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FOOD AID MANAGEMENT PLAN FOR USAID MISSIONS

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FOOD AID MANAGEMENT PLAN FOR USAID MISSIONS

U.S. AGENCY FOR INTERNATIONAL DEVELOPMENT
Bureau for Food and Humanitarian Assistance
Office of Program, Planning and Evaluation
Washington, DC

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PREFACE

A. INTRODUCTION

The General Accounting Office report titled *Food Aid: Improving Economic and Marketing Development in African Countries* pointed out that many problems arise through a lack of proper identification and assignment of responsibility for monitoring the many phases of food aid in the field. The Agency's **MANAGEMENT CONTROL REVIEW COMMITTEE (MCRC)** has identified as a "material weakness" the lack of food-aid management plans in the USAID Missions.

In this regard, the Bureau for Food and Humanitarian Assistance has decided to issue the framework for a Food Aid Management Plan (FAMP also referred to as the Plan) which should be used by Missions to clarify and document their management roles, approach and responsibilities for their various food aid programs.

B. PURPOSE

This Plan framework is meant to serve as an internal **management tool**. It focuses Mission management attention on food aid as an integral program, rather than on specific agreements or on the organizational unit(s) which carry the primary responsibility for the food aid project(s).

In its present state the FAMP is directed largely towards organizations and staffing issues. Furthermore, the reporting and documentation attachments provide the beginnings of a tracking/control system for program operations (especially in respect to compliance reporting).

The possibility of modifying this framework somewhat to enable the Missions to carry out a system review of food aid operations will be explored actively. For this reason any Mission suggestions on this aspect would be welcome together with any comments on the current framework. Comments should be addressed to:

Office of Program, Planning and Evaluation
Bureau for Food and Humanitarian Assistance
Agency for International Development
Washington, DC 20523-0808

C. MANAGEMENT PLANNING PROCESS

This plan is intended as a guide to assist Missions in carrying out their administrative responsibilities. It is non-prescriptive in order to encompass a wide range of programs and diverse management styles.

An effective planning **process** is integral to the production of a useful plan document. This process should be carried out at various levels within the Mission.

The completed FAMP should depict the situation as it exists and/or one the Mission is aiming for in the near future. Since it is for practical use it should cover the next one to two years as compared to the longer time span of the Country Program Strategy Plan (CPSP) (i.e., this Plan is not intended to

serve as a framework for development of a Mission's food aid strategy but rather, to assist the Mission to design the implementation of its strategy).

The first draft of the Plan should be developed by the Mission office with overall responsibility for the management of food aid. After this draft has been circulated to concerned Mission offices, review meetings should be held to discuss their comments and suggested modifications and to resolve any outstanding substantive and/or procedural issues.

Once the Mission Food Aid Management Plan has been approved it should be updated annually to reflect any changes in food aid operations and management.

D. RESOURCES REQUIRED

While resources required for completing the Plan will depend on the individual Mission, the size of the food aid program in that country and other variables; efforts dedicated to preparing the FAMP should ultimately result in a savings of staff time and program resources. It is estimated that total staff time (involving several officers) could equal approximately 50 hours for both preparation and program review.

For complicated programs, a Mission could also consider using consultants to help coordinate its effort and/or to provide additional expertise. In such a case, the time required will vary according to the consultant's prior knowledge of the Mission's food aid program and his/her familiarity with legislation and regulations governing US food aid programs. A common mechanism for contracting short-term consultants is the Indefinite Quantity Contract (IQC) for Food-Aid Programming and Management. Refer to State Cable 298159 dated 9/10/91.

GUIDANCE FOR USE OF THIS FRAMEWORK

The Plan Framework begins on page 1 of this document and is structured in a work book style. The framework is designed so that the **right-hand pages constitute work pages and those on the left contain the instructions for filling out the work pages.** Where considered necessary, explanatory notes are included.

The Plan Framework is in seven parts and has four attachments. Each part should be filled out. Information to be included in each part is given below.

