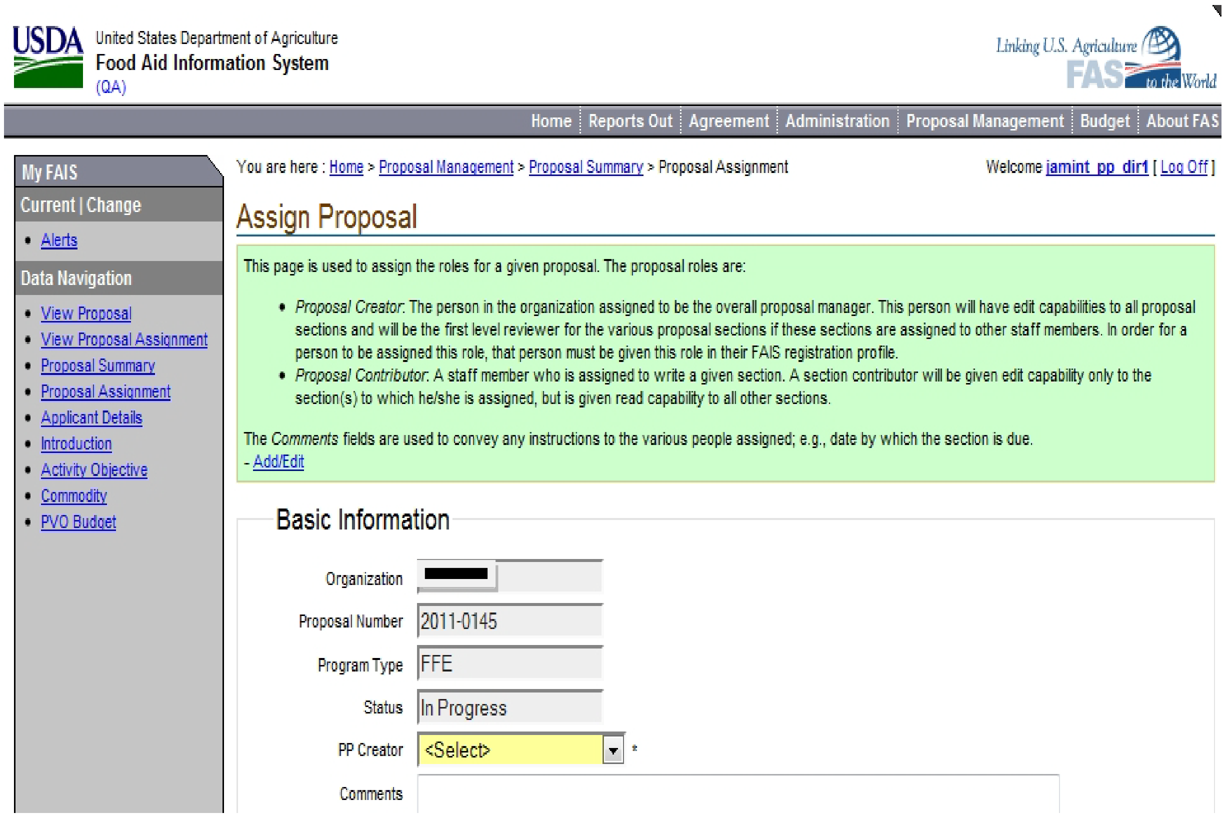
- **Program Participant Director:** creates an organization's proposal in FAIS. The PP Director's roles include: creating a proposal; assigning a PP Creator; assigning PP Contributors to work on proposal sections; and approving and submitting a final proposal.
- **Program Participant Creator**: manages the development of a proposal. The PP Creator's roles include: assigning PP Contributors to work on proposal sections and reviewing a proposal before submission to the PP Director.
- **Program Participant Contributor**: works on specific proposal sections, as assigned by the PP Director and PP Creator.

An applicant does not need to designate all three roles in a proposal. The Program Participant Director can designate him/herself as a Creator or Contributor if desired, and Program Participant Directors and Creators can work on proposal sections, in the same way as a Contributor. Additionally, an organization may have more than one person in the same role. It is the responsibility of the PP Admin for the organization to ensure that roles are properly assigned, and that users are deleted (e.g. unregistered) as they leave the organization

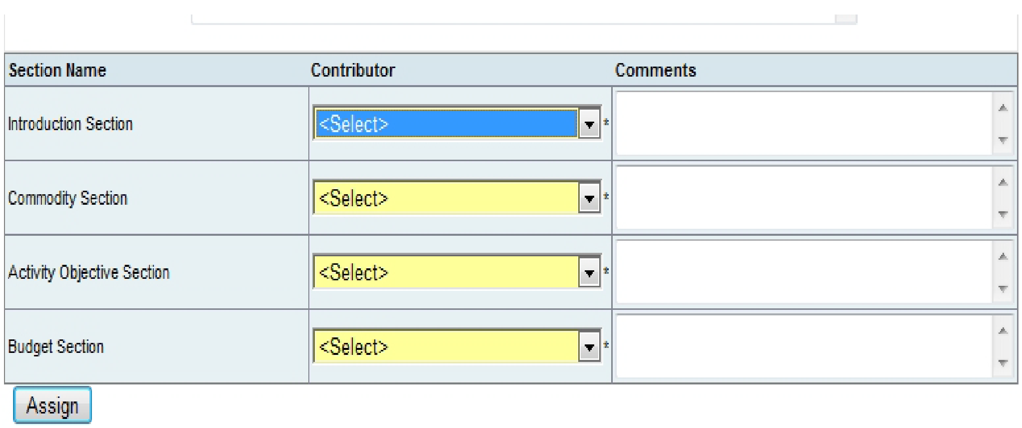
For information on how to assign user roles, please see the next section, on page 10.

How to Assign User Roles in a Proposal

In order to assign user roles in a new proposal, the PP Director (who creates the proposal in FAIS) should click the "Proposal Assignment" link in the "My FAIS" gray navigation pane on the left hand side of the screen. The PP Director should assign a PP Creator, using the dropdown menu seen in the screenshot below. This dropdown menu automatically populate with the contacts entered previously.

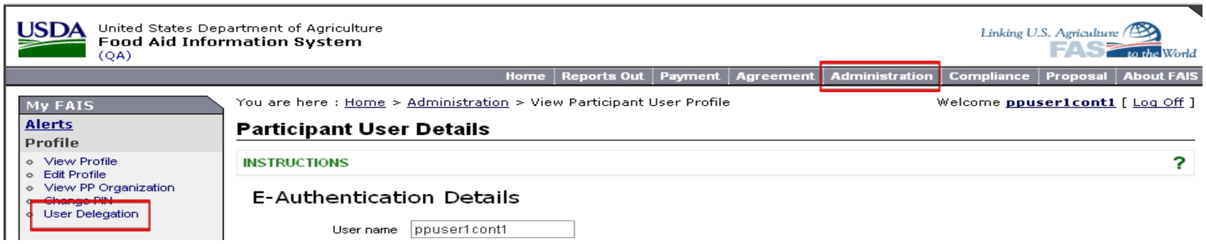


To assign PP Contributors to specific sections, scroll down the page, until you see the table in the screenshot below. In this section, you can assign PP Contributors to specific proposal sections. These dropdown menus will populate with the contacts entered previously.

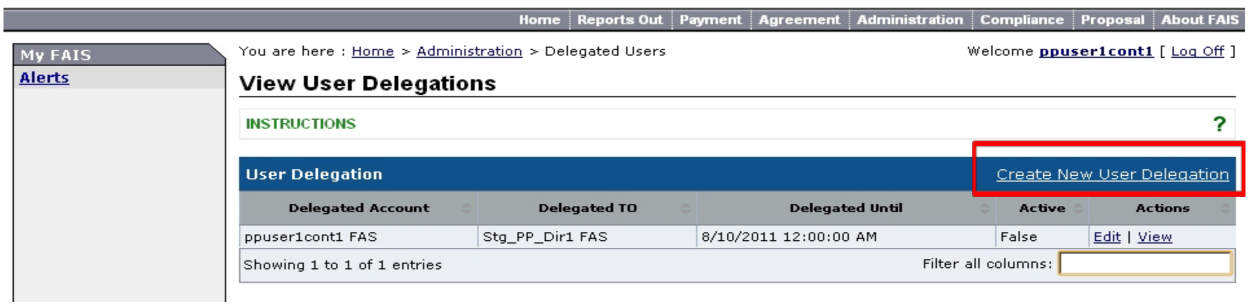


User Delegation

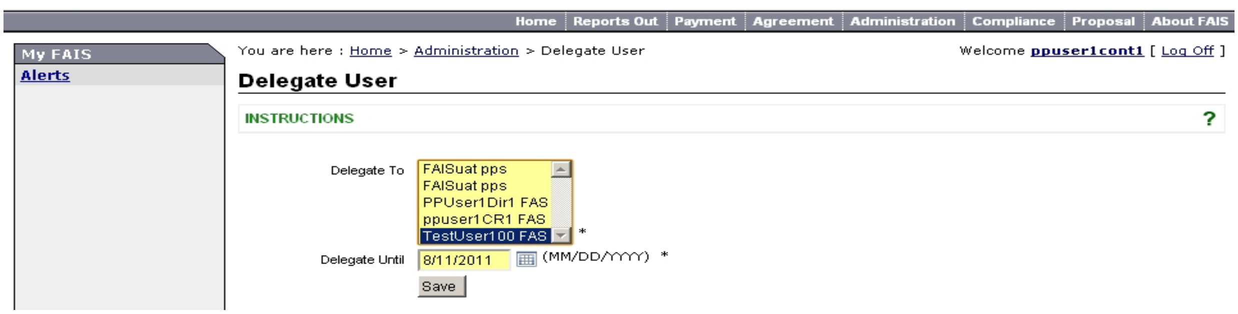
A FAIS user can delegate his/her responsibilities to any user in his/her organization. The delegating user can terminate the delegation when necessary. To set up user delegation, select “Participant User Details” from the “Administration” tab on the menu bar at the top of the screen. Then select the “User Delegation” link on the gray “My FAIS” menu on the left hand side of the screen.



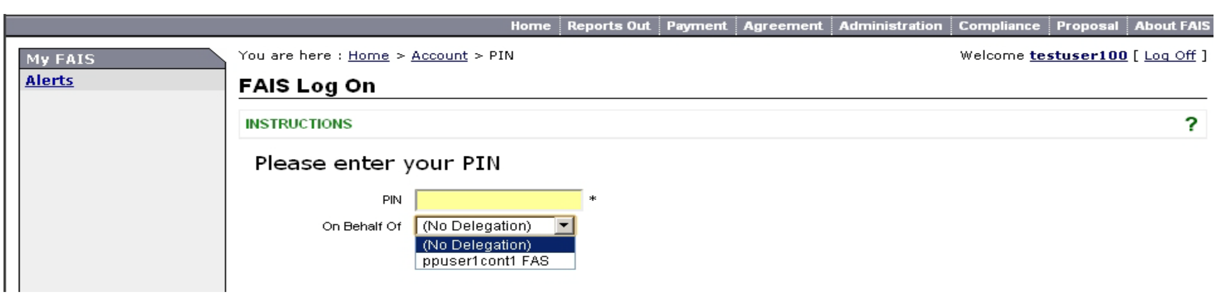
Next, click the “Create New User Delegation” link,



Then select the user to whom you want to delegate your duties.



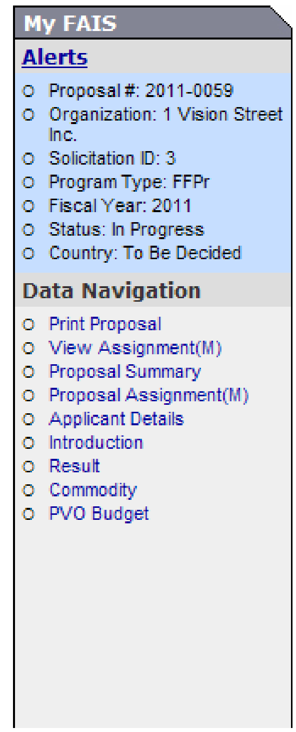
When the delegated user logs in, he/she will now be able to choose whether they are logged in as him/herself or on behalf of the delegating user.



