

DRAFT COPY – FOR PUBLIC COMMENT



SUBJECT: DRAFT USAID/DCHA/FFP Annual Program Statement (APS) No. FFP-11-000001 for International Emergency Food Assistance

ISSUANCE DATE: TBD

The United States Agency for International Development (USAID), Office of Food for Peace (FFP), is seeking comments on the following draft Annual Program Statement (APS). Once finalized, this APS will supersede APS No. FFP-FY-10-001, which was released on April 7, 2010, and has been subsequently amended. This is a draft and is designed to solicit comments and suggestions from interested parties in order to further refine the program description and corresponding APS for emergency food assistance grants. USAID anticipates issuing a final APS within three months from the issuance date of this draft APS.

USAID reserves the right to revise this draft APS based on comments received and/or further internal review, prior to issuance of the final revised APS itself. Issuance of this draft for comment does not obligate USAID to issue a revised APS on this subject or to continue the current APS. All expenses incurred in responding to this request for comment shall be the responsibility of the individual or organization that provides the comments and not USAID.

Please provide any comments and suggestions on this draft APS in writing to efsp@macf.com and FACG@amexdc2.com by within thirty (30) days of its posting.

Thank you for your interest in USAID programs.

The text of the draft APS follows.

I. AUTHORITY AND INTRODUCTION

Any awards issued under this Annual Program Statement (APS) will be made under the Food for Peace Act (FFP Act), the FAA of 1961 (FAA), as amended, or both.

Title II of the FFP Act authorizes the Administrator of the U.S. Agency for International Development (USAID) to establish programs to provide agricultural commodities to foreign countries on behalf of the people of the United States and to provide assistance to address famine and food crises; combat malnutrition, especially in children and mothers; carry out activities that attempt to alleviate the causes of hunger, mortality and morbidity; promote economic and community development; promote food security and support sound environmental practices; carry

DRAFT COPY – FOR PUBLIC COMMENT

out feeding programs; and promote economic and nutritional security by increasing educational, training, and other productive activities.

The FAA authorizes, among other things, the provision of disaster assistance. The Fiscal Year 2011 Congressional Budget Justification included a request for emergency food security funding to be used for cash-based food assistance, including local and regional purchase of food, and other interventions, such as food voucher and cash transfer programs to facilitate the availability of and/or access to food.

USAID's FFP is the U.S. Government leader in international food assistance. FFP manages two programs to support emergency food assistance efforts: the **Title II** program, which provides in-kind commodities and associated costs, and the **Emergency Food Security Program (EFSP)**, which provides cash that can be used for local and regional purchase of food and other interventions such as food vouchers and cash transfers. Title II is authorized by the FFP Act, while EFSP is authorized under the FAA. Both programs provide emergency food assistance to address needs arising from natural disasters, such as floods or droughts, and complex emergencies often characterized by insecurity and population displacement. More information on USAID food assistance programs can be found here:

www.usaid.gov/our_work/humanitarian_assistance/ffp/index.html.

Title II in-kind food aid resources remain USAID's primary mechanism for addressing emergency food assistance needs. To complement Title II resources, EFSP resources may be used when: (1) Title II in-kind food assistance cannot arrive in a sufficiently timely manner through the regular ordering process or through the use of prepositioned stocks; (2) local and/or regional procurement, cash and/or food voucher programs are more appropriate than in-kind food assistance, due to market conditions; or (3) significantly more beneficiaries can be served through the use of local and/or regional procurement, cash and/or food vouchers.

The purpose of this APS is to disseminate the necessary information to enable prospective applicants to apply for emergency food assistance awards using Title II and/or EFSP resources. This APS provides the following: contextually relevant background information; a description of the program objective and types of activities for which concept papers and applications will be considered; a description of the process and requirements for submitting concept papers and applications; the criteria for evaluating and selecting concept papers and applications; and references to relevant documentation available on the internet.

USAID assumes no liability for reimbursing potential applicants for any costs that may be incurred in the preparation and submission of concept papers and/or applications.

USAID reserves the right to issue additional solicitations and/or make awards outside of this APS in order to meet the objectives of FFP.

FFP emergency programs awarded prior to the issuance of this APS must adhere to the requirements of this APS if requesting follow-on awards. Applications under this APS can be for resources through either Title II emergency or EFSP resources or a combination of the two types of resources.

DRAFT COPY – FOR PUBLIC COMMENT

This APS does not apply to Title II non-emergency resources.

This APS does not provide guidance to existing Title II non-emergency (i.e., development) programs on the use of approved non-emergency resources for responding to an emergency. For such guidance contact the program's Agreement Officer's Technical Representative in FFP.

Nongovernmental organizations (NGOs), Private Voluntary Organizations (PVOs) and cooperatives should use this APS for applications requesting Title II emergency and/or EFSP resources.

Public International Organizations (PIOs) should use this APS for applications requesting EFSP resources and may opt to use it to request Title II emergency resources.

Unless otherwise noted, all sections of the APS are applicable to both Title II emergency and EFSP resources.

USAID anticipates issuing amendments or addenda to this APS to request concept papers or applications for specific emergencies. To receive e-mail notifications when addenda are issued to this APS, see Section III.B (*Schedule*).

Awards will be made and administered in accordance with applicable laws and regulations, including the FAA, the FFP Act, U.S. Government regulations, USAID policies and procedures and any actual award made under this APS, including USAID Standard Provisions, which are available on the USAID website (<http://www.usaid.gov/pubs/ads>). The awards will be administered under 22 C.F.R. 211, 22 C.F.R. 216, 22 C.F.R. 226, OMB Circulars, USAID Standard Provisions, and FFP information bulletins, as applicable.

Notwithstanding the foregoing, or other provisions of this APS, USAID reserves the right to make awards to public international (intergovernmental) organizations on different terms and conditions than to those made to nongovernmental organizations, private voluntary organizations and cooperatives and to require different documentation prior to, or as a requirement under, an award.

Please refer to Section X (*Award Administration and Relevant Websites for Reference*), for a more comprehensive list of references.

II. SPECIFIC PROGRAMMATIC GUIDANCE

A. Program Objectives and Scope

The objective of FFP is to reduce food insecurity among vulnerable populations. Through its Emergency Programs, FFP meets this objective by providing food assistance to save lives, reduce suffering, and support the early recovery of populations affected by emergencies. FFP seeks to address the highest priority immediate emergency food assistance needs. FFP responds

DRAFT COPY – FOR PUBLIC COMMENT

to emergency situations, or crises, where the food supply in part of or all of a country is severely disrupted, resulting in populations not having access to sufficient food through the means normally available to them (e.g., production, barter, purchase in markets, etc.) Such situations may involve drought, floods, earthquakes and/or civil conflict. Only in very extreme circumstances would responses to an economic shock (e.g., rise in food prices due to global price increases, reduced remittances due to a recession) not related to the aforementioned situations be eligible for funding under this APS. Such economic shocks may, however, be considered aggravating factors when determining food aid needs in response to the aforementioned situations. FFP emergency resources are prioritized for use in relief activities that address acute needs as well as early recovery activities. For the purposes of this APS, FFP defines *relief* and *recovery* activities as follows:

- **Relief** - Activities that meet the immediate, life-saving food assistance needs of populations directly affected by an identifiable shock, or protecting livelihoods from further degradation. Typical activities may include direct food assistance through blanket or targeted rations to affected populations (particularly women and children, who have additional vulnerability in most emergency situations due to their status) and therapeutic and/or supplementary feeding to acutely malnourished individuals.
- **Recovery** - Activities implemented for a specified, appropriate timeframe that assist populations recovering from an identifiable shock and, if possible, place them on a trajectory that facilitates their return to at least a subsistence level and capable of participating in development activities. Typical activities may include provision of “seed protection” food rations for the planting season and food or cash for work to restore livelihood assets eroded by the shock.

Given that emergency resources are limited, priority may be given first to life-saving relief interventions, and then to early recovery activities.

For Title II, applicants must request commodities on FFP's commodity list, which can be found at: http://www.usaid.gov/our_work/humanitarian_assistance/ffp/crg/sec1.htm.