- 1) Part I: A description of the Title II and/or Title III programs in relation to the overall Mission program.
- 2) Part II: A concise statement setting forth what the Mission expects to achieve with its Title II and/or Title III food aid programs.
- 3) Part III: Description of the environment in which the Mission manages its Title II and/or Title III food aid programs.
- 4) Part IV: Definition of the Mission's role in its Title II and/or Title III programs (as distinct from the role of the host government, PVOs or other involved organizations).
- 5) Part V: Statement of the Mission's organizational approach to management of its Title II and/or Title III programs in the context of the role defined in Part IV.
- 6) Part VI: Description of the operational responsibilities within the Mission in the context of the Mission's role/action in Title II and/or Title III programs. Sections C and D should only be completed for Title III programs. Sections E and F should only be completed for Title II programs.
- 7) Part VII: Summary of the Plan's status, identification of actions and/or concerns which emerged during the development of the plan, and indication of the next steps to be taken.

Narrative statements in the first four parts should be limited, to the extent possible, to the space provided (though in some instances because of the size and complexity of programs this will not be feasible) in order that the Plan be more easily managed.

Important to an understanding of the food aid management situation is the assignment of responsibilities. These sections (Parts V and VI) are quite detailed and should be carefully completed. Missions may add, delete or modify the parts to conform to their individual requirements.

ABBREVIATIONS

ABS	Annual Budget Submission
AER	Annual Estimate of Requirements
A.I.D.	(United States) Agency for International Development
A.I.D./W	(United States) Agency for International Development, Washington
CCC	Commodity Credit Corporation
CDO	Cooperative Development Organization
CPSP	Country Program Strategy Plan
EER	Employee Evaluation Report
FAMP	Food Aid Management Plan
FFP	Food for Peace, food commodities provided under U.S. Public Law 480; also the symbol for the A.I.D. Office concerned with such
FFPO	Food for Peace Officer
FHA	Bureau for Food and Humanitarian Assistance
FY	Fiscal Year
GAO	General Accounting Office
G/G	Government to Government
IG	Inspector General
PIR	Project Implementation Review
PL-480	U.S. Public Law 480
PVO	Private Voluntary Organization
RIG	Regional Inspector General
TA	Transfer Authorization
UMR	Usual Marketing Requirement
U.S.	United States
USAID	Agency for International Development (Overseas Missions)
USDA	United States Department of Agriculture
USG	United States Government
Volag	Voluntary Agency/Private Voluntary Organization
WFP	World Food Program

REFERENCES

1. Agricultural Trade Development and Assistance Act of 1954, as amended (Public Law 480).
2. A.I.D. Regulation 11 (pertaining to Title II activities).
3. A.I.D. Local Currency Policy (State Cable 202944 dated June 20, 1991).
4. A.I.D. Handbook 9 — Food for Peace (Public Law 480, Title II and III activities).
5. Monetization Field Manual, FVA/PPM/PAD, August 1988, PN-ABB-486.
6. Revised PL 480 Title III Program Guidance, (State Cable 242313 dated July 24, 1991).
7. Project Food Aid-User's Guide for the Design of Food Aid Development Projects; Judy Bryson, Steve Joyce with Daniel Edwards; May 1991, PN-ABH-714.
8. The Developmental Impact of Counterpart Funds: A Review of the Literature; Henry Bruton and Catherine Hill; February 1991; PN-ABH-074.
9. Food for Work: A Review of the 1980s with Recommendations for the 1990s; Judy C. Bryson, John P. Chudy and James M. Pines; February 1991, PN-ABH-222.
10. The Effectiveness of Maternal Child Health (MCH) Supplementary Feeding Programs; Jose O. Mora, Joyce M. King and Charles H. Teller; September 1990; PN-ABG-242.
11. Monetization Comes of Age: A Review of U.S. Government, PVOs and Cooperatives Experience; James M. Pines; June 1980 PN-ABF-701.
12. The Developmental Impact of U.S. Program Food Assistance: Evidence from the A.I.D. Evaluation Literature, Jennifer Bremmer-Fox and Laura Bailey; August 1989; PN-AND-893.
13. A Manual for Food Needs Assessment: Conceptual Framework and Software Documentation; Bruce Cogill, Jeffrey Marzilli, and Michelle McNabb; March 1989; PN-ABG-312 (English); PN-ABB-175 (Spanish), and PN-ABF-673 (French).
14. Negotiating and Programming Food Aid: A Review of Successes; Alice L. Morton and Richard R. Newberg; May 1986, PN-AWW- 191.