SECTION 3: OVERVIEW OF PROPOSAL SECTIONS

Applicants must enter their proposals in five sections in FAIS:

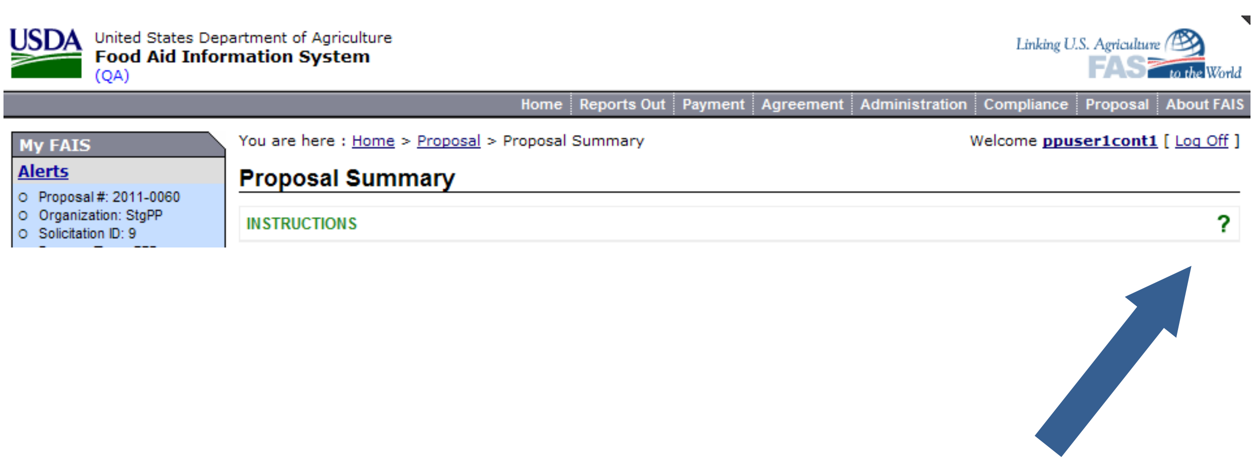
- **Proposal Summary**
- **Introduction**
- **Results***
- **Commodity***
- **PVO Budget**



Applicants can navigate amongst these sections by using the “My FAIS” gray navigation pane on the left hand side of the FAIS window. (The navigation pane is pictured in the screenshot at the right.)

Every section in FAIS consists of several tabs that are used to navigate throughout the section. Every section contains a summary tab, which contains basic information and sections status. This tab is where you can submit the entire section for review. Each section also contains other information tabs. The screens contained under these tabs allow you to enter information specific to that section and to attach additional documents.

Note that every section contains some additional instructions to help applicants enter content. These instructions also contain character limits for the text boxes in that section, if any exits. To access these instructions, click the questions mark, as in the screenshot below.

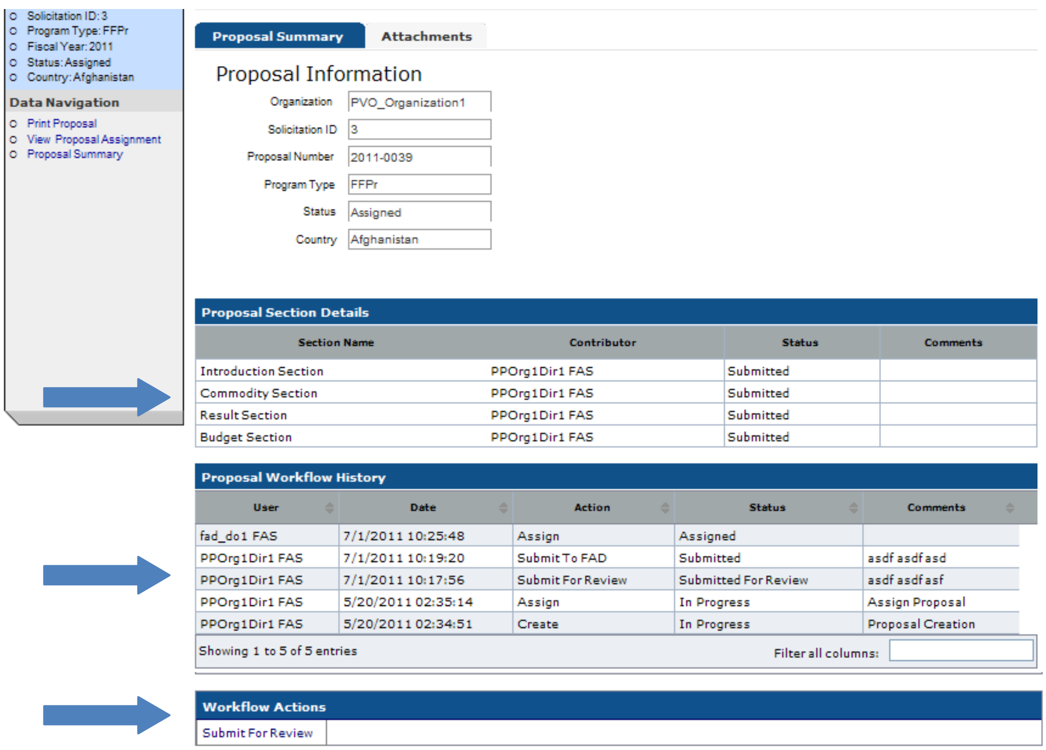


* Note that the Results and Commodity Sections in FAIS make up what USDA calls the “Plan of Operation” in its regulations. (See 7 CFR 1499.4 and 1599.4.)

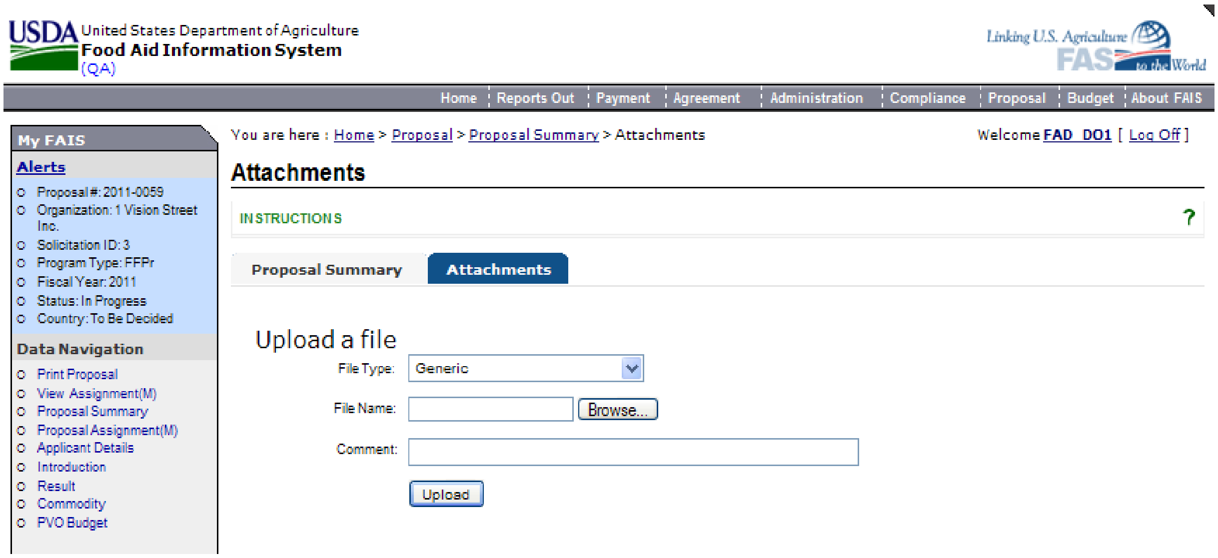
SECTION 4: COMPLETING THE PROPOSAL SUMMARY

Proposal Summary Tab

Every proposal in FAIS contains a Proposal Summary Screen (see screenshot below). Applicants can access this screen by clicking the “Proposal Summary” link in the “My FAIS” gray navigation pane. This screen allows applicants to view the status of each section, view the proposal workflow history, and submit the proposal for review and submission by the PP Director. This section is also where applicants must attach all required proposal attachments. See the next section (on page 14) for additional guidance on these attachments.



Attachments Tab



To access the Attachments subsection, click the Attachments tab at the top of the Proposal Summary window. (See the screenshot above.) Under this tab, applicants must upload the following required documents:

- **SF-424**: Download a blank form: http://www.fas.usda.gov/excredits/FoodAid/SF424.pdf
- **Project-level Framework:** See guidance on page 12-13 of this document
- **Strategic Analysis**: See guidance on page 14 of this document
- **Performance Monitoring Plan:** See guidance on page 15 of this document
- **Negotiated Indirect Cost Rate Agreement (NICRA):** Please attach your NICRA agreement. (If your organization does not have a NICRA, please attach a brief note explaining why it does not have an agreement and describing any plans to obtain a NICRA in the future.)

Applicants may also attach non-required documents under this tab. Such documents can include, but are not limited to:

- **Evaluation Plan**: Note that all applicants are required to submit an evaluation plan. Applicants can submit a plan either (1) in the "Method of Evaluation" box in the results section or (2) in the attachments subsection of the proposal summary section. See page 33-35 of this guide for guidance on preparing this plan.
- **Letters of Support**

Guidance for Project-level Framework

All applicants are required to attach a project-level framework to the Introduction section of their application. This document should be a graphical representation that shows the linkages between the proposed activities, the intermediate results that must be addressed by the proposed program, and the highest-level result that will be achieved. The project level framework must illustrate how the project will contribute to McGovern-Dole or Food for Progress's strategic objective, or highest level result in the program-level framework (FFPr and MGD results framework).

A project-level framework should provide a cause and effect theory of change. In this vein, proposed activities should lead to achievement of initial results, which support the achievement of lower level results, and which support achievement of higher level results. This project level framework will create the basis for measuring, analyzing, and reporting on results as well as for designing and conducting evaluations.