For EFSP, local and regional procurement of commodities is subject to limitations in the FAA and USAID regulations and policies. Generally, assistance may be provided to, and locally or regionally procured food commodities may be purchased from, countries listed in the Official Development Assistance recipients list of the Organization for Economic Co-Operation and Development (OECD) Development Assistance Committee (DAC) as referenced in Section VII.A.1. The DAC list of Official Development Assistance recipients can be found at the OECD website: www.oecd.org/dac/stats/daclist. EFSP applicants should select local and regional commodities similar to those available for Title II programs. Commodities that are not similar to those available under the Title II program may be approved on a case-by-case basis.

Eligible Food Assistance. Under this APS, FFP has identified four different modalities towards providing the most appropriate and effective emergency food assistance response.

Modality for Title II In-Kind Emergency Food Aid Resources:

DRAFT COPY – FOR PUBLIC COMMENT

- **Title II in-kind food aid** – the provision of U.S. food commodities procured through the regular ordering process or drawn from pre-positioned stocks, with associated costs, as determined by FFP, to food insecure beneficiaries in the affected country.

Modalities for EFSP Resources:

- **Local and regional procurement** – the purchase of food commodities within a country affected by an emergency, or the purchase in another country in the region for use in the affected country.
- **Cash transfers** – the provision of cash to food insecure beneficiaries who lack economic access to food stocks that are readily available in the local markets of the affected country.
- **Food vouchers** - the provision of vouchers that are redeemable for food to food insecure beneficiaries who lack economic access to food stocks that are readily available in the local markets of the affected country.

Monetization of commodities will typically not be permitted under this APS. However, on an exceptional basis, applicants may propose a Title II-funded market access program activity for review and consideration. For additional information on market access programs, see http://www.usaid.gov/our_work/humanitarian_assistance/ffp/map_field_manual.pdf.

B. Program Duration

Resources available under this APS are meant to address immediate emergency relief and early recovery food aid needs. Therefore, programs of up to 12-months in duration may be appropriate, but such a duration must be justified. In exceptional circumstances, USAID may extend programs for a cumulative period of up to 24 months in duration if strongly justified based on the appropriateness of the proposed intervention and/or the significant cost savings of the proposed intervention. USAID anticipates that programs justifying the use of EFSP resources on the basis of timeliness will not exceed the amount of time it would take for Title II in-kind food aid to arrive.

C. Anticipated Funding Availability

Absent exceptional circumstances, USAID anticipates that most emergency food assistance awards will not exceed \$30 million for any one award. Title II awards may exceed \$30 million. This level of funding is provided for planning purposes only. Program applications can be submitted above or below this dollar amount, and will be considered based on the strength and appropriateness of the applicant's proposed program.

D. Cost Share

No cost share is required.

E. Anticipated Number of Awards

USAID plans to make multiple awards in the form of grants and/or cooperative agreements under this APS. Nevertheless, USAID reserves the right not to make any awards at all or to limit the number of awards made to a particular region or country. There is no limit regarding either

DRAFT COPY – FOR PUBLIC COMMENT

the number of applications that an organization may submit or the number of awards FFP may approve for a given region or country or to a specific organization.

III. SELECTION PROCESS AND SCHEDULE

A. Selection Process

Award approval authority rests with USAID's Office of Acquisition and Assistance (OAA) for EFSP awards and with the Office of Food for Peace for Title II awards. Award determinations are made by the respective Office's Agreement Officer based on the outcome of a Technical Evaluation Committee's (TEC) review of each application.

USAID approval of a program with both Title II and EFSP resources will result in USAID issuing two awards – one award for the Title II component and one award for the EFSP component.

USAID requires applicants to submit a brief concept paper, prior to submitting a full application. Applicants may submit concept papers for programs requesting funding from Title II only, EFSP only or from both Title II and EFSP, as warranted. Applicants need only submit one concept paper, even if they are requesting both Title II and EFSP resources. Concept papers will be reviewed as they are received by USAID to quickly determine whether USAID would consider supporting the applicant's proposed program. A concept paper will be approved and result in an invitation to submit a full application under the following evaluation criteria:

1. the applicant adequately justifies the need for emergency food assistance in accordance with the APS, and
2. the proposed programmatic approach on its face is technically sound and without significant problems that would render the application highly unlikely to be funded, and
3. funding this food assistance pipeline or program is advisable at the time and, ideally, consistent with overall food assistance programs and coordination in the country.

If all three conditions are met, USAID will decide whether to allocate resources for the proposed response based on a number of factors, including: the current and planned level of U.S. Government support for the emergency, the availability of Title II and EFSP resources, other current and projected emergency food assistance needs, and the availability of U.S. Government pre-positioned food aid commodities.

If applicants successfully meet the three conditions listed above and resources are allocated for the proposed response, applicants will then be requested to submit full applications for the proposed program(s) (or portion(s) thereof). For those concept papers seeking both EFSP and Title II resources, USAID may determine that the concept paper successfully meets the three conditions for funding from one resource but not the other and thus USAID may subsequently request an application for only one of the two resources requested.

DRAFT COPY – FOR PUBLIC COMMENT

If, as a result of submission and review of a concept paper, an applicant is not invited to submit a full application, any re-submission by that applicant of another concept paper for the same program (e.g., same shock, same beneficiary population, same geographic area, same emergency needs, etc.) will only be considered under exceptional circumstances. Similarly, if an applicant's full application is not recommended for funding, re-submission of another concept paper for the same program (e.g., same shock, same beneficiary population, same geographic area, etc.), by the same applicant, will only be considered under exceptional circumstances.

The request for a full application is not a commitment by USAID to fund the proposed program (or portion thereof). The decision to submit a full application is at the applicant's sole discretion. USAID reserves the right to reject an application without evaluation if the assumptions and/or circumstances underlying the approval of the concept paper have changed significantly. Therefore, applicants are urged to submit full applications within two weeks of being invited to do so.

Applicants shall be requested to submit full applications for programs requesting Title II resources only, EFSP resources only, or a combination of both resources, depending on which food assistance modalities USAID approved at the concept paper stage. While the basic format and requirements are the same for applications for both scenarios, there are some differences. To expedite processing of awards, USAID requests that applicants provide information specifically required for each resource as stated in Section IV.B. Applicants need only submit one application, even if they are requesting both Title II and EFSP resources.

Full applications will be evaluated on a rolling basis in accordance with the criteria set forth in Section V (*Evaluation Criteria*), below. After evaluation of the applications, either an award decision(s) will be made, or, if deemed necessary, written and/or verbal discussions/negotiations will be conducted with applicants that submit the most highly-rated applications. After the conclusion of any such discussions/negotiations, such applicants will, unless otherwise advised, be required to submit revised applications, which will be re-evaluated against the criteria set forth in Section V below. If necessary, USAID may conduct more than one round of discussions/negotiations and request more than one revised application.

The application process has been designed to minimize the time needed for award approval. While there is no time limit or approval deadline associated with the APS application review process, USAID will make award decisions as quickly as possible.

B. Schedule

This APS is open from the time it is posted until September 30, 2011. Pending funding availability, concept papers will be accepted through August 31, 2011. USAID intends to review applications as they are submitted, but USAID may issue amendments or addenda to this APS to request concept papers or applications for particular countries or regions of interest. USAID will post amendments or addenda to [Grants.gov](http://www.usaid.gov) (organizations may sign up to receive notifications of changes), and to the FFP Emergency Food Assistance website (http://www.usaid.gov/our_work/humanitarian_assistance/ffp/efa.html) [LINK NOT YET ACTIVE].

DRAFT COPY – FOR PUBLIC COMMENT

USAID may issue amendments or addenda to this APS for other reasons, such as to establish deadlines or notify interested parties that no further funding is available.

IV. SUBMISSION CONTENT GUIDANCE

Applicants are encouraged to review *Results-Oriented Assistance: A USAID Sourcebook* (<http://www.usaid.gov/pubs/sourcebook/usgov/>), which may prove helpful in preparing concept papers and applications. If the concept paper responds to a rapid onset emergency, FFP recognizes that the estimates may be included which are subject to change and that specific details may be unknown. USAID encourages applicants to submit concept papers as soon as possible and applications, if requested, within two weeks in order to respond in a timely manner. USAID will work with applicants and potential partners to address needed changes should the situation evolve and more information becomes available.