Instructions

I. FOOD AID IN RELATION TO MISSION PORTFOLIO

This part of the Plan should describe the relative magnitude of food aid within the country program, both development assistance and other funding modes. A table comparing program levels (refer to facing Work Page sheet for suggested format) and a short narrative is intended to describe the manner in which food aid has been integrated into the Mission portfolio and the linkages between food aid and other programs in the portfolio.

II. FOOD AID PROGRAM EXPECTATIONS

In this part of the Plan the Mission should describe what it expects to achieve with its food aid program. It is important to understand that this part of the Plan does not require a summary of program objective statements from all food aid agreements. What is required is a concise statement of how the Mission views its food aid program. In this part care should be taken to include the objectives of Title III programs as outlined in State Cable 242313 dated 7/24/91 .

I. FOOD AID IN RELATION TO MISSION PORTFOLIO

A. Program Levels (\$ Million):

<u>Year and Other Funds</u>	<u>Development Assistance</u>	<u>Food Aid</u>	<u>Total</u>
19_			
19_			
19_			
19_			
19_			
19_			

* (Actual/Approved/Projected)

B. Integration & Linkages:

II. FOOD AID PROGRAM EXPECTATIONS

Instructions

III. FOOD AID PROGRAM ENVIRONMENT

This part of the Plan describes the environment in which the Mission manages its food aid program, including information on:

- A. Food Aid Program Analysis,
- B. Interfacing Organizations
- C. Grants Related to Food Aid Programs,
- D. USAID Staff Resources,
- E. Local Conditions Affecting Food Program Management.

III A. FOOD AID PROGRAM ANALYSIS

1. This table provides an analysis of the U.S. food aid program in the country over the preceding four years. Each Mission should choose the appropriate level of detail for its own situation. An illustrative format separating the different program types (Title I, II, III and Section 416), regular programs from emergency programs, and PVO programs from WFP and G/G programs is provided. (**NOTE:** Title I and Section 416 programs are only included to indicate the total amount of U.S. food aid being provided. Neither A.I.D. nor the Mission have any responsibility for these programs.) Details may be given for Title II programs by PVO and/or by individual programs such as Food for Work, School Feeding or Maternal Child Health.

2. The host country's food imports figure should include both foreign donations and commercial imports.

III B. INTERFACING ORGANIZATIONS

This section identifies organizations working with USAID in the design, implementation and review of its food aid programs. These interfacing organizations may be host government agencies, other cooperating sponsors such as PVOs, or long term institutional contractors. A brief description should be included of each agency's role and the nature and limits of its involvement. In the case of the host government, wherever possible names of specific departments, ministries or parastatals should be recorded. New Title III guidance stresses an increasing involvement of the private sector in Title III programs. The names of private sector organizations and traders involved in the receipt, sales, storage, transport and handling, and distribution should be included here.

III. FOOD AID PROGRAM ENVIRONMENT

III A. FOOD AID PROGRAM ANALYSIS

19____ 19____ 19____ 19____
(Current Year)

1. U.S. FOOD AID LEVELS
(Tonnage)

Title I

Title II Regular:

PVO

WFP

Title II Emergency:

PVO

WFP

G/G

Title III

Section 416

TOTAL

2. U.S. Food Aid as percentage of
host country's food imports

III B. INTERFACING ORGANIZATIONS

Instructions

III C. GRANTS RELATED TO FOOD AID

In this section details of grants related to food aid should be given. These would include, but need not be limited to, grants to PVOs.

III D. USAID STAFF RESOURCES

A current USAID Organization Chart highlighting the food aid management positions should be attached to the Plan. This should distinguish between approved and filled positions, indicate availability of regional support, and include all relevant employee categories (e.g., USDH, FSNDH, FSNPSC, USPSC, and institutional contractors).

III E. LOCAL CONDITIONS AFFECTING FOOD PROGRAM MANAGEMENT

In this section unusual local conditions and operational constraints influencing program management should be described. (Extraordinary situations which require departures from normal standards require completion of Part VII, Section C of this Plan).