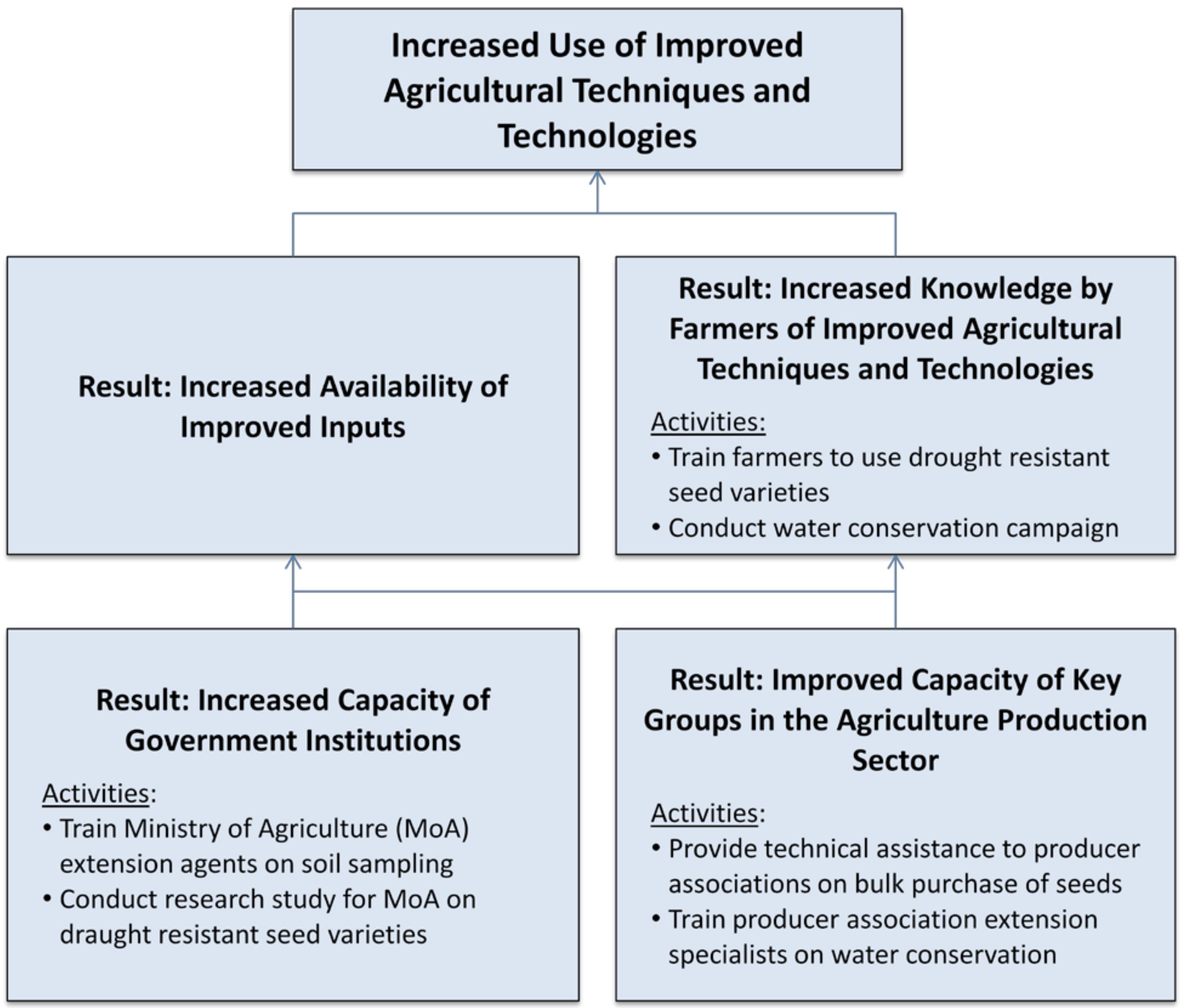
When constructing a project-level framework, applicants should include all proposed activities and results that the program will address. Applicants should use the Food for Progress and McGovern-Dole program-level results frameworks as the basis of their project-level results frameworks. Note that it is not necessary to include all results from the program-level frameworks in the project level frameworks. It is also unnecessary to preserve all linear connections from the program-level frameworks in project-level frameworks. Applicants may add results into their project-level results frameworks that are not in the program-level results framework, if the strategic analysis justifies doing so. Proposals should explain why the added result is necessary. Applicants may not change the specific title of any result from the program-level results framework when including it in their project-level results framework.

For additional information on Results Oriented Management in USDA's food assistance programs, please download USDA's Policy and Guidance Manual for the Use of Results Frameworks and Indicators on our website:
http://www.fas.usda.gov/excredits/FoodAid/2012Solicitation/ROMPolicyGuidance.pdf

Please see the next page for an example of a project-level results framework.

Sample Project-level Framework

This sample project level framework was constructed using Food for Progress (FFPr) Results Framework (RF) number one. Please note that, while this framework does not include the highest-level result from FFPr RF one ("improved agricultural productivity"), it is possible for a project-level RF to include one or all of the highest level results from the program-level RFs.



Guidance for Strategic Analysis

Proposals must include a comprehensive analysis of the challenges, opportunities, and constraints that may impact a project in the recipient country. All applicants are required to attach a strategic analysis to the Proposal Summary section of their application. The strategic analysis should not exceed five pages, using no smaller than size 10 font. Your submission of the strategic analysis must establish:

- The organization's understanding of the higher-level Food for Progress (FFPr) or McGovern-Dole Food for Education (MGD) Program Results Framework(s)
- How the proposed Project Level Framework(s) (developed by the applicant) support(s) either the FFPr or MGD Program Frameworks
- The rationale for implementing the organization's proposed Project-Level Results Framework(s) in the target country

The analysis must also include the following information:

- Description of the organization's coordination with the host Government, US Government agencies, and other stakeholders to ensure that efforts and activities are not duplicated
- An analysis identifying and explaining the priority needs in the recipient country, how/why the proposed activities are appropriate in addressing them, and how these activities link to specific Results within the Project-Level Framework
- Information about specific in-country barriers and constraints that could obstruct the program's efforts to address the identified needs
- Description of how the Project-Level Framework supports the FFPr or MGD Program Results Frameworks
- Where applicable, justification for why specific results were not selected from the FFPr and MGD Program Framework(s)
- Where applicable, justification for why new result(s) need to be included in addition to those in FFPr and MGD Program Framework(s)

To download the Food for Progress and McGovern-Dole results frameworks and to download USDA's Policy and Guidance Manual for the Use of Results Frameworks and Indicators, please visit our website: http://www.fas.usda.gov/food-aid.asp.

Guidance for Performance Monitoring Plan

In addition to submitting a project-specific results framework, the proposal must include a draft plan for monitoring project performance. The performance monitoring plan (PMP) should identify indicators for monitoring progress in achieving results and present a strategy for collecting performance data. The plan should include the FAD standard indicators and custom (project-specific) indicators. FAD standard indicators have been identified in the Policy and Operational Guidance Manual. FAD 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 and dietary practices, agricultural productivity and trade) or country specific achievements. Projects are required to report on FAD's standard indicators where relevant to the project's strategy.

In addition, proposals may include additional indicators that the proposing organization deems 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, proposals should include custom indicators that have been developed through a participatory approach involving key stakeholders. The proposing organization may wish to hold a stakeholders meeting to develop the project's proposed results framework, performance monitoring plan and performance indicators. Using a participatory approach will help to ensure that all stakeholder's 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.

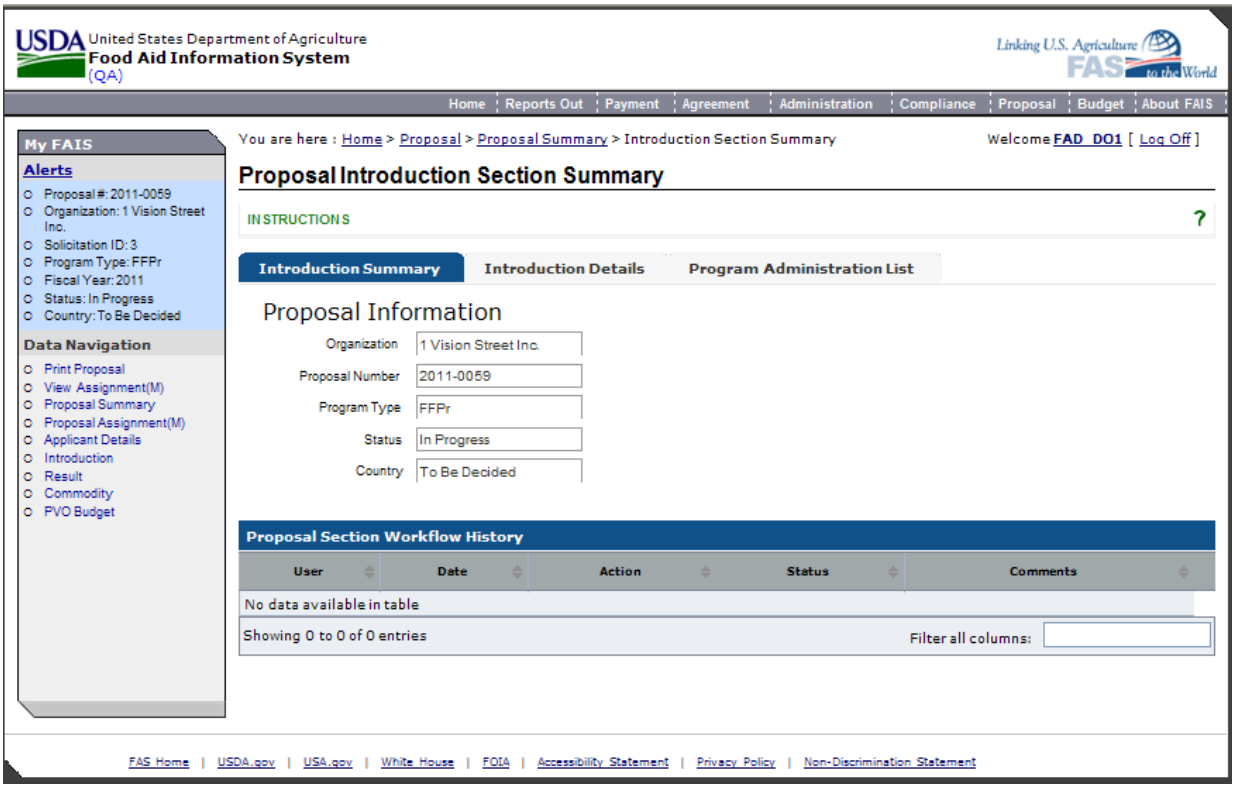
In the development of standard and custom indicators, USDA believes indicators should meet the following criteria:

- **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. For more information and a sample PMP, see USDA's Monitoring and Evaluation Policy: http://www.fas.usda.gov/excredits/FoodAid/FFE/EvalPolicy.pdf

SECTION 5: COMPLETING THE INTRODUCTION

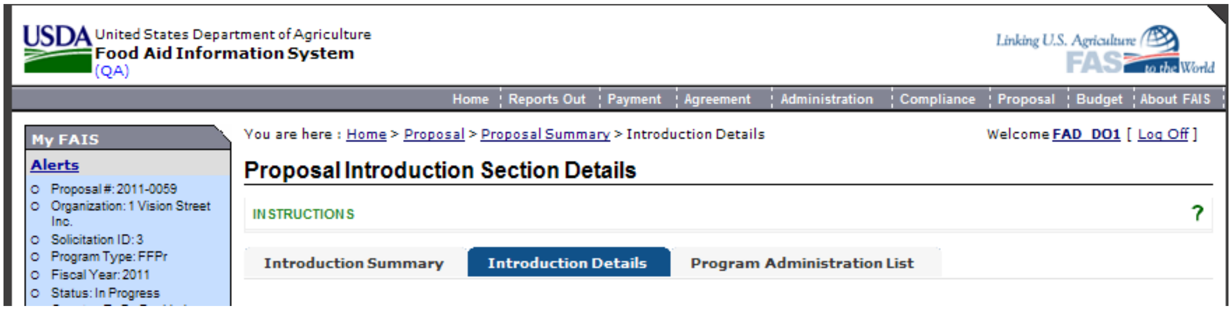
To complete the Introduction section, click the “Introduction” link on the gray “My FAIS” navigation pane. This will lead you to the Introduction section (see screenshot below), which is broken down into three subsections: Introduction Summary, Introduction Details, and Program Administration List. Applicants can navigate among these subsections by using the tabs at the top of the window (pictured below).