A. Content of Concept Paper (3 pages maximum)

Concept papers should not exceed three pages. Concept papers that exceed this limit may be rejected without evaluation. In addition to concept papers, applicants should submit one 1-page resource request table that includes EFSP resources and/or Title II resources, as applicable. Applicants should also submit a map of the proposed target area(s). Applicants must provide the requested information and may use the resource request table templates, which can be found on the USAID/DCHA/FFP Emergency Food Assistance website at http://www.usaid.gov/our_work/humanitarian_assistance/ffp/efa.html [LINK NOT YET ACTIVE]. USAID understands that the information in the concept papers will be preliminary and may change in the final application.

Concept papers should include organizational information, and preliminary technical and budget information, as follows:

1. Identification

- (i) Name and address of organization;
- (ii) Type of organization (e.g., NGO, PIO and whether local, American or international);
- (iii) Contact information for authorized representative of the applicant organization (name, title, phone and e-mail);

2. Technical Information

- (i) Emergency Description. Describe the specific emergency, in terms of the definition as given in Section II.A, to which the organization plans to respond. Provide additional description, as needed, which supports the need for

DRAFT COPY – FOR PUBLIC COMMENT

emergency food assistance (e.g., impact of the shock on food availability, food access, market prices and/or household assets.) Please attach a map that highlights the proposed geographic target region(s). If the concept paper proposes to supplement or replace an existing food assistance program or appeal targeting similar beneficiaries or regions, the concept paper should identify the existing program, the estimated food aid requirements for the population in need, and the emergency needs to be addressed with resources provided under this APS.

- (ii) Program Summary.** Provide the number of beneficiaries, duration of proposed program, and distribution method (e.g., targeted, general distribution, food for work, targeted supplementary feeding, etc.). Provide a description of the proposed beneficiaries and an explanation of any gender-specific food assistance needs and/or differing impacts of the food assistance on men and women. Explain how the organization has assessed or will assess these different impacts and how the organization proposes to both mitigate these impacts and monitor the outcomes of their actions.
- (iii) Rationale.** Identify and provide justification for the proposed emergency food assistance modality (or modalities). If requesting Title II resources, please explain why in-kind food aid commodities are appropriate. If requesting EFSP resources, using one or more of the three rationales listed below, explain why this resource is appropriate.

 - (A) Appropriateness –** Local procurement, regional procurement, cash and/or food voucher programs, due to market conditions, are more appropriate than Title II in-kind food aid to address specific emergency food security needs;
 - (B) Timeliness -** Title II food aid cannot arrive in a sufficiently timely manner through the regular ordering process and/or prepositioned stocks are unable to address urgent emergency needs;
 - (C) Cost-effectiveness* -** In certain cases, significantly more beneficiaries can be served through the use of local procurement, regional procurement, cash and/or food vouchers.

If requesting both Title II and EFSP resources, in addition to the above, please explain how the two will complement each other.

*Note: If justifying the use of EFSP resources based on the cost-effectiveness, compare anticipated commodity and ocean freight costs with those used for Title II purchases using the Title II commodity calculator, which can be found here: http://www.usaid.gov/our_work/humanitarian_assistance/ffp/impletool.html. Applicants may need to include other cost factors such as inland transport, shipping, handling, and administration in order to conduct a complete cost-effectiveness analysis.

DRAFT COPY – FOR PUBLIC COMMENT

USAID may identify other context-specific conditions that may justify using EFSP or Title II resources under this APS.

- (iv) Procurement. If commodities are to be procured locally or regionally, identify which commodities, the country of origin as well as the country of purchase for the commodities and the expected timeline from tender to date of procurement to possession by awardee in country of distribution to receipt by beneficiary population. Please ensure that the proposed timeline is realistic and appropriate for the situation.

3. Cost Information

Provide the estimated cost for the entire program (or modification to an existing program). Disaggregate the estimated cost per metric ton for each commodity, and for the same commodities with different origins. Provide the total dollar amount of cash transfers or food vouchers to be distributed, as applicable. Include management, monitoring, and other direct costs as well as indirect costs in the budget. Total funding requested for the resource request table(s) should equal the total funding level requested in the concept paper narrative. If the applicant is requesting both Title II and EFSP resources, the applicant should disaggregate cost estimates by modality as in the recommended resource request table: one for Title II resources using the commodity calculator, including applicable ITSH and Section 202(e) estimated funding requests, and one for EFSP resources.

B. Content of Applications (15 pages maximum)

Applications should include the following:

- 1. **Program Overview Table.** Applicants are encouraged to fill in and submit the following table with their application. Applicants are encouraged to supplement the table with additional relevant information.

Program Overview Table

Applicant					
Country and Region(s) (in the country)					
Program Title (if applicable)					
Total Funding Level Requested					
Start and End Date of Grant					
	T2	LP	RP	CT	FV
Resources Requested by Intervention(s) in USD (T2 – Title II*, LP – Local Procurement, RP – Regional Procurement, CT – Cash Transfer, FV – Food Vouchers)					
Number of Beneficiaries (per intervention)					
Cost per Beneficiary (per intervention)					

DRAFT COPY – FOR PUBLIC COMMENT

Brief Description of Each Activity (e.g., food/cash for work, targeted supplementary feeding, etc. and timelines, as appropriate, for each activity disaggregated by EFSP/Title II funding, if applicable)	
---	--

*For Title II, consider Commodity Cost and Freight (C&F), along with any required ITSH and Section 202(e) funding.

2. Program Justification. Briefly describe the shock or trigger event of the emergency, include a description of the gender implications of the shock or emergency (e.g., drought, flood), identify the geographic area (e.g., three districts in X country), the total number of people affected (e.g., 25,000 people), and how many affected people will be served through this program. Explain the assessment methodology and justify why food assistance is needed. If a published assessment is used (e.g., United Nations (UN) appeal), cite the source. (Note: The Program Justification should not incorporate a comprehensive history of the country or region.) If the application proposes to supplement or replace an existing food assistance program or appeal targeting similar beneficiaries or regions, the application should identify the existing program, the estimated food aid requirements for the population in need, and the emergency needs to be addressed with resources provided under this APS.

For programs requesting EFSP resources, provide the justification(s) for the proposed food assistance modality (modalities) through the appropriateness, timeliness, and/or cost-effectiveness justifications as defined in Section IV.A.2.(iii) (*Rationale*).

- (i) If justifying use of EFSP resources based on the appropriateness rationale, provide assessments or analyses to support the justification. If requesting funding for cash transfers or food vouchers, explain why these relief mechanisms are more appropriate than in-kind food distributions (e.g., local markets are functioning, beneficiaries have access to markets, etc.) If applicable, note the existence of security risks associated with cash transfers and/or food vouchers, and how they will be addressed/managed.
- (ii) If justifying use of EFSP resources due to timeliness, estimate the expected time required from (1) donor-signed agreement to tender; (2) tender to procurement; (3) procurement to possession by awardee in country of distribution; and (4) possession to beneficiary distribution. Include separate timeline(s) if using food voucher and/or cash transfer(s). A simple table comparing timelines for each stage is useful and recommended.
- (iii) If justifying the use of EFSP resources based on the cost-effectiveness rationale, compare anticipated commodity and freight costs with those that are in effect for Title II using the Title II commodity calculator, which can be found here: http://www.usaid.gov/our_work/humanitarian_assistance/ffp/impletool.html. Identify the additional number of beneficiaries that can be provided food aid per month for the duration of the program proposed under this APS if local and regional procurement is used versus Title II food aid. Applicants may assume

DRAFT COPY – FOR PUBLIC COMMENT

and should state that inland freight, distribution, and program costs would be the same under both Title II and local/regional procurement options. If there are differences in these costs under the two options, the application should explain the differences.