III C. GRANTS RELATED TO FOOD AID

<u>Grantee</u> <u>(\$)</u>	<u>Nature and Purpose of Grant</u>	<u>Funding Source</u>	<u>Grant Amount</u>	
			Preceding Year	Current Year

III D. USAID STAFF RESOURCES

USAID Organization Chart

III E. LOCAL CONDITIONS AFFECTING FOOD PROGRAM MANAGEMENT

Instructions

IV. USAID ROLE IN FOOD AID MANAGEMENT

In this part the Mission role should be defined (as distinct from the role of the host government, the PVOs or other interfacing organizations) in the context of the program environment and expectations. In this connection the following breakdown of functions should be considered:

- Program design,
- Commodity logistics,
- Commodity utilization/end use verification (in context of program objectives),
- Generation, deposit and disbursement of local currencies (monetization),
- Programming and Monitoring of local currency (monetization), and
- Monitoring and Evaluation of food aid agreement implementation.

In this part an overview should be provided of the Mission's role and specific views regarding areas of emphasis in the management of the U.S. food aid program in the country.

Changes the Mission contemplates in its traditional food aid management role should be indicated. The new Title III program and new guidance on management of local currency proceeds require a greater involvement by the Mission than previous Title I and Title III programs. This should be taken into consideration when completing this part.

IV. USAID ROLE IN FOOD AID MANAGEMENT

Instructions

V. ORGANIZATIONAL APPROACH TO FOOD AID MANAGEMENT

In this part the Mission's organizational approach to food aid management should be stated in the context of its Role Statement (Part IV) and Staff Resources (Part VI D).

This should be viewed in terms of operational responsibilities:

Who is responsible?

Are the primary responsibilities held by a single organizational unit? If so, what is the relationship of this unit to other related units such as technical (e.g., agricultural) and staff (e.g., program planning)?

Coordination mechanisms such as committees and task forces for food aid should be described. (Details of each food aid committee/task force should be given in Attachment A).

V. ORGANIZATIONAL APPROACH TO FOOD AID MANAGEMENT

Instructions

VI. RESPONSIBILITY ASSIGNMENTS

In this part a framework is provided in the Plan for defining the Mission's role/action. Operational responsibilities for each food aid management function are assigned. Laid out in six sections (see opposite page), a list of functions and subfunctions is given for the various types of food aid programs. In developing this framework, care has been taken to ensure that responsibility is assigned for each critical subfunction. Missions may want to add/delete/modify some of these to fit its particular food aid management situation.

The following responsibilities are assigned to field posts (Missions) by the A.I.D. Delegations of Food Aid Functions and Authorities:

- (a) Preparation of Title II and III proposals in accordance with guidance issued by FHA and the Regional Bureau
- (b) Implementation of Title III activities in the manner authorized by the Regional Bureau
- (c) Clearance, prior to approval, of each food-aid activity in the country, except those conducted by the World Food Program and agencies of the United Nations; this clearance indicates that the field post has developed a plan and identified and will use the resources necessary for implementing and/or monitoring the activity effectively and accepts responsibility for doing so (specific guidance will be provided concerning field post responsibility for food aid activities implemented by the World Food Program and other agencies of the United Nations);
- (d) Provision of comments to FHA about proposed World Food Program activities in the country.
- (e) Implementation of actions approved to resolve and close audit recommendations with respect to food-aid activities in the country, whether the action is approved by the field post itself or referred to A.I.D./W and approved by the Regional Bureau with respect to Title III donations or by FHA for Title II and other food-aid activities.

The assignments in this Plan are confined to Mission level responsibilities, as distinct from host government, cooperating sponsor, USDA/CCC or A.I.D/Washington responsibilities. (Refer to A.I.D. Delegations of Food Aid Functions and Authorities for specific responsibilities of these agencies). Should personnel from U.S. Missions in other countries have operational responsibilities for the Mission's food aid program, their roles should be identified. Personnel within the Mission responsible for calling in such persons should also be identified.

It is desirable that one person be identified for each defined area of responsibility. The intent is to identify the positions and the persons who are answerable within a Mission for carrying out each function. In this section responsibility should be assigned to positions carrying primary operational responsibility rather than to those required to sign-off on an action/document. These assignments should be cross referenced to Attachment D: "Delegations of Authority" wherever possible.