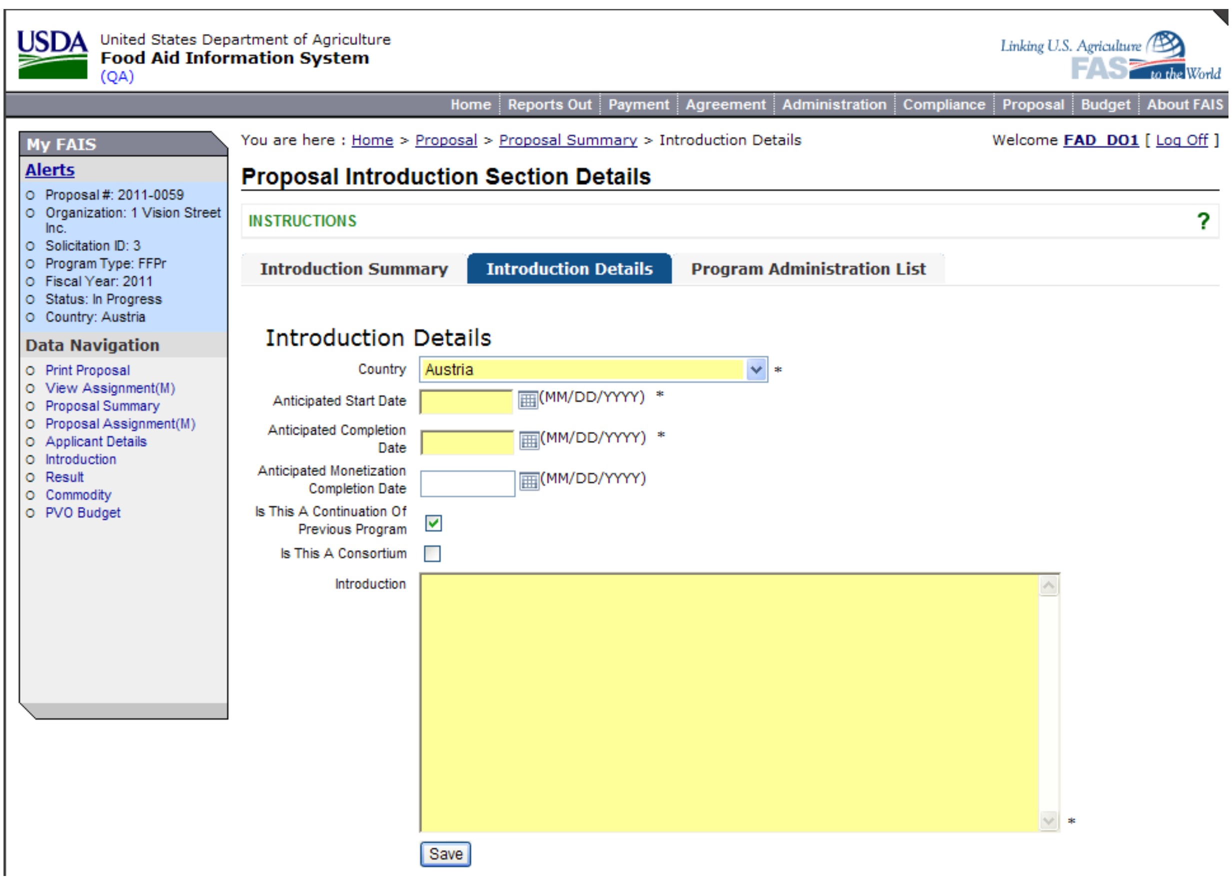
The Introduction Summary Tab

To view the Introduction Summary, click on the Introduction Summary tab on the top of the Introduction window. The introduction summary tab serves two purposes: it shows general proposal information and captures the workflow history for the introduction section (in the “Proposal Section Workflow History” table shown in the screenshot above). As applicants work on the introduction section, the workflow history will automatically populate. Please note that it is not necessary for applicants to enter any information in the Introduction Summary subsection.

The Introduction Details Tab



To begin completing the Introduction Details subsection, click the Introduction Details tab at the top of the Introduction window. (See the screenshot above.) Fill out the information boxes displayed in the window, including: Country, Anticipated Start Date, Anticipated Completion Date and Introduction. (Please note that only boxes shaded yellow are required information.) In the Introduction box, applicants should compose the narrative introductory statement itself. Applicants should follow the program-specific guidance for introductory statements, on page 21 and 22 of this document (for Food for Progress and McGovern-Dole, respectively).



Introductory Statement Guidance for Food for Progress Applicants

The Introductory Statement should be entered in the Introduction box under the Introduction Details tab. The introductory statement for all Food for Progress proposals must include the following information:

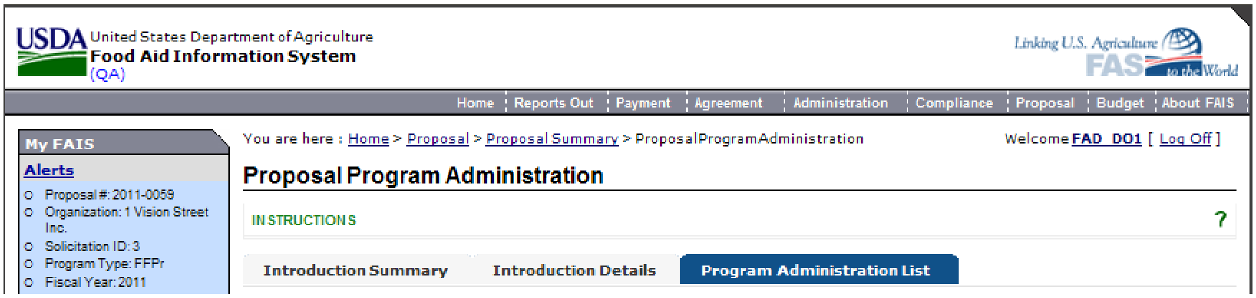
- **Summary**: A one-paragraph summary of the proposed program.
- **Organizational Capacity**: Information about the organization's capabilities to implement the proposed program, including previous experience implementing food assistance programs and any specific in-country experience.
- **In-Country Registration Status**: Information on the applicant's registration status in the recipient country and its ability to become registered if it is not already.
- **Long-lasting Results**: Information about the applicant's plan to achieve long-lasting results through the proposed program.
- **Proposed Budget:** The Food for Progress program regulations (7 CFR 1499.4) specify that a budget shall be included in the introduction. To meet this requirement, please complete the "PVO Budget" section in FAIS, as outlined in Section 7 of this guidance.

Introductory Statement Guidance for McGovern-Dole Applicants

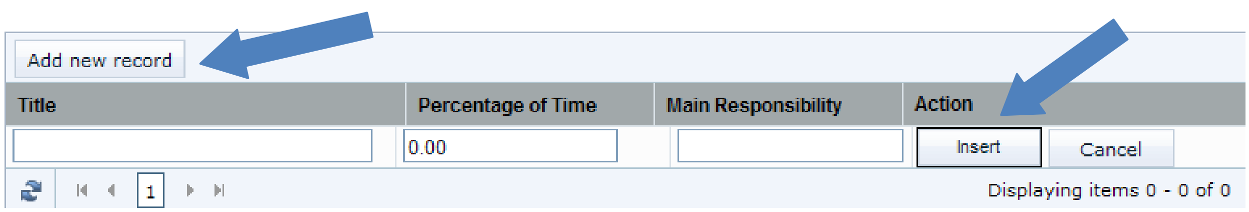
The Introductory Statement should be entered in the Introduction box under the Introduction Details tab. The introductory statement for all McGovern-Dole proposals must include the following information:

- **Summary**: A one-paragraph summary of the proposed program.
- **Organizational Capability**: Information about the organization's capabilities to implement the proposed program, with particular emphasis on school feeding, or other relevant development activities. Also include information on the organizations past food aid projects and its experience within the country where the program is proposed.
- **In-Country Registration Status**: Information on the applicant's registration status in the recipient country and its ability to become registered if it is not already.
- **Commitment to Education:** A statement verifying the commitment of the government of the targeted country to work toward, through a national action plan, the goals of the World Declaration on Education for All convened in 1990 in Jomtien, Thailand, and the follow-up Dakar Framework for Action of the World Education Forum, convened in 2000.
- **Graduation**: Confirm steps to graduate the program from food aid and address sustainability, or sustainable program components, which will continue after the end of food aid donations. In addressing graduation or sustainability, please (A) Address how the program will sustain the benefits of the education, enrollment, and attendance of children in schools in the targeted communities when the provision of commodities and assistance to a recipient country under MGD terminates; (B) Estimate the time required until the recipient country or eligible organizations will be able to provide sufficient assistance without additional assistance under MGD; or in the absence of sustainability; and (C) Explain how the program will provide other long term benefits to targeted populations of the recipient country.
- **Proposed Budget:** The McGovern-Dole program regulations (7 CFR 1599.4) specify that a budget shall be included in the introduction. To meet this requirement, please complete the PVO Budget section in FAIS, as outlined in Section 7 of this guidance.

Program Administration List Tab



To begin completing the Program Administration List subsection, click the Program Administration List tab at the top of the Introduction window. (See the screenshot above.) Under this tab, applicants need to complete the Program Administration List, which will capture the personnel that the applicant organization will dedicate to work on the proposed program. To add personnel to the table, click the "Add new record" button (shown in the screenshot below), and enter the person's title, the percentage of time he/she will dedicate to the program, and his/her main responsibility. Click the "Insert" button to save the information to the table. Be sure to enter all personnel that will work on the proposed program.



SECTION 6: COMPLETING THE RESULT SECTION

To enter your proposals results and activities, click the “Result” link on the gray “My FAIS” navigation pane. This will lead you to the Results section (see screenshot below), which is broken down into five subsections: Summary, Results, Activities and Beneficiaries, Mapping, and Other Details. Applicants can navigate amongst these subsections by using the tabs at the top of the window (pictured below). (Please note that in FAIS, the Plan of Operation is now composed of the Result and Commodity Sections. For additional information on the Plan of Operation you may reference 7 CFR 1499.4 (d) for Food for Progress and 7 CFR 1599.4 (d) for McGovern-Dole Program.)

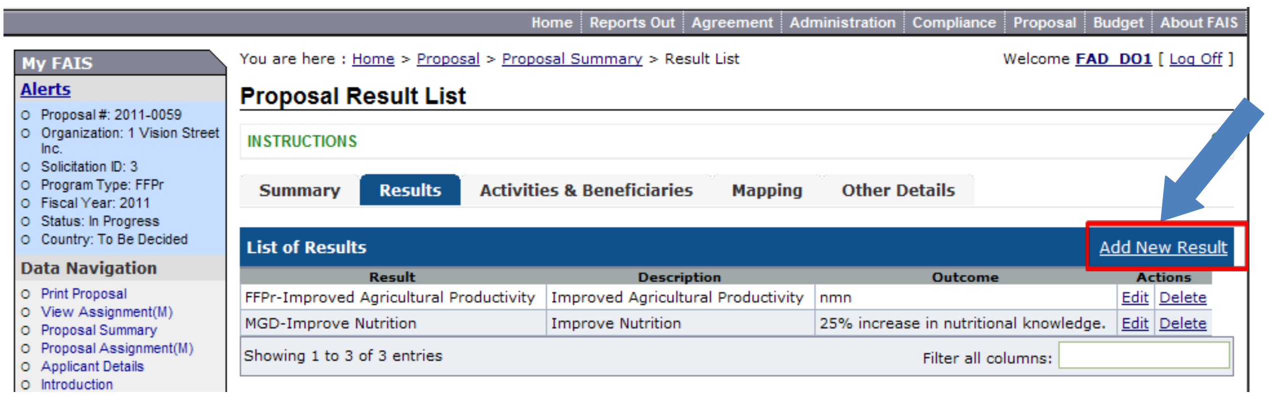
In the Result section, applicants will enter the results their organization will achieve and the activities planned to achieve those results. Applicants will describe their activities, results, and target indicators. They will also map the connection between the proposed results and activities.

The Result Summary Tab

To view the Results Summary, click on the Results Summary tab on the top of the Results window. The Results Summary Tab serves two purposes: it shows general proposal information and captures the workflow history for the results section (in the “Proposal Section Workflow History” table shown in the screenshot above). As applicants work on the Results Section, the workflow history will automatically populate. Please note that it is not necessary for applicants to enter any information in the Results Summary subsection.

The Results Tab

To begin completing the Results subsection, click the Results tab at the top of the Results window. Then select, "Add New Result" to start creating your List of Results (shown in the screenshot below). Note that all results included in the project-level framework should be included in this list.



Applicants will be led to the "Enter Result" screen, pictured in the screenshot below.

Applicants must select a result from the drop down menu. The menu includes all of the results found in USDA's four program-level results frameworks (for both McGovern-Dole and Food for Progress). It also contains a result called "New Custom Result" which an applicant can select if its project framework has additional results not captured in the program-level frameworks. After selecting a result, applicants should fill out all applicable text boxes for that result. These boxes must be completed separately for each result selected. (Please note that only boxes shaded yellow are required.) Please see specific guidance on completing each text box on the next page of this guide.

The Results Tab (continued)

Please include the following information when completing text boxes for each result.

Result Description: If you choose "New Custom Result," please use the box immediately under it called "Result Description" to describe your new result. If you did not select new result, you may leave this box blank, but you may also use it to add any additional information that you would like us to know about your result.

Baseline: If your applicant organization has baseline existing data you may enter that in this box. If the applicant does not have established baselines, please tell your plan to establish a baseline in this box.

Outcome: Applicants should enter both the target expected to be reached for the result and the indicator(s) that will be used to measure progress towards the target.