3. Program Design and Description. If the application proposes a program revision or supports an appeal already approved and funded by FFP, identify the program and any changes to the composition of the beneficiaries, the food ration, the distribution method, the timeline and/or the implementing partners. If requesting both Title II and EFSP resources, the applicant must outline how the different food assistance modalities will complement one another in addition to providing the following information:

- (i) **Beneficiaries.** Provide a breakdown and description of the target beneficiary group(s) (e.g., sex, households, pregnant and lactating women, children six months to 18 years old). Provide a rationale for the selection of males and females, both within a household and the larger community, which demonstrates a knowledge and understanding of gender considerations in beneficiary targeting. Applicants should also provide a rationale for any other targeting criteria (e.g., explain any targeting decisions based on age, nutritional status, status as refugee or internally displaced person, etc.). Describe the methodology used and percentage of people targeted (e.g., why only some of the people affected are targeted), and estimate the total number of beneficiaries (individuals) who fall into the following categories: refugees, internally displaced persons, and other.

Provide an estimated cost per beneficiary figure, calculated by dividing the total program costs (direct and indirect costs) by the number of beneficiaries.

- (ii) **Geographic Targeting.** Identify the proposed target region(s) for all activities. For programs proposing interventions in multiple regions, please provide a breakdown of the aforementioned beneficiary groups for each region. Include a map that identifies the region(s) in which the applicant is proposing to work.
- (iii) **Ration.** Describe the food ration composition (food commodity type and quantity) per individual and beneficiary group. If the proposed food rations support more than one activity or are distributed by more than one agency in the country, discuss whether and how the food rations are complementary and/or coordinated with one another. Estimate what percentage of kilocalories required the food ration is designed to meet, for which target populations, for how long and explain why it was selected. For cash transfer or food voucher programs, applicants should provide the estimated monetary and purchasing power value (in terms of food commodity quantities) of the assistance per beneficiary and/or household. For food voucher programs, include every product or good that would be redeemable with the food voucher and provide a justification for why that product or good was selected. Describe any potential gender issues related

DRAFT COPY – FOR PUBLIC COMMENT

to cash or voucher programs and how the organization has assessed, will assess and intends to address any of these issues.

- (iv) Distribution Method.** Identify and justify the distribution method(s) for each food assistance modality and any conditions for beneficiaries to receive the food assistance. Demonstrate how the proposed distribution method(s) has/have taken into consideration the needs of men and women, boys and girls and effects on the roles of men and women within the political and social context of the target region. Discuss potential changes in gender power dynamics from the food assistance distribution method. For food aid programs, describe which distribution method will be used, such as general distribution, supplementary feeding, food for work, and others and how many distributions will take place. For cash transfer and food voucher programs, include how cash/vouchers will be distributed as well as the frequency of distributions, and the controls in place to prevent diversion of cash, counterfeiting of food vouchers, and diversion of food voucher reimbursement funds. For food voucher programs, provide details such as type of voucher (cash- or commodity-equivalent), vendor selection processes and price negotiation (if any), and vendor convenience factors such as denominations of vouchers, expiration dates (if any) and estimated average distance and travel time between beneficiaries and vendors as well as any gender issues associated with these distributions. If the food assistance modality (in-kind food aid vs. cash/vouchers) will change during program implementation, provide a preliminary indication of when the modality will change.
- (v) Exit Strategy.** Briefly describe the rationale for the proposed program duration and describe the exit strategy for the program based on the anticipated food assistance needs and the proposed timeline of activities.
- (vi) Partners.** Identify partners (including sub-awardees) and their respective roles (e.g., targeting, distribution). Partners should demonstrate their understanding of gender integration and equality in relation to this program and organization should describe how capacity will be improved if necessary. If the applicant intends to work with the host government, describe the nature and history of the relationship with the government and the government's roles and responsibilities.
- (vii) Protection.** Applicants should demonstrate that due consideration has been given to ensuring the security and protection of women, the disabled, elderly persons and children, especially with respect to: timing and location of distributions; amount of food or cash or value of vouchers of which beneficiaries will take possession; person(s) responsible for pickup; distance to distribution sites, etc. Applicants must demonstrate intent to avoid and/or mitigate any gender-based violence within program activities and as a result of the proposed food assistance. Identify the security measures in place to protect beneficiaries

DRAFT COPY – FOR PUBLIC COMMENT

and staff who are managing or receiving emergency commodities, cash, and/or vouchers.

- (viii) Coordination. Provide a brief description of the geographic or sector-specific division of food security programming among NGOs, UN agencies, host government authorities and others to demonstrate that the applicant's program will not overlap with those of others, and identify gaps in the areas between those of the applicant and others. Describe complementarity between the proposed program and existing food assistance programs in the country, particularly with Title II programs.
- (ix) Monitoring and Evaluation Plan. Describe the monitoring and evaluation system, including who will be responsible for data collection and what indicators will be used. Applicants should address how program adjustments will be made to the program as the emergency evolves. Applicants must submit a results framework and associated indicators that demonstrate impact, outcomes and outputs of proposed activities. Please see Section VIII (*Post-Award Reporting*) for minimum monitoring and reporting requirements. USAID encourages applicants to propose and incorporate additional appropriate and relevant indicators in their results framework.
- (x) Market Impact. Submit a market impact analysis regardless of how/whether commodities will be supplied or whether or not cash transfers will be used and/or food vouchers will be issued. To assist in developing an analysis, USAID recommends consulting FEWS NET (at <http://www.fews.net/Pages/markettrade.aspx?l=en>) and using market assessment tools such as
- MIRIFA, or Market Information and Food Insecurity Response Analysis (<http://www.basis.wisc.edu/ept/barrett%20background%20food%20security.pdf>),
 - EMMA, or Emergency Market Mapping and Analysis, (http://www.microlinks.org/ev.php?ID=38407_201&ID2=DO_TOPIC),
 - SCP, or Structure, Conduct and Performance Framework, (http://pdf.usaid.gov/pdf_docs/PNADL965.pdf),
 - or other appropriate tools.

In general, the market impact analysis should answer the question: *What impact is the proposed intervention likely to have on the commodity market system in the proposed program location?* This includes an analysis of the current and anticipated future ability of local markets in the program area(s) to provide adequate food supplies at normal price levels.

- (A) For local and regional procurement, provide an analysis of the possible impact on markets in the location of commodity origin and program distribution. The analysis should demonstrate that the proposed program

DRAFT COPY – FOR PUBLIC COMMENT

is unlikely to do discernable economic harm to the market-system actors (e.g., farmers, traders, wholesalers, transporters, retailers, consumers, etc.) in the locations of commodity origin and/or program distribution. Please include the following information:

- Tonnage of commodity to be purchased as a percentage of the total tonnage produced (in location of origin) and consumed (in location of distribution). Please provide data at the relevant geographic level (e.g., by region or province, rather than country-level data, when this is available) and over the relevant time period. For example, for a distribution of two-month rations, compare this to the typical amount produced/consumed during a two-month period, not per year. Applicants must demonstrate how the program will take into consideration seasonal fluctuations in agricultural harvests, labor markets and food commodity prices.
 - Commodity prices and any major price trends globally as well as in the locations of commodity origin for EFSP and in locations of food distribution for both Title II and EFSP programs.
 - Any major supply constraints globally and/or in the location of origin that may affect the proposed program (e.g., other large procurements, a bad harvest, import tariffs, restrictive trade policies).
 - Any issues with competition at different levels of the market system, and whether the proposed program will negatively impact the market dynamics (e.g., by increasing the power of a few large producers at the expense of smallholders).
 - Any possible negative impact on stakeholders (e.g., traders, wholesalers, transporters, retailers, consumers) if in-kind commodities will be provided, either through Title II and/or local/regional procurement,
 - Any positive impacts that the proposed intervention may have, either in the location of commodity origin or of program distribution.
- (B) For cash transfer and food voucher programs, provide an analysis of the relevant commodity market(s) in the program location. The analysis should demonstrate that vendors can respond to the increased demand that the cash/voucher program 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 program. In order for cash or voucher programs to work successfully, food supplies in the market must already meet or exceed demand and demand should be the primary constraint to food security. The analysis should include information such as: vendors' normal sales volume and expected increase in volume due to the program; typical stocks/inventory quantity and adequacy of storage; approximate number of vendors in the program area; vendors' ability and willingness to increase supply in response to the proposed program; and

DRAFT COPY – FOR PUBLIC COMMENT

any constraints in the supply chain (such as transportation of commodities or an expected shortage) that would affect the proposed program.

Applicants must demonstrate how the program will take into consideration seasonal fluctuations in agricultural harvests, labor markets and food commodity prices.