Where responsibility for a function/area as pre-defined in the Plan is shared by more than one person, the Mission's role/action should be stated in a manner which will delineate the role and/or responsibilities of each of these individuals. The role/action column may be useful for documenting Mission-determined standards for certain functions (e.g., field visits to ports and distribution centers).

VI. RESPONSIBILITY ASSIGNMENTS

<u>Contents</u>	<u>Applicability</u>	<u>Page(s)</u>
A. General/common responsibility assignments for all food aid programs	All	
B. Principal Mission Contact with Interfacing Organizations	All	
C. Responsibility assignments for development, negotiation and execution of Title III Programs	Title III	
D. Responsibility assignments for implementation and monitoring of Title III programs	Title III	
E. Responsibility assignments for Title II programs implemented through PVOs	Title II	
F. Responsibility assignments for Bilateral (G/G) Title II emergency programs	Title II G/G	

Instructions

VI A. GENERAL/COMMON RESPONSIBILITY ASSIGNMENTS

1. Overall responsibility for directing the food aid program and the achievement of its goals belongs to the Mission Director. The position responsible for primary management and coordination should be identified. This position should relate to all the different programs and projects with a food aid component.
2. Operations management responsibilities should be identified. Programs may be subdivided, for example, Title II programs may be split on the basis of cooperating sponsor (PVO) or program type.
3. Donor Coordination roles and responsibilities should be identified.
4. Position responsible for Program Implementation Review should be identified (refers to the Mission's system for reviewing the progress toward implementation).
5. Position responsible for Management Review should be identified (refers to a supervisory review of the organization, systems and staffing in which Mission attention is focussed on food aid as an integral program not separate projects).

VI A. GENERAL/COMMON RESPONSIBILITY ASSIGNMENTS

FUNCTION/AREA	MISSION ROLE/ACTION	RESPONSIBILITY
1. Management/coordination of total food aid program		
2. Operations management of: <ul style="list-style-type: none"> ▪ Title II program and related grants ▪ Title III program and related grants ▪ Emergency food aid 		
3. Donor Coordination		
4. Program Implementation Review		
5. Management Review		

Instructions

6. Monitoring of the national food situation consists of gathering information, inter alia, on stocks, production, consumption, imports, exports, prices, forecasts. Information is provided through this means for both program design and implementation. Supply and distribution data for program proposals and food aid needs assessments are also provided. Monitoring during implementation of a Title III program is equally important. It is also useful for monitoring self help measures.
7. Through the Food Aid Needs Assessment a country's probable needs are projected in order that types and quantities of commodities to be requested can be determined.
8. Food policy dialogue with the host government is an important component in all programs but especially in Title III. This dialogue is usually carried on at various levels. The position/person responsible for ongoing dialogue should be indicated rather than those only involved with major issues.
9. This assessment of adequacy of handling, storage and distribution facilities is required and must be done during the proposal development stage, and again prior to the issuance of a call forward. It should also be done during program implementation to check the commodities received during the program.
10. An assessment of potential disincentives in the recipient country to domestic production or marketing resulting from food aid must take place. Legislation requires that World Bank and IMF in-country representatives be consulted on this.

FUNCTION/AREA	MISSION ROLE/ACTION	RESPONSIBILITY
6. Monitoring of national food situation		
7. Food aid needs assessment		
8. Food policy dialogue with host government		
9. Assessment of adequacy of handling (including port conditions), storage and distribution facilities		
10. Disincentive Assessment		

Instructions

VI. B. PRINCIPAL MISSION CONTACT WITH INTERFACING ORGANIZATIONS

In this part the principal Mission contact for all cooperating organizations within the food aid program should be identified. These organizations may include host government agencies, other cooperating sponsors such as PVOs, WFP, donor committees and long-term institutional contractors. In the case of host government agencies, each ministry, department or parastatal with which the Mission has substantive or regular interaction should be separately identified.

VI B. PRINCIPAL MISSION CONTACT WITH INTERFACING ORGANIZATIONS

Agency

Principal Mission Contact

Instructions

VI C. RESPONSIBILITY ASSIGNMENTS FOR DEVELOPMENT, NEGOTIATION AND EXECUTION OF TITLE III PROGRAMS

1&2 In this section ongoing program development and design responsibilities should be indicated. A major design effort (such as a new or substantively revised program) may require a more exhaustive listing of components with responsibility assignments. Development, negotiation and execution of Title III programs require a high level of involvement by the Mission. Refer to State Cable 242313 dated 7/24/91, Title III Guidelines. An example is provided below for use in assigning these responsibilities.