Method of Monitoring: All applicants are required to attach a draft Performance Monitoring Plan (PMP) with their application, and it should be attached in the Proposal Summary section of the application on FAIS. The PMP should identify indicators for monitoring progress in achieving results and present a strategy for collecting performance data.

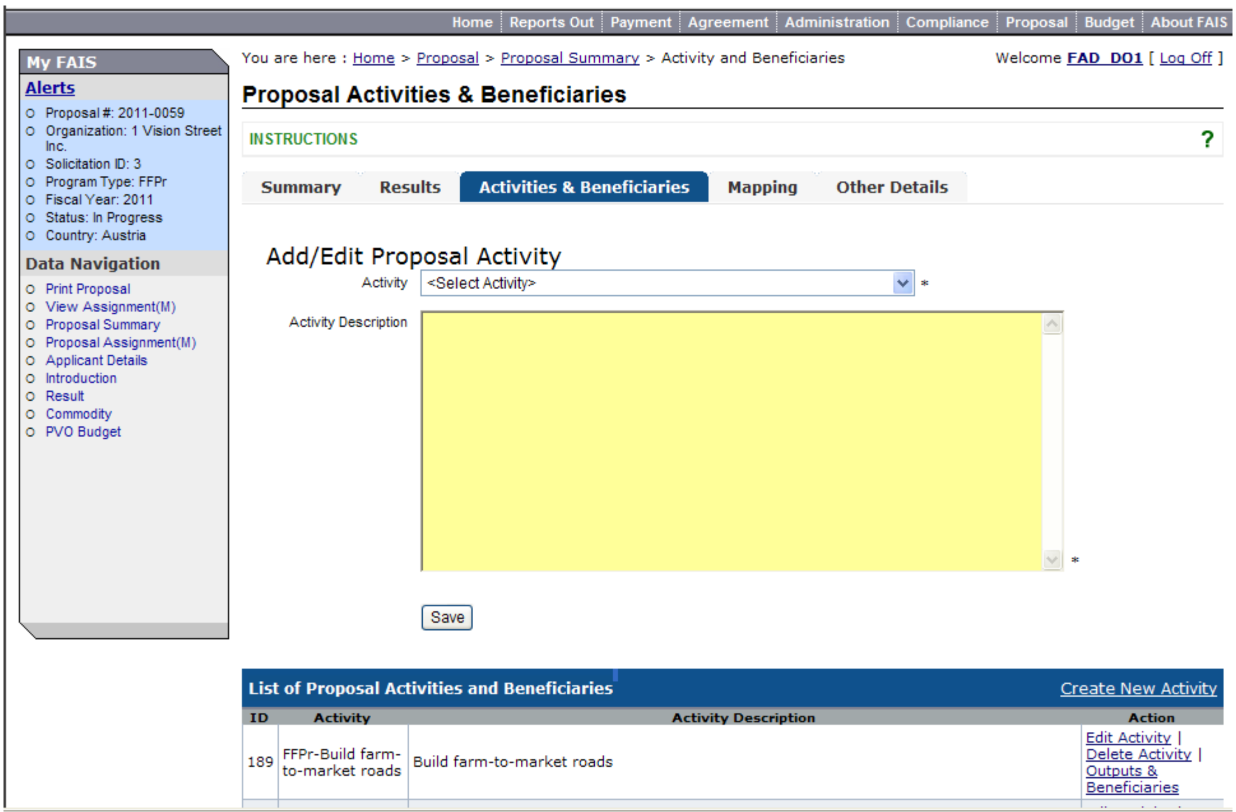
Complimentary to the PMP, applicants may provide additional narrative information regarding monitoring and measurement of specific project results in the "Method of Monitoring" text box. This could include additional information on how the project will ensure the collection and analysis of high quality of data. Applicants may also discuss the process that will be undertaken to verify and validate the data collected. For more information on data quality standards and assessments please review USDA's Monitoring and Evaluation Policy, available at: http://www.fas.usda.gov/excredits/FoodAid/2012Solicitation/EvalPolicy.pdf

Click Save to save the information entered for each Result. The "List of Results" table (under the "Results" tab) will automatically populate with the new result.

The Activities and Beneficiaries Tab

To complete the Activities and Beneficiaries subsection, click the Activities and Beneficiaries tab at the top of the Results window. (See the screenshot below.) Under this tab, applicants need to enter the activities to be carried out in the proposed program and the associated beneficiaries.

To begin completing the "List of Proposal Activities and Beneficiaries" table (pictured below), the applicant should select an activity from the "Activity" drop down box, which contains many common activities. However, if the drop down box doesn't contain the activity that you need, you can select "custom activity." In the "activity description" text box (where you will describe your activity in detail) be sure to include the title of the custom activity.



All applicants myst complete the activity description text box. In this box, you should explain how you will implement your activity. Be sure to include the following information:

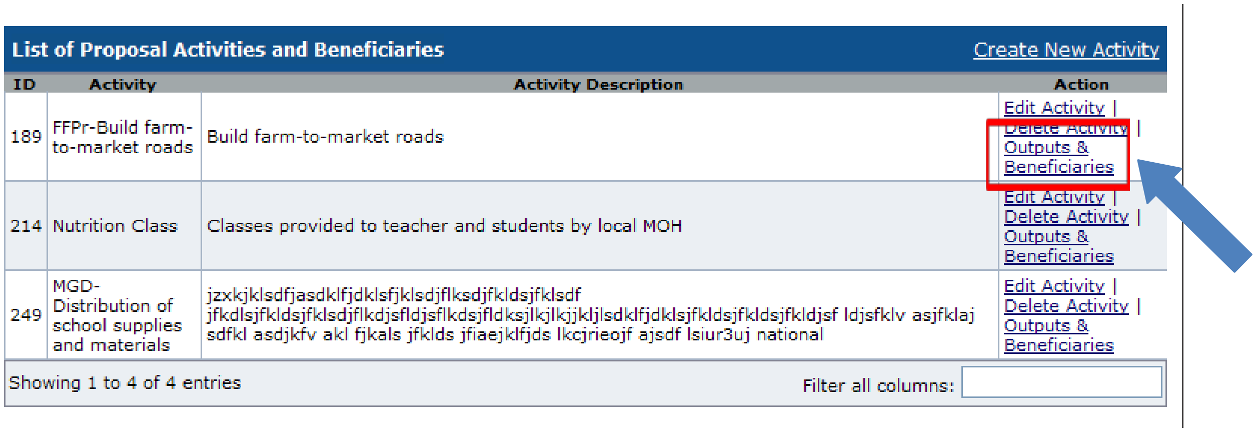
- The amount of commodities, FAS-provided funds, and/or monetization proceeds that will be used to carry out this activity.
- An explanation of whether the activity would be carried out through the distribution or barter of the requested commodities or funded by FAS-provided funds, monetization proceeds, or some combination.

- The targeted geographic area.
- Anticipated beneficiaries and the methods for choosing those beneficiaries (including obtaining and considering statistics on poverty levels, food deficits, literacy rates, etc.)
- Applicant may also explain the cash or non-cash contributions that the applicant expects to receive from non-FAS sources that will help implement/enhance the proposed activities.
- If this activity is a “custom activity” (e.g. not found in the “Activity” drop down menu), include an activity title.

Once you have entered all of this information, press the **Save** button, and the “List of Proposal Activities and Benerficiaries” table will automaticall populate with this information. Repeat this process for all activities in the proposal.

For each activity added to the “List of Proposal Activities and Benerficiaries” table, applicants <u>must</u> enter beneficiary and output information. For guidance on entering this information, please see guidance on the next page of this document (page 29).

Adding Outputs and Beneficiaries

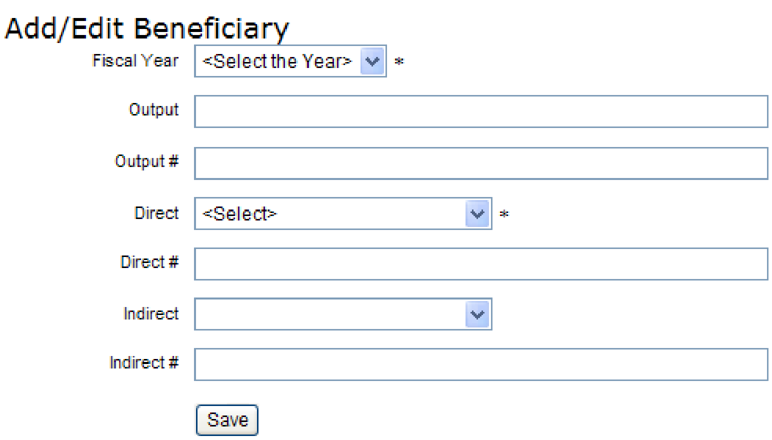


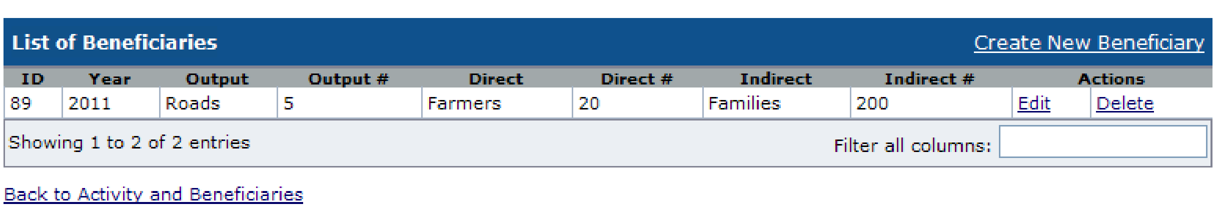
List of Proposal Activities and Beneficiaries — Create New Activity

ID	Activity	Activity Description	Action
189	FFPr-Build farm-to-market roads	Build farm-to-market roads	Edit Activity | Delete Activity | Outputs & Beneficiaries
214	Nutrition Class	Classes provided to teacher and students by local MOH	Edit Activity | Delete Activity | Outputs & Beneficiaries
249	MGD-Distribution of school supplies and materials	jzxkjklsdfjasdklfjdklsfjklsdjflksdjfkldsjfklsdf jfkdlsjfkldsjfklsdjflkdjsfldjsflkdsjfldksjlkjlkjjkljlsdklfjdklsjfkldsjfkldsjfkldjsf ldjsfklv asjfklaj sdfkl asdjkfv akl fjkals jfklds jfiaejklfjds lkcjrieojf ajsdf lsiur3uj national	Edit Activity | Delete Activity | Outputs & Beneficiaries

Showing 1 to 4 of 4 entries — Filter all columns:

To enter output indicators and beneficiaries for a specific activity, click the “Outputs and Beneficiaries” link listed in the “Action” column next to the activity description. This will lead you to a screen where you can add output and beneficiary information to the “List of Beneficiaries” table. (See screenshot below.) Here you should select a fiscal year, describe the output (in the “Output” box), enter the output target (in the “Output #” box), and select direct and indirect beneficiaries for this activity. Click **save**, and the “List of Beneficiaries” table will populate with the information that you’ve just enetered. Be sure to complete separate entries for different fiscal years, even if the outputs, targets, and beneficiaries are the same for each year. Applicants may add as many outputs and beneficiaries to this table as they like. Be sure to add output and beneficiary information for each activity listed in the “List of Proposal Activities and Beneficiaries” table.