- (C) For Title II distribution programs, independent market analysis is encouraged, but it should not be used if it will delay the submission. Note that for an initial Title II emergency program, the applicant must provide information that will inform the decision of the USAID Mission in making the Bellmon determination (specifically discuss effect on market, adequate storage and transportation, etc.) The use of existing analyses, reports and data sets along with qualitative information is encouraged. For example, under Title II non-emergency programs, the Bellmon Estimation Studies for Title II (BEST) Project is conducting independent market analyses in select countries to ensure that the Bellmon Amendment requirements are met. These documents are located on the FFP website and may be useful to emergency programs:

http://www.usaid.gov/our_work/humanitarian_assistance/ffp/bellmonana.html.

4. Management and Logistics. This section should demonstrate the capabilities of the organization to execute this program based on staffing, infrastructure, and logistical arrangements. Successful applicants will be able to succinctly describe how each major step of the program implementation will be achieved.

- (i) **Management.** Include a full description of the management structure of the proposed program, including any consortium arrangement, and detail any relationships with anticipated sub-awardees or sub-contractors, or the local and/or national government. Specifically, if implementation will be done through a consortium or any potential sub-awards or sub-contracts, include an explanation of the scopes of the proposed activities, the individuals or organizations responsible, and why they are being selected. If the applicant proposes a consortium or any sub-awards, applicants should include signed “letters of commitment” from consortium members or sub-awardees in an annex and refer to these in the application text.
- (ii) **Staffing.** Provide a list of key personnel (if known) or key positions anticipated for the proposed program. If possible, indicate the experience that key staff has with gender audits and gender integration into programs. Identify which personnel (or positions) will require new staff and which will be served by staff already hired. Describe the interaction with any local organizations and how the capacity of those organizations will be supported or built over the life of the program. If appropriate, include an organizational chart to show how the project will be managed and staffed.

DRAFT COPY – FOR PUBLIC COMMENT

- (iii) Logistics. Briefly describe the logistical assets, arrangements and infrastructure for the procurement, transportation and storage of the commodities that the program will utilize (e.g., ports, roads, rail, transport, storage facilities). (Note: This section does not need to be extensive. The objective is to demonstrate that the assets, arrangements and infrastructure are/will be available to meet rapid response programming requirements. For example, has the applicant considered and worked through the issues pertaining to the use of commodities, i.e., whether the host country government will permit the entrance and use of regionally purchased food commodities or Title II commodities?)
 - (A) Activity Timeline. Identify the proposed program start date and end date. Provide a detailed timeline for all stages of procurement of commodities, including but not limited to the tender, purchase, transport, storage, delivery and distribution. Identify when commodity, cash or voucher distributions would start and end. Provide a separate timeline for each modality (Title II commodities, locally/regionally procured commodities, cash transfers, food vouchers.) (For cash transfers and vouchers, this would include drafting and printing of vouchers, agreements and/or contracts with participating financial institutions and/or vendors, scale and frequency of cash/voucher distributions, how/when the distributions are tied in to activities such as cash for work/vouchers for work, voucher reimbursement timelines for vendors, etc.) Applicants will be evaluated on their understanding of all the logistical considerations.
 - (B) Commodity Procurement Table. For local and regional procurement programs, include a table detailing the intended commodity procurement, including source and destination countries and estimated commodity cost per metric ton. Describe the procurement modality (e.g., warehouse receipt program, forward contract, etc.). Note that it is the responsibility of the awardee to develop contractual arrangements in accordance with U.S. laws and regulations. Also detail anticipated shipping method, dates of departure from the country of origin, arrival in the country of distribution as well as down to the beneficiary level(s). With reference to Section VII (*Local and Regional Commodity Purchase Requirements for EFSP*), the applicant must identify the source/origin of locally and/or regionally procured commodities and the nationality (modalities) of the commodity supplier(s). In selecting commodities for distribution, it is incumbent upon the awardee to balance the need for a timely emergency response and the appropriate mix of commodities. If the applicant anticipates purchasing commodities from a foreign government entity, the applicant must include the name of the entity and associated government and demonstrate that the estimated purchase price is a fair-market price.
 - (C) Commodity Safety and Quality Assurance. Title II commodities are subject to USDA safety and quality assurance inspections.

DRAFT COPY – FOR PUBLIC COMMENT

Locally/regionally procured commodities under EFSP must also meet safety and quality standards.

For local and regional procurement through EFSP: All bulk grains, legumes, and pulses must meet recipient country food safety standards. If the recipient country does not have food safety guidelines for grains, legumes, and pulses, then awardees must adhere to the Codex Alimentarius Recommended International Code of Practice: General Principles of Food Hygiene CAC/RCP 1-1969 Rev 4 - 2003 including *Annex Hazard Analysis and Critical Control Point (HACCP) System and Guidelines*. All processed foods, fortified blended foods, and enriched foods shall comply, in terms of raw materials, composition, or manufacture, except when specified otherwise in the award, with the Codex Alimentarius Recommended International Code of Practice: General Principles of Food Hygiene CAC/RCP 1-1969 Rev 4 - 2003 including *Annex Hazard Analysis and Critical Control Point (HACCP) System and Guidelines*. All cereals and cereal product commodities must be tested for aflatoxin and have moisture content certified. The maximum acceptable total aflatoxin level is 20 parts per billion (the US Food and Drug Administration action level for aflatoxin in human foods). In addition to the local country requirements or Codex Alimentarius standards, as applicable, all commodities must meet the specifications, nutritional, quality, and labeling standards of the recipient country. Awardees are required to contract established inspection services prior to shipment and distribution and retain a copy of each certificate for their records. Expenses for commodity safety and quality assurance inspections should be included in the application budgets.

See the FFP Commodity Reference Guide (http://www.usaid.gov/our_work/humanitarian_assistance/ffp/crg/) for commodity content statistics, information on proper commodity storage, and other information. For additional information regarding aflatoxin, see the USDA Aflatoxin Handbook (<http://www.gipsa.usda.gov/GIPSA/webapp?area=home&subject=lr&topic=hb-afl>). Organizations in the food procurement chain are encouraged to model their food safety management systems after ISO 22000:2005 standards, but compliance with those standards is not mandatory.

The following documents are recommended guidance for programs that specifically target infants and young children as beneficiaries:

Guidelines on Formulated Supplementary Foods for Older Infants and Young Children CAC/GL 08-19911
www.codexalimentarius.net/download/standards/298/CXG_008e.pdf

Codex Standard for Processed Cereal-based Foods for Infants and Young

DRAFT COPY – FOR PUBLIC COMMENT

Children CODEX STAN 074-1981, REV. 1-2006

www.codexalimentarius.net/download/standards/290/cxs_074e.pdf

Regarding food voucher programs, it is expected that commodities purchased by beneficiaries with food vouchers financed under an EFSP award will meet the commodity standards of the recipient country.

- (D) Note that procurement strategies should not jeopardize the key emergency response priorities noted in this APS. Applicants must ensure that procurement strategies are well planned in order to avoid unnecessary delays in the delivery of life-saving food.

5. Past Performance. Provide a list of all contracts, grants, or cooperative agreements involving similar or related work that the applicant has undertaken during the previous three years. For applications for EFSP resources, this primarily includes any experience with local and regional procurement, cash transfers, food vouchers, commodity management and other food assistance experience, or, secondarily, experience with emergency programming. This information must include the location and award numbers, if applicable, a brief description of work performed, name of donor entity and points of contact for donor(s) with current phone numbers and/or e-mail addresses. Applicants may attach this information as an appendix. List all information in chronological order starting with the most recent.

6. Cost Proposal. All costs must be in U.S. currency. For the EFSP cost proposal, clearly identify the type of emergency food assistance modality proposed (i.e., local procurement of food commodities, regional procurement of food commodities, cash transfers, and/or food vouchers) and break out all costs associated with each modality into separate columns. Title II components do not need to be broken out by intervention. If the applicant is requesting only Title II resources or only EFSP resources, then only *one* cost proposal is required. If the applicant is requesting both Title II and EFSP resources, the applicant should submit *two separate* cost proposals for each, one for Title II resources using the commodity calculator and including applicable ITSH and Section 202(e) funding requests, and one for EFSP resources.