- a. U.S. commercial interests
- b. Economic policy considerations including private enterprise promotion, policy and structural reforms
- c. Commodity considerations
 - Demand side (host country requirements)
 - Supply side (commodity availability, etc.)
- d. Adequacy of handling, storage and distribution facilities
- e. Disincentives
- f. Supply and distribution data
- g. Usual Marketing Requirements/Export Limitations
- h. Utilization of commodities and locally generated currency
- i. Title III program development
- j. Deposit of sale proceeds/special account requirements
- k. Reporting and monitoring
- l. Evaluation and review
- m. Purchase and shipment
- n. Drafting of proposal and other documents
- o. Assuring adherence to A.I.D. documentation requirements
- p. Review and analyze
- q. Submission to A.I.D./W

VI C. RESPONSIBILITY ASSIGNMENTS FOR DEVELOPMENT, NEGOTIATION AND EXECUTION OF TITLE III PROGRAMS

FUNCTION/AREA	MISSION ROLE/ACTION	RESPONSIBILITY
1. Initiation of intended program and verification of acceptability to concerned parties	(i) Eligibility determination (ii) Formulation of program expectations and objectives (iii) Development of program parameters (iv) Preliminary attitude check with <ul style="list-style-type: none"> ▪ Country Team Members ▪ A.I.D./W ▪ Host Government Officials ▪ Private Sector Traders and Organizations 	
2. Program design/development	(i) Coordination responsibility (ii) Review and analyze (iii) Submission to A.I.D./W	
3. Execution of Agreement/Amendment	(i) Obtaining authorization from A.I.D./W (ii) Signature (iii) Press Release, etc.	

Instructions

VI D. RESPONSIBILITY ASSIGNMENTS FOR IMPLEMENTATION AND MONITORING OF TITLE III PROGRAMS

1. This section refers to the status of commodities supplied under the Title III program. The extent of the Mission's role in tracking despatches/shipments made, arrivals and utilization of the commodities should be defined. The position/person responsible should be identified. The Mission role should be clearly distinguished from that of A.I.D./W. Refer to State Cable 242313, Title III guidelines, Section II, B.
2. This section refers to the monitoring of sale proceeds. Quantities supplied, fulfillment of special account requirements and/or verification of the deposit of the proceeds should be covered.
3. Programming of local currency covers host country owned currencies arising from sale of the commodities. Mission roles in local currency programming - establishment and implementation of procedures and guidelines for identifying, investigating and approving projects to be funded — should be clearly stated, taking into account STATE Cable 202944 - A.I.D. Local Currency Policy — and Cable 204855 — Supplemental Guidance on Programming and Managing Local Currency.
4. In monitoring the progress of local currency financed activities the following should be involved:
 - (a) Development of monitoring and reporting requirements,
 - (b) Setting of benchmarks,
 - (c) Tracking of physical progress,
 - (d) Tracking financial expenditure through reports received,
 - (e) Field visits,
 - (f) Review of documents and records,
 - (g) Discussions/consultations.

In State Cable 202944 dated 6/20/91 policy guidance is given on the Mission's role in monitoring the use of local currency.

5. Monitoring the utilization and disbursement of local currency generated by commodity sales should be carried out in a way that will ensure its use for the agreed purposes, in a timely manner, with reports and documents as required by the agreement.

VI D. RESPONSIBILITY ASSIGNMENTS FOR IMPLEMENTATION AND MONITORING OF TITLE III PROGRAMS

FUNCTION/AREA	MISSION ROLE/ACTION	RESPONSIBILITY
1. Monitoring of status and utilization of programmed commodities		
2. Monitoring local currency generations and deposits		
3. Programming of local currency		
4. Monitoring progress of local currency/financed project/activities		
5. Monitoring utilization of local currency/special account operation		

Instructions

6. In monitoring progress on the achievement of Title III program objectives the following should be included:
 - (a) Setting of benchmarks,
 - (b) Obtaining information on progress achieved,
 - (c) Pursuing implementation with the host government,
 - (d) Reporting on progress achieved, and
 - (e) Assessing adequacy of progress and ways in which implementation may be accelerated.