List of Beneficiaries — Create New Beneficiary

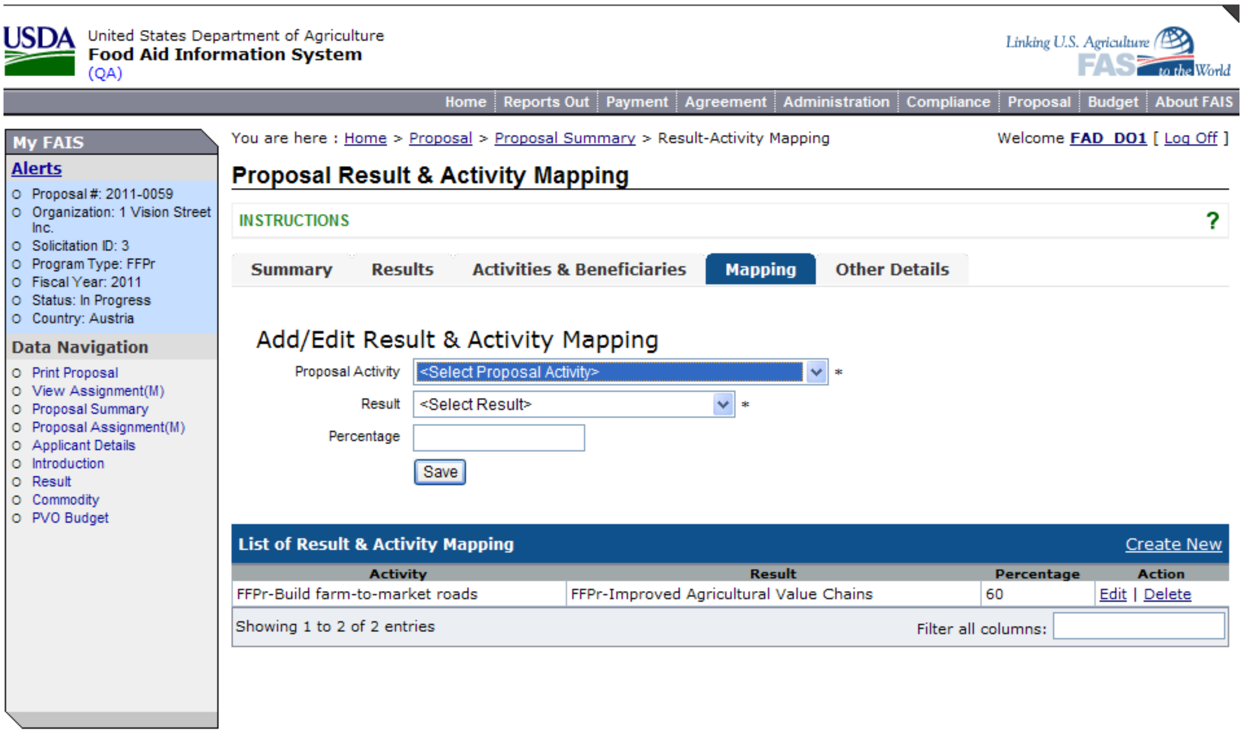
ID	Year	Output	Output #	Direct	Direct #	Indirect	Indirect #	Actions	
89	2011	Roads	5	Farmers	20	Families	200	Edit	Delete

Showing 1 to 2 of 2 entries — Filter all columns:

Back to Activity and Beneficiaries

The Mapping Tab

To begin completing the Mapping subsection, click the “Mapping” tab at the top of the Results window. (See the screenshot below.) Under this tab, applicants will link the activities listed in the “Activities & Beneficiaries” subsection to the results listed in the “Results” subsection.



The “Proposal Activity” and “Result” dropdown boxes will preload with the activities and resultes entered in the Results and Activities &Beneficiaries subsections. Applicants should select and activity from the “Proposal Activity” dropdown menu and should select a result supported by this activity from the “Result” dropdown menu. Applicants should also enter the percentage of the activity the supports the selected result in the “Percentage” textbox. For example, if an activity supports two different results equally, you would enter 50 percent in the mapping information for both results. However, if the activity supports one result a little bit more than another, you could enter 60 percent for one result and 40 percent for the other. After mapping an activity to a result, click save, and it will automatically populate in the “List of Results & Activity Mapping” table (pictured in the screenshot above).

Please note that you should map your activities <u>only</u> to the lowest level result you are seeking to affect. Do <u>not</u> link your activities to every result in the framework that it will affect. Additionally, please note that every activity must be mapped to at least one result.

The Other Details Tab

To begin completing the Other Details subsection, click the Other Details tab at the top of the Results window. (See the screenshot below.)

Applicants should complete all required text boxes the Other Details subsection, using the following guidance:

- **Method of Evaluation:** Describe your plan to evaluate the proposed project in accordance with USDA's evaluation policy (see guidance on page 33-35). If your evaluation plan does not fit in this box, you may also attach it to the Proposal Summary section. If you do attach your evaluation to the Proposal Summary section, be sure to note that you have done so in this text box.
- **Sub-recipients:** Identify any entity that will receive commodities or monetization proceeds from the applicant for the purpose of implementing program activities. Describe each entity's expected program responsibilities and capability to perform its responsibilities.
- **Government and Non-Governmental Agencies:** Specify any governmental or nongovernmental entities in the recipient country that will be involved in the program and explain how the program will strengthen or increase the capacity of the entities to further economic development in the country.
- **Method of Educating Public:** State the methods of notifying consumers in the recipient country of the source of donated commodities and/or funding for program activities. In cases where beneficiaries will receive commodities directly, describe how they will be educated to to prepare and consume them properly.
- **Method of Choosing Beneficiaries:** In a couple of paragraphs, identify the criteria and methodology used to target the geographic area(s) and the beneficiary group(s). Criteria and methodology should help to distinguish why some regions or beneficiary groups will receive resources (funds or agricultural products) while others will not. Consider the following questions when preparing your response:
    1. Why and with what methodology did you select the particular geographic area(s), institutions, and/or beneficiaries?

2. Which sources of information did you use (i.e. government agency survey, computer database, interviews, assessments, etc.)?
3. With whom did you collaborate to target particular regions, institutions, or beneficiaries?

- **Private Sector Impact:** This box is not required, but you may use this space to discuss the impact of the proposed program's private-public partnerships, if any.

Guidance for Evaluation Plan

All USDA food assistance applications must include a draft evaluation plan. As described in the Food Assistance Division's Monitoring and Evaluation (M&E) Policy (available at: http://www.fas.usda.gov/excredits/FoodAid/2012Solicitation/EvalPolicy.pdf), each evaluation plan should detail the proposed evaluation activities, including the purpose and scope of midterm and final evaluations, evaluation methodology, timing of evaluation activities, and dissemination of findings and lessons learned.

The evaluation plan should be developed as a stand-alone document that can be shared with key project partners, stakeholders, and the public. USDA expects the evaluation plan (excluding annexes) to be no more than 15 pages. Please note that this document can either be (1) pasted in the "Method of Evaluation" box in the "Other Details" tab of the "Results" section or (2) attached under the "Attachments" of the "Proposal Summary" section. The evaluation plan should adhere to the following outline:

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

II. **Project Overview**
Provide a summary description of the project strategy including the project strategic objectives and expected results. The project's results framework would be appropriate to include here. 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.
   a. Project strategic objectives and results
   b. Project activities
   c. Target beneficiaries

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

c. Methodology
d. Timeline of evaluation activities
e. Audience and key stakeholders
f. Utilization of evaluation findings and recommendations

IV. 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 baseline and follow-up data collection, and the key audience for the evaluation. The evaluation plan should describe the methodology selected and the strengths and weaknesses in the proposed methodology for measuring impact and assessing attribution. The evaluation plan should include a timeline for the conduct of key evaluation activities and address issues of independence, coordination and the use of participatory methods. For further guidance on the design and conduct of the final evaluation please review the M&E policy.

a. Purpose and scope
b. Key evaluation questions
c. Methodology
d. Timeline of evaluation activities
e. Evaluation team selection
f. Audience and key stakeholders

V. Special Studies (as applicable)

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

a. Qualitative studies
b. Intervention specific studies
c. Sector/thematic studies

VI. Evaluation Management

Provide a description of the management of the evaluation activities addressing issues of independence and quality assurance as described in the M&E policy. Descriptions of evaluation management may include an organizational chart and must include a description of roles and responsibilities of the organization and project staff, M&E staff and M&E

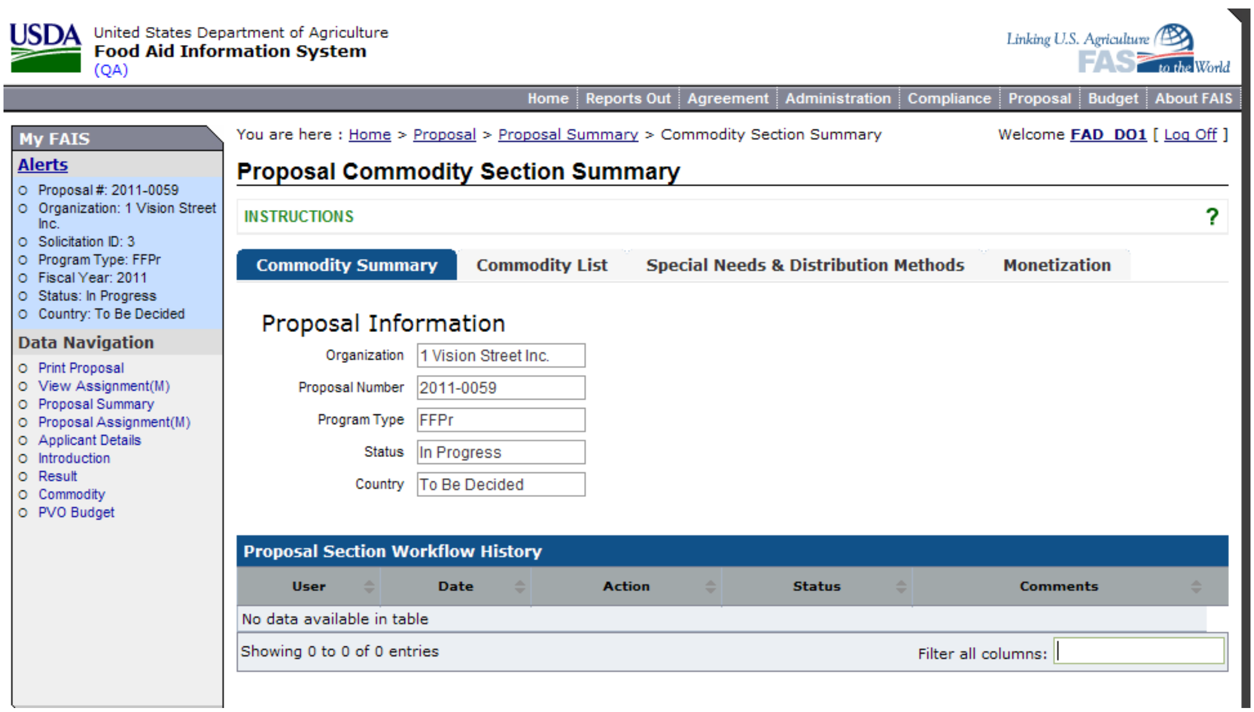
consultants or contractors, as applicable. The evaluation plan should also address the roles and responsibilities of the project partners and key stakeholders throughout the evaluation process. The evaluation plan should address the regular review and updating of the evaluation plan throughout the life of the agreement. The evaluation plan should describe the project's dissemination strategy for improving the knowledge base and sharing evaluation findings and lessons learned.

a. Roles and responsibilities for project staff, partners, key stakeholders
b. Regular review and update
c. Dissemination strategy

SECTION 7: COMPLETING THE COMMODITY SECTION

In the Commodity Section, applicants enter the commodities requested as well as transportation, logistics, and monetization information (if applicable). (Please note that in FAIS, the Plan of Operation is now composed of the Result and Commodity Sections. For additional information on the Plan of Operations you may reference 7 CFR 1499.4 (d) for Food for Progress and 7 CFR 1599.4 (d) for McGovern-Dole Program.)

To enter information about proposed commodities, click the “Commodity” link on the gray “My FAIS” navigation pane. This will lead you to the Commodity section (see screenshot below), which is broken down into four subsections: Commodity Summary, Commodity List, Special Needs & Distribution Methods, and Monetization. Applicants can navigate among these subsections by using the tabs at the top of the window.