Note: The EFSP cost breakdown by modalities (local or regional procurement, cash transfers or food vouchers) must, when added together, equal the total funding amount requested under EFSP. In other words, all line item costs must be associated with one or more modalities. If the applicant is requesting both Title II and EFSP resources, then the sum of the two cost proposal totals must equal the total requested funding.

Costs should be further classified by food voucher activities, cash transfer activities, commodity procurement, transport, shipping and handling costs, and program activity costs, delineated by resources provided through this APS, non-U.S. Government cost-sharing, if any (see 22 C.F.R. 226.23), other USAID funding broken down by operating unit and type if applicable (e.g., FFP Title II, FFP EFSP, OFDA, etc.), and/or other non-USAID U.S. Government funding, as applicable.

For EFSP, the applicant must pay competitive prices for commodity procurements. To assist in

DRAFT COPY – FOR PUBLIC COMMENT

this analysis, applicants may use comparative or parity price calculations. Applicants shall explain the specific approach to be used to ensure competitive pricing. More information on parity pricing can be found at:

http://v4.fews.net/docs/Publications/MT%20Guidance_Import%20Export%20Parity%20Price%20Analysis_No%201_En.pdf.

Provide a brief narrative justifying all cost items. The financial plan should meet the criteria contained in 2 CFR 230 (formerly OMB Circular A-122), which will be used to determine whether the components of the financial plan are allowable and reasonable. With regard to payment of local government taxes, awardees must comply with allowable cost principles outlined in 2 CFR 230. (Note: This does not apply to PIOs.) Applicants should use the following cost categories in their budget and provide a budget summary table. Other categories may also be included:

- i. International Staff Salaries and Benefits;
- ii. National Staff Salaries and Benefits;
- iii. Total Salaries and Benefits;
- iv. Supplies and Materials;
- v. International Travel;
- vi. Domestic Travel;
- vii. Commodity Procurement, Transportation and Warehousing;
- viii. Total Travel and Transport;
- ix. Capital Equipment;
- x. Consultancy/Technical Assistance/Training;
- xi. Sub-awardee;
- xii. Other;
- xiii. Sub-Total Direct Costs;
- xiv. Indirect/Overhead costs; and
- xv. Grand Total

PIOs may use budget categories used in appeals or other USAID funding requests.

7. USAID Environmental Regulations. 22 C.F.R. 216.2(b)(1)(i) exempts programs funded with International Disaster Assistance (IDA) resources (e.g., EFSP) from meeting USAID environmental requirements (e.g., Initial Environmental Examination, Environmental Assessment, Environmental Impact Statement). Title II emergency programming does not require IEEs in the first year for rapid-onset, slow-onset and/or persistent, complex emergencies. However, if the applicant has previous experience or a food aid program with the same population (regardless of funding source), then an IEE would be required. Applicants are encouraged to assess the environmental impacts (e.g., changes in fuel wood/energy usage) of the proposed program activities and are also strongly encouraged to submit a Rapid Environmental Impact Assessment (Rapid EIA), as outlined in http://www.usaid.gov/our_work/environment/compliance/ane/ane_guidelines/humanitarian_ane.pdf

8. Certifications, Assurances, and Other Statements of Applicant and/or Recipient. Pursuant to ADS 303.3.8, non-PIO applicants are required to submit certain

DRAFT COPY – FOR PUBLIC COMMENT

certifications prior to final grant approval. The templates can be found at: <http://www.usaid.gov/policy/ads/300/303sad.pdf>.

9. Financial Documents. NGOs must submit a copy of the latest Negotiated Indirect Cost Rate Agreement (NICRA) or an indirect cost/overhead rate proposal must be submitted with the application.

10. Federal Forms. NGO applicants must fill out the SF-424 Core Form, Application for Federal Assistance and SF-424 Attachments (SF-424A, SF-424B, SF-424C, SF-424D). These forms are available at: http://www.grants.gov/agencies/aapproved_standard_forms.jsp.

11. Other Documents. It is recognized that, in some programs, identification of specific partners and sub-recipients cannot occur until after award. Therefore, specific delineation of responsibilities and costs of sub-recipients cannot be provided in the concept paper and/or application. However, in many cases, this information is known at the time the concept paper and/or application is being prepared. In order to reduce the administrative burden of obtaining post-award approval for partners, sub-recipients, etc. , and thereby, facilitate program implementation and the achievement of results in the timeframe of the award(s), to the extent possible, applicants are strongly encouraged to identify partnership arrangements in the technical/programmatic and cost/budget/management sections of their concept paper and/or application. Letters of Intent, Letters of Agreement, or Memoranda of Understanding should be included in the application.

Concept papers and applications must be submitted in English. Documentation in other languages may be included as long as there is an English translation. Applications should use Word 2000 or newer and/or Excel 2000 or newer. Other documentation, including the signed certifications and representations (NGOs only) that are required at the time of submission of an application may be provided in PDF format.

USAID encourages PIOs and international NGOs to support, mentor, partner, and collaborate with local organizations. It is the responsibility of applicants to ensure that local partners do not appear on the Excluded Parties List (this includes the U.S. Department of Treasury's Office of Foreign Assets Control "*Specially Designated Nationals and Blocked Persons List*"), which can be found at: <http://www.epls.gov>. Applicants working through local partners must ensure that local organizations have the capacity to carry out the designated components of the proposed program, and should consider a capacity-building component which will leave a lasting impact on local organizations.

C. **Place and Means of Submission**

Concept papers must be submitted electronically to: EFSP@macf.com. If invited to do so, applicants must submit full applications to EFSP@macf.com. Applications can also be submitted via www.grants.gov; however, submission to www.grants.gov is not a requirement. Applications must not be submitted in .zip format; if they are, they will automatically be quarantined by USAID's computer security system.

D. Communications with USAID

Potential applicants shall contact the USAID Agreement Officer for this APS through EFSP@macf.com with any questions or comments about this APS. *Pre-award contact with any other U.S. Government personnel or FFP’s institutional support contractors may result in disqualification of the concept paper or application.*

V. EVALUATION CRITERIA (Full Application)

Concept papers will be reviewed as described in Section III.A above. If a full application is invited, USAID reserves the right to reject an application without evaluation if the circumstances underpinning the approval of the concept paper have changed (e.g., scope or magnitude of the identified emergency, or the level of U.S. Government contribution to an emergency, has changed).

The programmatic and technical aspects of an application will be reviewed separately from the cost proposal. The cost proposal will be evaluated for cost effectiveness, cost realism, reasonableness, allowability, and allocability only if the proposed program successfully addresses the criteria outlined below.

USAID will use the following point system in evaluating the technical criteria:

Technical Evaluation Criteria	Maximum Possible Points
Program Justification	15
Program Design and Description	50
Management and Logistics	25
Past Performance	10
Total Possible Points	100

A. Program Justification will be evaluated based on the appropriateness of the proposed food assistance modality as a response to the described shock or trigger event of the emergency situation [see Section IV.B.2]. For proposed EFSP modalities, please include the justification in terms of appropriateness, timeliness or cost-effectiveness.

B. Program Design and Description will be evaluated based on the extent to which the program will meet the identified emergency needs based on the program design and description of implementation [see Section IV.B.3].

C. Management and Logistics will be evaluated as to the capabilities of the applicant to carry out the proposed program based on staffing, infrastructure and logistical arrangements, including maintaining commodity safety [see Section IV.B.4].

DRAFT COPY – FOR PUBLIC COMMENT

D. Past Performance will be evaluated based on accomplishments, quality of performance as documented in final evaluations or as described by donors or references, and from demonstrated expertise implementing programs similar to the one proposed [see Section IV.B.5].

VI. BRANDING STRATEGY AND MARKING PLAN (BS/MP)

Applicants are required to comply with 22 C.F.R. 226.91 and USAID Acquisition and Assistance Policy Directive (AAPD) 05-11

(http://www.usaid.gov/business/business_opportunities/cib/pdf/aapd05_11.pdf), as applicable, and complete a branding strategy and marking plan (BS/MP) with each award (i.e., Title II and EFSP).