Positions/persons responsible for the above actions should be identified.

7. Compliance monitoring refers to Mission level monitoring of compliance with agreement provisions on UMRs, fair share requirements, re-export and transshipment restrictions, and identification and publicity requirements. This is done by a review of host country reporting and through corroboration by independent sources.
8. Program evaluations should be conducted according to agreement provisions and the Monitoring and Evaluation Plan. In this section should be included planning for evaluations, developing the scope of work for the evaluation, assigning responsibility for liaison with the evaluation team, reviewing evaluation findings and preparing follow up reports. It is necessary to insure that adequate funds for the evaluation are programmed. Refer to State Cable 242313, Title III guidelines, Section H. Monitoring and Evaluation Plan.
9. Annual audits are required for programs that involve the sale of commodities and use of local currencies. The person should be identified who is responsible for insuring that adequate audit planning occurs and that funding is allocated. Refer to State Cable 242313, Title III guidelines, section I, Audit Plan.

FUNCTION/AREA	MISSION ROLE/ACTION	RESPONSIBILITY
6. Monitoring progress on achieving of Title III program objectives		
7. Compliance Monitoring on UMRs, fair share requirements, re-export and transshipment restrictions, identification and publicity requirements		
8. Program Evaluation		
9. RIG/Non-federal audits		

Instructions

VI E. RESPONSIBILITY ASSIGNMENTS FOR TITLE II PROGRAMS IMPLEMENTED THROUGH PVOs

This section provides an illustrative break-down of functions for managing food aid programs implemented by PVOs. These are Title II direct feeding programs and monetization programs, both monetization of emergency food aid to meet ancillary costs of direct feeding programs and monetization of non-emergency food aid for developmental activities.

1. Development of PVO direct feeding programs like MCH, FFW, school feeding, etc. and monetization is normally the responsibility of the concerned PVO. USAID's participation in this process will vary from Mission to Mission and program to program depending on relative capabilities of the staff of the Mission and the PVO. The Mission should be involved in issues such as:

- Commodity selection and mix;
- Monetization for ancillary costs and developmental activities;
- Evaluation and monitoring plans;
- Compatibility with USAID country strategy, DA program, and so forth; and
- Promotion of collaborative programs among PVOs.

Mission staff may be involved in reviewing and analyzing the program design at various stages of its development.

Refer to State Cable 009095 dated 01/10/92 PI 480 Title II FY 1993 Voluntary Agency Regular Program and Section 202 {E} Grant Guidance and Monetization Field Manual, FVA/PPM/PAD dated 8/88.

2. Multi-year Operational Plan (MYOP) is prepared by the PVO and amended if/when necessary. In its review and approval process the Mission will be responsible for such activities as:
 - Analyzing the PVO's monetization and direct feeding programs,
 - Matching the PVO's activities with the Mission's DA and other donor and host government programs and projects,
 - Coordinating the PVO program levels and commodities with the ABS/AER guidance from A.I.D./W, and
 - Executing relevant agreements.

Responsibility for these activities and the coordination of internal and external communication should be assigned by the Mission.

Refer to A.I.D. Regulation 11, Section 211.5 (a)

VI E. RESPONSIBILITY ASSIGNMENTS FOR TITLE II PROGRAMS IMPLEMENTED THROUGH PVOs

FUNCTION/AREA	MISSION ROLE/ACTION	RESPONSIBILITY
<p>1. Development of Direct Feeding Programs</p> <p>Development of Monetization Programs</p>		
<p>2. Operational Plan approval</p>	<p>(i) Inform A.I.D./W of review</p>	

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3. In commodity ordering, Mission responsibilities include activities such as the following:
 - Reviewing and approving Call Forward requests within seven days of submission by Cooperating Sponsors. Before each call forward is approved, it must be verified by the Mission that a storage analysis and disincentive assessment has been made.
 - Tracking of shipments and arrivals.

Refer to A.I.D. Regulation 11 Sections 211.4 (b)&(e) & 211.4(e)(2)

4. This function involves monitoring the PVO's management of the commodities from the point of arrival to final distribution to targeted beneficiaries or sale. While the PVOs have primary responsibility for this function, regulations require USAID approval of certain actions, for example:
 - Loans, transfers, exchanges and diversions of commodities,
 - Reconstitution costs over \$500.