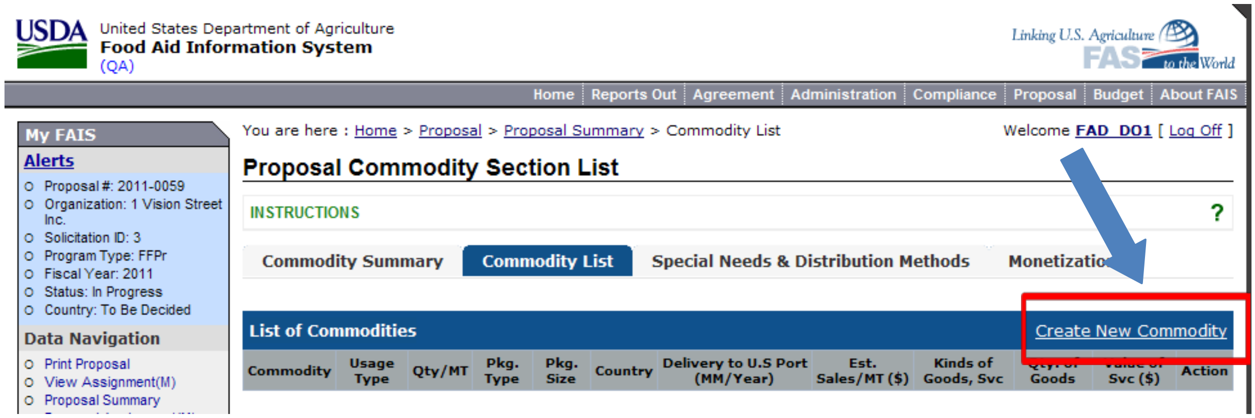


The Commodity Summary Tab

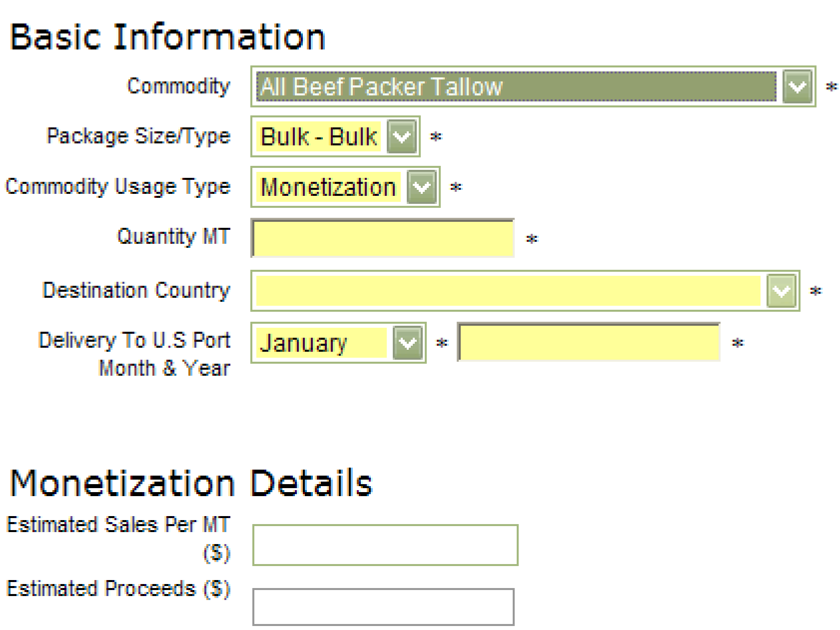
To view the Commodity Summary, click on the Commodity Summary tab on the top of the Commodity window. The commodity summary tab serves two purposes: it shows general proposal information and captures the workflow history for the commodity section (in the “Proposal Section Workflow History” table shown in the screenshot above). As applicants work on the commodity section, the workflow history will automatically populate. Please note that it is not necessary for applicants to enter any information in the Commodity Summary subsection.

The Commodity List Tab

Th Commodity List tab contains a “List of Commodities” table that applicants must populate. Applicants can add a new commodity and edit/delete added commodities. To add a new commodity to the table, select “create new commodity” (shown in the screenshot below).

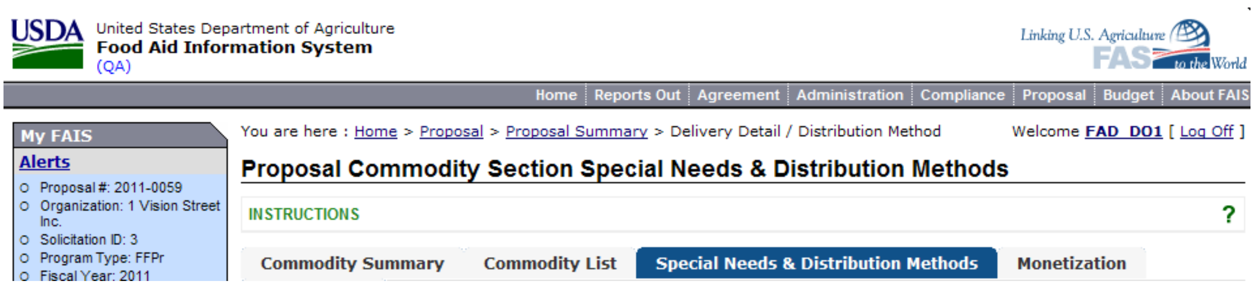


Once you select, “Create New Commodity” you will be led to a separate scree (see screenshot below), where you can select: (1) a commodity from the drop down list of available commodities, (2) the pack size and type, and (3) how the commodity will be used (i.e. monetization, barter, or direct distribution). Applicants should also enter the requested quantity, destination country, and the estimated delivery date in the available text boxes. If the commodity will be monetized or bartered, please complete the relevant optional text boxes.



The Special Needs & Distribution Methods Tab

To complete the Special Needs & Distribution Methods subsection, click the Special Needs & Distribution Methods tab at the top of the Commodity window. (See the screenshot below.) Under this tab, applicants need to complete five text boxes displayed in the window, including: Special Delivery, Commodity, Processing, or Packaging Needs; Description of Transportation and Storage and Logistics Plan; Duty Free Entry; Economic Impact; and Other Remarks. (Please note that only boxes shaded yellow are required information.) Specific guidance on what to enter in these boxes is provided below.



Special Delivery, Commodity, Processing or Packaging Needs: In this section, provide an explanation for any special delivery or commodity needs. Also provide information on any processing or repackaging that you, the applicant, will arrange prior to the sale of the commodities. (If no prosessing or repackaging will take place, please state this.)

Description of Transportation and Storage and Logistics Plan: The purpose of this section is to provide assurances to USDA that the port, transportation infrastructure, and storage facilities are sufficient to prevent undue spoilage or waste. Provide one or two paragraphs that describe the following: (1) the discharge port facilities in the importing country, including offloading and storage capacity, number of discharge berths, depth of draft, and who will receive the commodities at the discharge port, (2) the mode of transport used to move the commodities from the discharge port to the applicant's warehouse and/or to a buyer (if the commodity is to be monetized), (3) storage capacity, structure and level of security, (4) movement of food from warehouse to schools or feeding centers, (5) any processing or repackaging that you, the applicant, will arrange prior to the sale or distribution of the commodities, or a short statement declaring that no reprocessing or repackaging will take place, and (6) steps taken to prevent undue spoilage or waste.

Duty Free Entry: Provide information about local customs, duties, and taxes that may be applicable for the commodities to enter the country. The applicant should list any special laws or taxes that may apply and explain how these laws and/or taxes will affect either distribution and/or monetization. For direct feeding programs only, the applicant must indicate that the commodities will be imported and distributed free from all customs, duties, tolls, and taxes. Please refer to, or if possible, quote any written documentation that supports duty-free entry. For monetization programs, if the commodities will not enter duty free, indicate who will be responsible for paying applicable customs, duties, or taxes and how this payment will affect the amount of sales proceeds realized from the sale.

Economic Impact: Please provide information indicating how the commodities were selected. Describe why the commodities can be imported and distributed without a disruption to local production and marketing patterns along with no adverse effect on prices of the same or like products (substitutable commodities) within the importing country. Highlight current local agricultural risks, aberrations, and marketing practices for locally produced foods. Discuss how these factors have been considered in the commodity selection process and monetization plan. Please include recent production and consumption statistics along with sources to support these statements.

Other Remarks: Applicants may use this box to address any areas not covered by the previous boxes and to further describe their proposed transportation and distributions methods. If applicable, the applicant may provide information on any commodities that would be acceptable substitutes for the proposed commodities.

The Monetization Tab

To begin completing the Monetization subsection, click the Monetization tab at the top of the Commodity window. (See the screenshot below.) Please note that information under the Monetization tab is only required if you state that you will monetize requested commodities from the List of Commodities table in the Commodity List tab.

If applicants plan to monetize commodities, they must fill out the text boxes displayed in the window, including: Impact on Other Sales, Private Sector Participation in Sales of Commodity, Sales Proceeds Usage, and Assuring Receipt Procedures. (Only the boxes shaded yellow are required information. Boxes in this section will only be required if the applicant proposes to monetize requested commodities.)

Impact on Other Sales Box: Provide a paragraph or two that gives assurance that commercial markets will not be adversely affected by the sale or barter of commodities. Include information on trade of the same and similar commodities from the United States and other countries in this market. Discuss current trading partners. Include both commercial as well as traditional regional stakeholders. Discuss the optimal timing of the sale in terms of periods of heightened demand, seasonality, harvest time, etc.

Private Sector Participation in Sales of Commodity Box: Provide a paragraph or two that describes how the commodities will be sold. Indicate who the potential buyers are given the market for the commodities. Discuss how private sector buyers will be encouraged to participate in the sales process. Discuss any constraints that may hinder or aid the sales process, (e.g. number of buyers, number of banks, letter of credit fees, storage facilities at processing plants, etc). Indicate which measures the applicant will undertake to guard against an uncompetitive sale due to limited potential buyers.

Sales Proceeds Usage Box: This section should be used to account for how the proceeds from the monetization or barter of the commodity(ies) will be used. Total direct costs (Internal Transportation Shipping Handling (ITSH), activity costs, and other direct costs) and indirect costs must not exceed the estimated proceeds. Also, include a statement of how unexpected increases or decreases in proceeds or additional funds due to reduced ITSH costs will be distributed across activities. (Note that administrative and ITSH costs may not be increased).

Assuring Receipt Procedures Box: Provide a paragraph or two that describes how the applicant will ensure that it receives payment for the sales and that the proceeds are deposited into a separate interest-bearing account. Discuss how and when the proceeds will be disbursed from the account for program activities. Discuss who will have access to the funds and how the accounts will be monitored and audited. If special banking issues are involved, the applicant should describe any actions needed to safeguard deposits.

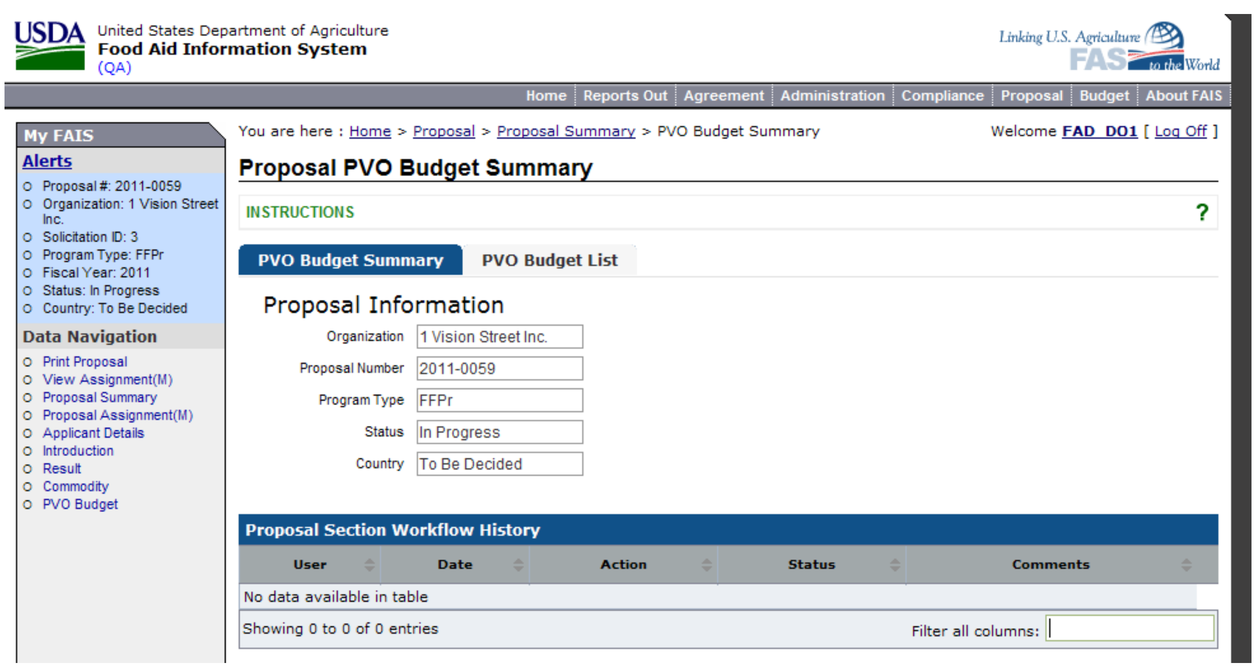
SECTION 8: COMPLETING A PROGRAM BUDGET

The last section of the proposal is the "PVO Budget" section. In FY2012, a full budget submission is required for all proposals. (Note that this guide provides instructions for Private Voluntary Organizations to enter a budget. There is a different entry screen for the World Food Program (WFP), which will only appear for users registered as part of WFP.)