The Branding Strategy and Marking Plan are required for successful applicants only; it is **not** required upon submission of a concept paper or with the initial full application. However, if a full application is requested, the applicant is encouraged to include their BS/MP in the initial submission of the full application. An applicant who chooses not to include their BS/MP with their application will not be penalized during the evaluation process, but should be aware that, if the applicant is an apparently successful applicant, the applicant will be required to submit an acceptable BS/MP as a prerequisite for any resulting award. Because USAID's branding and marking requirements have cost implications, such costs should be included in the application budget even if the applicant does not submit its BS/MP with the application. Exceptions and waivers to USAID Marking requirements may be approved pursuant to conditions set forth in 22 C.F.R. 226.91(h) and (j).

Agency branding and marking guidance, found at the above referenced website, contains instructions on how to prepare the branding strategy and marking plan. Another website (<http://www.usaid.gov/branding>) contains samples of the USAID logo in various formats. Except under limited circumstances, USAID requires the recognition of the contributions of the American people extended under awards, unless otherwise approved.

For EFSP, in addition to standard USAID BS/MP requirements, unless otherwise approved in writing by USAID, all bags for commodities purchased under local and regional procurement must bear USAID Identity (as defined in 22 C.F.R. 226.2), the commodity type and quantity, and the following text: *These commodities are provided by USAID, but were produced in [insert country].* Note: This reference to where the commodities were produced equates with the commodities' country of origin, which may differ from the country of purchase.

For Title II, commodity packaging will be completed in the United States.

VII. LOCAL AND REGIONAL COMMODITY PURCHASE REQUIREMENTS FOR EFSP

A. All Programs

DRAFT COPY – FOR PUBLIC COMMENT

1. Unless otherwise approved by USAID, the source and origin of commodities financed by USAID under local and regional procurement programs, and the nationality of the suppliers of such commodities, shall be in countries on the OECD-DAC List of Official Development Assistance recipients (<http://www.oecd.org/dac/stats/daclist>), excluding the USAID foreign policy-restricted countries listed in 22 CFR 228.03(b) (http://www.access.gpo.gov/nara/cfr/waisidx_10/22cfr228_10.html). The most recent DAC list should be used (i.e., the 2009 list is appropriate until the 2011 list is available). "Source" and "origin" are defined in 22 CFR 228.01. "Nationality" rules are defined in 22 CFR 228.14. When not purchasing locally, first preference will be given to Geographic Code 941. Although eligible under EFSP, Geographic Code 935 will generally be considered only if the commodity is of a type that is not produced in or available for purchase in any country in Code 941 or the cooperating country or if time requirements justify it. Notwithstanding the foregoing, commodity procurements will be subject to all applicable laws and regulations, e.g., Department of Treasury Office of Foreign Assets Control regulations.

2. Under this APS, all applicants (both NGOs and PIOs) proposing USAID-financed ocean shipment of commodities will be required to comply with the U.S. Government Cargo Preference Act as described in ADS 315 (<http://www.usaid.gov/policy/ads/300/315.pdf>).

3. Awardees shall ensure that the commission or fees paid to intermediaries in the transportation procurement process shall not exceed two and a half percent of the transportation cost. Applicants shall provide a detailed description of the costs and structure of the commission or fees to intermediaries for commodity and transportation in the budget narrative.

VIII. POST-AWARD REPORTING

For EFSP, All final programmatic and financial reports are due within 90 days of the end of the program. In addition to the final reporting requirements specified below, brief quarterly performance monitoring reports (based on calendar quarters) are due within 30 days after the end of each quarter, unless the reporting period ends before 45 days from the effective date of the award, or less than one month from the estimated completion date of the award and the award will not be extended. USAID will make program information available to the public as appropriate.

For Title II, reporting guidance can be found on the FFP website under Annual Results Report and applies to emergency and development programs. The Title II closeout guide is recommended for use for Title II emergency programs. Please see http://www.usaid.gov/our_work/humanitarian_assistance/ffp/guide.html

A. Programmatic Reporting

Reporting requirements will be identified in the award. At a minimum, the final report will include the following.

DRAFT COPY – FOR PUBLIC COMMENT

1. All programs:

- (i) Number of beneficiaries targeted and reached, disaggregated by sex and age (<18 and ≥18 years of age).
- (i) Cost per beneficiary (calculated by dividing the total program costs (direct and indirect costs) by the total number of beneficiaries).
- (ii) Description of how program has assessed gender needs and issues and how these needs and issues have been addressed.

2. For EFSP programs with local and/or regional procurement:

- (i) Actual quantity and cost of commodities purchased, by commodity type and origin, compared with costs from the DCHA/FFP commodity calculator, calculated at the time of purchase. The calculator is found at: http://www.usaid.gov/our_work/humanitarian_assistance/ffp/impletool.html. In addition to commodity cost, other costs should be identified (e.g., surveys and fumigation). USAID requests that purchase contract costs be disaggregated in order to reflect commodity costs. If a full breakdown is not possible, USAID requests that awardees provide a commodity price estimate at fair market value at the time of purchase.
- (i) Actual metric tonnage and cost for commodities purchased, by commodity type and origin, compared to planned purchases and tonnage tendered (if there were differences).
- (ii) Actual transport costs, differentiating by ocean freight, inland transportation and internal domestic transportation.
- (iii) Time from (1) donor-signed agreement to tender; (2) tender to procurement; (3) procurement to possession by awardee in country of distribution; and (4) possession to distribution.
- (iv) Prices of the commodities purchased two weeks before and two weeks after the procurement in both the location of commodity origin and location of food distribution. Price determination should be performed for the area (or region if necessary), based on the availability of the most accurate statistics.
- (v) Where applicable, dollar value and metric tonnage of commodities procured from small holder producers, including market identifying information and location of producers.
- (vi) Commodity safety and quality assurance inspection results compared to local country food safety guidance or Codex Alimentarius, as referenced in Section IV.B.3.(iii)(C) (*Commodity Safety and Quality Assurance*). Results must contain

DRAFT COPY – FOR PUBLIC COMMENT

aflatoxin levels and moisture content certification.

(vii) Quantity of commodities lost by commodity type, value and reason of loss.

3. For EFSP programs with cash transfers and food vouchers:

(i) Planned number and value of food vouchers and cash transfers distributed to beneficiaries and number and value of vouchers redeemed by beneficiaries.

(ii) Actual number and value of food vouchers and cash transfers distributed to beneficiaries and number and value of vouchers redeemed by beneficiaries.

(iii) Time from donor-signed agreement to distribution to beneficiaries.

(iv) Price information on key staples in the area of the program, four weeks before the program begins, monthly during the program, and four weeks after the program ends. In reporting price changes over time, comparisons should be made to any regular seasonal changes of prices.

(v) For cash transfer programs, post-distribution surveys to identify how beneficiaries used their additional resources.

(vi) For voucher programs, the types and quantities of commodities the beneficiaries procured using their vouchers.

IX. APPLICANT ELIGIBILITY

A. Eligible Partners

Under this APS, the applicant must be:

1. For Title II Programs

(i) A private voluntary organization or cooperative that is, to the extent practicable, registered with the USAID Administrator, or

(ii) A Public International Organization, such as the U.N. World Food Program.

This includes U.S. and non-U.S. nonprofit organizations (1) as defined in Section 402 of the Food for Peace Act; (2) as described in the Private Voluntary Organization Conditions of Registration on the USAID website:

http://www.usaid.gov/our_work/cross-cutting_programs/private_voluntary_cooperation/conditions.html; and (3) in accordance with ADS 303 (<http://www.usaid.gov/policy/ads/300/303.pdf>).

DRAFT COPY – FOR PUBLIC COMMENT

In addition, USAID may provide Title II resources and agricultural commodities to meet emergency food needs through governments in such a manner and on such terms and conditions as USAID determines appropriate to respond to the emergency.

2. For EFSP Programs

- (i) A U.S. or non-U.S. nongovernmental organization (NGO), or
- (ii) An organization designated by the U.S. Department of State as a Public International Organization (PIO), such as the U.N. World Food Program

An NGO is defined by USAID as any non-governmental organization or entity, whether non-profit or profit-making.

B. Non-eligible Partners

Under this APS, for both Title II and EFSP, USAID will not accept applications from, or provide resources to individuals, foreign governmental entities, parastatal organizations, or U.S. Government departments and agencies.