To enter the proposal's program budget, click the "PVO Budget" link on the gray "My FAIS" navigation pane. This will lead you to the PVO Budget section (see screenshot below), which is broken down into two subsections: PVO Budget Summary and PVO Budget List. Applicants can navigate among these subsections by using the tabs at the top of the window.

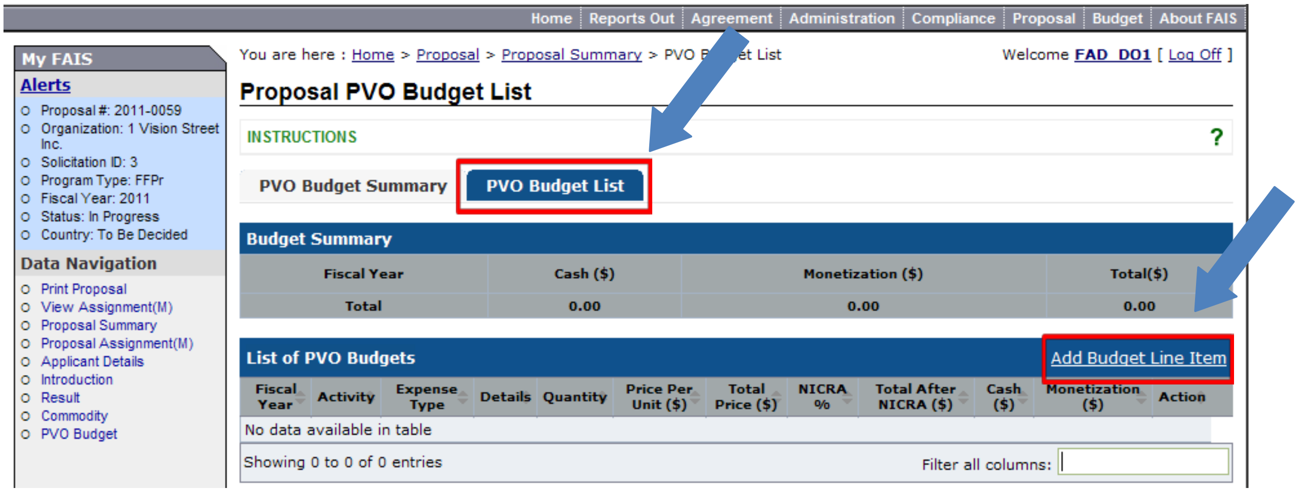
The PVO Budget Summary Tab

To view the PVO Budget Summary, click on the PVO Budget Summary tab on the top of the PVO Budget window. The PVO budget summary tab serves two purposes: it shows general proposal information that is automatically populated and captures the workflow history for the PVO Budget section (in the "Proposal Section Workflow History" table shown in the screenshot below). As applicants work on the PVO Budget section, the workflow history will automatically populate. Please note that it is not necessary for applicants to enter any information in the PVO Budget Summary subsection.

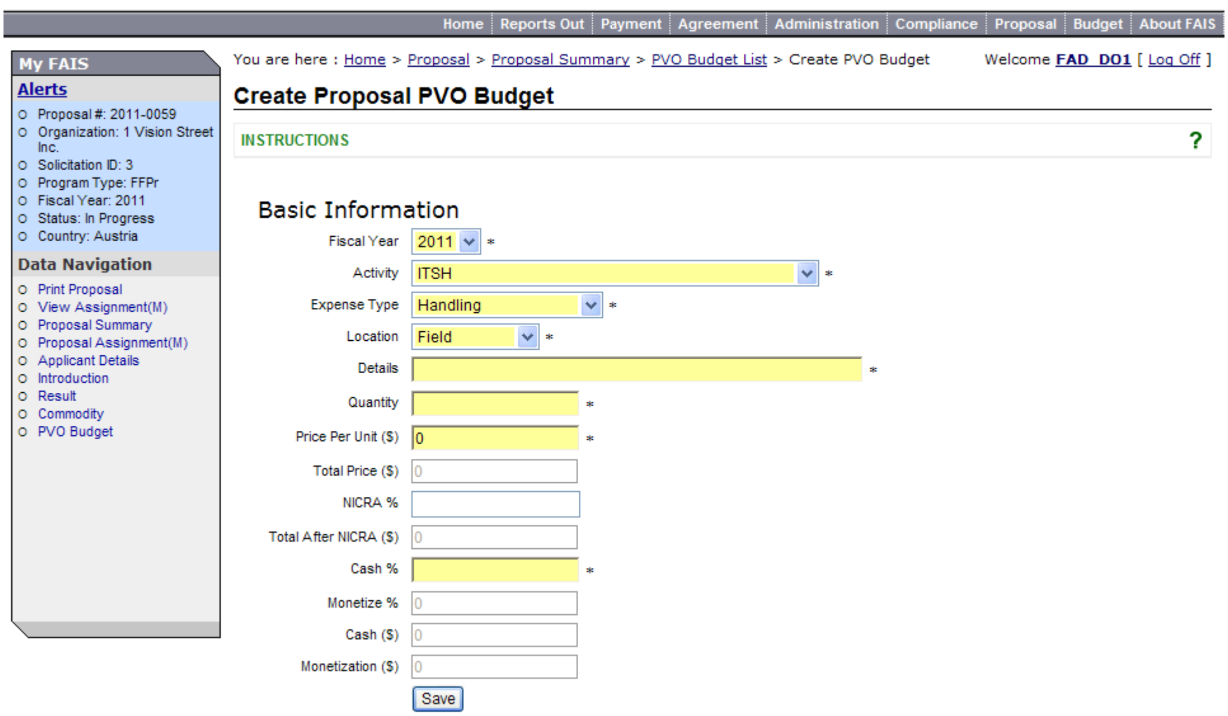


The PVO Budget List Tab

To begin completing the PVO Budget List subsection, click the PVO Budget List tab at the top of the PVO Budget window. (See the screenshot below.)



Select the "Add Budget Line Item" link (see screenshot above) to begin creating your program budget. You will be led to a new window (see screenshot below) when you can enter your first budget line item. (Please note that applicants may only enter one line item at a time.) You must fill in all of the required yellow text boxes displayed in the window, including: Fiscal Year, Activity, Expense Type, Locations, Details, Quantity, Price per Unit, NICRA Percentage, and Cash Percentage. The white boxes in this section will populate automatically based on your entries.



Please note that all expenses in the program budget that support a specific activity should be linked to that activity. The only expenses that should be categorized as “administration” should relate to the entire project (i.e. rent, HQ staff, etc.) and not to a specific activity. Some administrative costs may relate to multiple activities. If this is the case, you should indicate that in your budget by designating a percentage of the expense to each activity that it supports. All participants should be sure to include a line item for the required third party, mid-term and final evaluations. These evaluations should be listed under administrative costs, not broken down among activities.

For Food for Progress proposals: if you are requesting CCC cash funds for administrative expenses, you will need to show the proportion of an expense paid with cash in the “Cash %” text box. What every percentage of an expense that you do not designate using the “Cash %” text box will be assumed to come from monetization proceeds. For McGovern-Dole proposals: most organizations will enter 100 in the “Cash %” box as monetization is rare under McGovern-Dole programs.

Additional Budget Guidance

Any expenses that can be directly and solely attributed to a particular activity should not be itemized as administrative or ITSH, but should be included under the total cost of that activity. Expenses should be itemized as Administrative if any of the following are true:

1. The expense is a **capital purchase** – where the Program Participant (who signs the USDA agreement) retains title;
2. The expense is for **HQ salaries or other related expenses**
3. The expense involves **overall program management or oversight** provided directly by the Program Participant

Please note that this list is not all inclusive.

EXAMPLE: ABC PVO proposes to monetize 5,000 MT of wheat in Moldova at $180/MT, thereby yielding $900,000. ABC wants to establish Rural Farm Bank (RFB), a separate, ongoing rural credit organization apart from ABC PVO, complete with an independent office and staff. ABC s Plan of Operation states that it intends to use the $900,000 as follows:

a) $50,000 will be used to pay trucking costs (ITSH) of getting the commodities from Odessa to Chisinau. (USDA currently does not pay ITSH in Moldova from direct USDA/CCC dollar funds)
b) $50,000 will pay 100 percent of ABC s Project Manager’s salary. He/she will devote 100 percent of his/her time to getting RFB established.
c) $50,000 to equip RFB s office with basic office furniture, a computer, phone, and copier and pay its first year rent. It expects to be self-sustaining in the second year.
d) $40,000 to pay RFB salaries for the first year -- $25,000 for a local manager/loan officer and $15,000 for a receptionist/bookkeeper. Most of ABC PVO s Project Manager’s time will spent training these staff. RFB expects that profits from interest on loans will pay expenses in the second year.
e) $25,000 to pay RFB s miscellaneous office expenses.
f) The remaining $685,000 will be the seed capital for RFB s loans.

In the example above, only ABC PVO Project Manager's $50,000 salary and the $50,000 for internal transportation should be shown as Administrative or ITSH line items of the ABC PVO’s program budget. All of the other expenses should be shown under the RFB activity and in the Plan of Operation, "Use of Monetization Proceeds".

Frequently Asked Questions about FFPr and McGovern-Dole Budgets

Q: What is ITSH?

A: ITSH stands for "Internal Transportation, Shipping, and Handling." It refers to costs associated with the internal transportation, storage, and handling of donated commodities. These costs begin at the point where FAS/CCC delivers the commodities in country and generally include inland rail or truck transportation from the endpoint of the bill of lading to the distribution sites, warehouse rent (at one or various warehouses), and handling (i.e. laborers, repackaging supplies, etc.).

The point where FAS/CCC delivers the commodities for countries with seaport facilities would be the port specified in the agreement between FAS/CCC and the Participant. For landlocked countries, that point would be the initial storage site, or in the case of bulk commodities, the point of initial discharge, as specified in the agreement between FAS/CCC and the Participant.

For Food for Progress, CCC does not provide dollars to pay ITSH, except in countries with urgent and extraordinary relief requirements. CCC does allow Participants to use monetized funds to cover ITSH costs in countries that do not meet the urgent and extraordinary requirements.

Q: What is ICR?

A: "ICR" stands for "Indirect Cost Recovery." ICR is a mechanism that allows a Participant to recover costs associated with running an organization that cannot be directly linked and billed to a specific project.

Q: What is NICRA?

A: "NICRA" stands for "Negotiated Indirect Cost Recovery Agreement." This is an agreement that determines the rate and the base of application for which a Participant can recover indirect costs. FAS/CCC will accept a NICRA rate negotiated by USAID or another U.S. Government agency.

Q: What should a Participant do if it does not have a NICRA?

A: The Participant should inform the Office of the Director of the Food Assistance Division (FAD) in writing that they do not have a NICRA, and USDA will arrange to negotiate the rate. The Participant should notify USDA that they do not have a NICRA as soon as possible, because the negotiation process can be lengthy. A rate of 0% will be used as the default until the NICRA is negotiated.

Q: For what budget items may a Participant apply an ICR?

A: The Participant may apply an ICR on allowable items in accordance with their NICRA.