Note that EFSP resources cannot be awarded to governments.

C. New Partners

USAID encourages concept papers from potential new partners. However, awards to these new organizations may be delayed as the USAID Agreement Officer may need to undertake pre-award reviews as discussed in ADS 303.3.9. These pre-award reviews may affect implementation dates and activities; new partners should take this into account. Potential new partners might wish to consider collaborating with those organizations that have met the “responsibility determination” criteria described in the ADS in an attempt to expedite review and approval.

D. Code of Conduct

As a condition for any award specific to EFSP resulting from this APS, applicants must have adopted a code of conduct that addresses the protection of beneficiaries of assistance from sexual exploitation and abuse in humanitarian relief operations. U.S. legislation stipulates that no International Disaster Assistance (IDA) funds may be obligated to an organization that fails to adopt a code of conduct providing for the protection of beneficiaries of assistance from sexual exploitation and abuse in humanitarian relief operations. Such a code of conduct must be consistent with the U.N. Inter-Agency Standing Committee (IASC) Task Force on Protection from Sexual Exploitation and Abuse in Humanitarian Crises, which includes the following core principles:

- 1.** Sexual exploitation and abuse by humanitarian workers constitute acts of gross misconduct and are therefore grounds for termination of employment;

DRAFT COPY – FOR PUBLIC COMMENT

2. Sexual activity with children (persons under the age of 18) is prohibited regardless of the age of majority or age of consent locally. Mistaken belief in the age of a child is not a defense;

3. Exchange of money, employment, goods, or services for sex, including sexual favors or other forms of humiliating, degrading, or exploitative behavior is prohibited. This includes exchange of assistance that is due to beneficiaries;

4. Sexual relationships between humanitarian workers and beneficiaries are strongly discouraged since they are based on inherently unequal power dynamics. Such relationships undermine the credibility and integrity of humanitarian aid work;

5. Where a humanitarian worker develops concerns or suspicions regarding sexual abuse or exploitation by a fellow worker, whether in the same humanitarian aid agency or not, s/he must report such concerns via established agency reporting mechanisms;

6. Humanitarian workers are obliged to create and maintain an environment that prevents sexual exploitation and abuse and promotes the implementation of their code of conduct. Managers at all levels have particular responsibilities to support and develop systems that maintain this environment.

E. USAID Disability Policy and Accessibility Standards

The applicant's attention is directed to USAID Disability Policies (http://www.usaid.gov/about_usaid/disability/). These policies have implications for both the program design and program budget.

F. Voluntary Survey on Faith-Based and Community Organizations

The applicant is encouraged, but is not required, to submit USAID's Voluntary Survey on Faith-Based and Community Organizations (http://www.usaid.gov/business/business_opportunities/cib/pdf/aapd04_08.pdf).

G. Ineligible Goods and Services, Ineligible Suppliers, and Restricted Goods

The applicant's attention is directed to ADS 312 (<http://www.usaid.gov/policy/ads/300/312.pdf>) and ADS 313 (<http://www.usaid.gov/policy/ads/300/313.pdf>). These rules and requirements may affect the program design, budget, timing of award, and/or timely program implementation and post-award administration.

H. Development Experience Clearinghouse

ADS 540 (<http://www.usaid.gov/policy/ads/500/540.pdf>) requires awardees (except PIOs) to submit the following documentation if created during the course of a USAID award to the USAID Development Experience Clearinghouse (DEC): assessments, analyses, studies, articles, final baseline surveys, midterm and final evaluations, and appropriate components of the annual results

DRAFT COPY – FOR PUBLIC COMMENT

reports. Submitted material must be final and cleared by the Agreement Officer's Technical Representative (AOTR) if required by the terms of the award.

A completed AID 590-7, USAID Development Experience Clearinghouse Submission Form must accompany each submission. (This form can be found at:

<http://dec.usaid.gov/submit/a590-7.doc>) All documents can be sent to: docsubmit@usaid.gov.

X. AWARD ADMINISTRATION AND RELEVANT WEBSITES FOR REFERENCE

A. U.S. Non-Governmental Organizations

1. Awards to U.S. NGOs resulting from this APS will be administered in accordance with the following:

2. Chapter 303 of USAID's Automated Directives System (ADS-303), which is available at <http://www.usaid.gov/policy/ads/300/303.pdf>.

3. For Title II resources, 22 C.F.R. 211 which is available at http://www.access.gpo.gov/nara/cfr/waisidx_10/22cfr211_10.html.

4. 22 C.F.R. 226 which is available at http://www.access.gpo.gov/nara/cfr/waisidx_10/22cfr226_10.html.

5. 2 C.F.R. 230 for non-profit organizations (formerly OMB Circular A-122); and

6. OMB Circular A-133 for non-profit organizations, all of which are available at <http://www.whitehouse.gov/omb/circulars/index.html>.

7. 48 C.F.R. 31.2 for for-profit organizations, which is available at <http://www.acquisition.gov/far/>.

8. USAID Standard Provisions for U.S. Non-Governmental Organizations, which are available at: <http://www.usaid.gov/pubs/ads/300/303maa.pdf>.

9. Food for Peace Information Bulletins (FFPIBs), which are available at: http://www.usaid.gov/our_work/humanitarian_assistance/ffp/ffpib.html.

B. Non-U.S. Non-Governmental Organizations

1. Awards to non-U.S. NGOs resulting from this APS will be administered in accordance with the following:

2. Chapter 303 of USAID's Automated Directives System (ADS-303), which is available at <http://www.usaid.gov/policy/ads/300/303.pdf>.

3. 2 C.F.R. 220 for universities (formerly OMB Circular A-21); 2 C.F.R. 230 for non-profit organizations (formerly OMB Circular A-122), both of which are available at <http://www.whitehouse.gov/omb/circulars/index.html>.

4. For Title II resources, 22 C.F.R. 211, which is available at http://www.access.gpo.gov/nara/cfr/waisidx_10/22cfr211_10.html.

5. 22 C.F.R. 226 which is available at http://www.access.gpo.gov/nara/cfr/waisidx_10/22cfr226_10.html. Note that, while 22 C.F.R. 226 does not directly apply to non-U.S. NGOs, USAID policy is to apply this regulation to non-U.S. NGOs to the extent practicable.

6. 48 C.F.R. 31.2 for for-profit organizations, which is available at <http://www.arnet.gov/far/>.

DRAFT COPY – FOR PUBLIC COMMENT

7. USAID Standard Provisions for Non-U.S. Nongovernmental Organizations, which are available at: <http://www.usaid.gov/policy/ads/300/303mab.pdf>.

8. Food for Peace Information Bulletins (FFPIBs), which are available at: http://www.usaid.gov/our_work/humanitarian_assistance/ffp/ffpib.html.

C. PIOs

Awards to PIOs resulting from this APS will be administered in accordance with the following:

1. ADS-308, which is available at <http://www.usaid.gov/policy/ads/300/308.pdf>.
2. USAID Standard Provisions for Public International Organizations. See <http://www.usaid.gov/policy/ads/300/308mab.pdf>.

D. Programmatic and Technical References

Please consult the DCHA/FFP Emergency Food Assistance website at http://www.usaid.gov/our_work/humanitarian_assistance/ffp/efa.html [LINK NOT YET ACTIVE] for further technical resource information pertaining to the international emergency food assistance program activities described in this APS. If you have suggestions for additional resources, please submit them to EFSP@macf.com. USAID does not necessarily endorse the views expressed in the documents listed in the “*Online Resources*” section of the USAID/FFP/EFSP website. For gender considerations see Revised Automated Directives System (ADS) Chapters 200, 201, 203, 302, and 303, Strengthening Gender Integration in USAID Planning and Programming as summarized in ADS 200 available at: <http://www.usaid.gov/policy/ads/200/>. For information on Development Experience Information and Reference Services, see <http://dec.usaid.gov/> and ADS 540 at <http://www.usaid.gov/policy/ads/500/540.pdf>. For country-specific FFP food aid response figures, please refer to USAID Food for Peace’s Country Fact Sheets at: http://www.usaid.gov/our_work/humanitarian_assistance/ffp/wherewework.html.