A.I.D. regulations for monitoring require reporting on commodity status by the PVOs. Refer to A.I.D. Regulation 11 Sections 211.5, 211.7.

5. Monitoring losses and claims is a function of the Mission. Regulations require that PVOs obtain prior USAID approval for disposal of commodities unfit for human consumption. Approval is also required for writing off internal loss claims of over \$500.00 in value (refer to State Cable 211789 dated July 1988 for guidance concerning inland and internal losses). Procedures should be established for reporting damaged and missing commodities, filing claims, and tracking of claim receipts. The Mission's role and actions will be dependent on the system(s) in operation in each country as agreed to between the Mission and the PVO(s). (These procedures also apply to G/G emergency programs.) Refer to A.I.D. Regulation 11 Sections 211.8.
6. The monitoring of the use of sale proceeds from monetization for ancillary costs and developmental activities and the fulfillment of requirements for the deposit and use of the proceeds are Mission responsibilities.

FUNCTION/AREA	MISSION ROLE/ACTION	RESPONSIBILITY
3. Commodity ordering		
4. Managing commodity logistics	(i) Review and analysis of commodity status reports (ii) Review of approval requests (iii) Signing-off on approval requests	
5. Monitoring losses and claims, and approval of write-off		
6. Monitoring local currency generation (through monetization), deposit and utilization		

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7. Title II compliance requirements are clearly spelled out in Regulation 11. The PVOs have primary responsibility, but Missions are expected to monitor. Field visits to spot check and assess adequacy of PVO programs should be included in monitoring activities.
8. Mission responsibilities entail the establishment of monitoring and evaluation requirements and the setting of benchmarks for assessing achievement of program objectives. Mission responsibility for monitoring the program may be centered in one office (e.g., Food for Peace), or distributed over various technical offices, depending on the complexity of the program.
9. An ongoing assessment of PVO systems, procedures, and infrastructure is required as well as assessment of the need for A.I.D. grant funds under Title II, Section 202, to supplement PVO resources.

Refer to State Cable 009095 dated 1/10/92 PI 480 Title II FY 1993 Voluntary Agency Regular Program and Section 202 {E} Grant Guidance.

10. Responsibility should be assigned within the Mission for reviewing Food Aid related grant proposals and coordinating the approval process, including developing and executing food aid program grant agreements.
11. Included in monitoring of grant funds are the following:
 - (a) Developing of monitoring and reporting requirements,
 - (b) Assuring compliance,
 - (c) Arranging reimbursement procedures, and
 - (d) Insuring reconciliation of reported disbursements with expenditures.
12. Evaluations should be performed according to each program's monitoring and evaluation plan. The following will be included:
 - (a) Planning for evaluations,
 - (b) Determining the scope of the evaluation,
 - (c) Coordinating with the evaluation team,
 - (d) Reviewing the evaluation findings, and
 - (e) Ensuring/reporting on follow up actions.
13. Primary responsibility for audits of Title II programs, rests with the cooperating sponsor who must arrange for periodic audits in accordance with OMB Circular A-133.

FUNCTION/AREA	MISSION ROLE/ACTION	RESPONSIBILITY
7. Monitoring compliance		
8. Monitoring program effectiveness		
9. Assessing PVO capabilities and determining necessary support		
10. Reviewing grant proposals; developing and executing grant agreement/amendment		
11. Monitoring of grant funds		
12. Evaluating programs		
13. Auditing requirements		

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VII. FOOD AID MANAGEMENT PLAN REVIEW: STATUS, FINDINGS AND NEXT STEPS

This part of the Plan should be completed at the end of the management planning exercise. The status of the Plan is summarized and issues which have emerged during the exercise are identified. It provides a format for documenting intermediate or alternative standards for emergency programs operating in extraordinary situations. This part of the plan could also be used as a self-standing document for purposes of internal reporting on the management planning process.

VII A. PARTICIPATION AND STATUS

Principal participants in the planning process should be named. If the review has been done by a committee, the membership of the committee should be listed and the Plan should be cleared by all participants.

VII. FOOD AID MANAGEMENT PLAN REVIEW: STATUS, FINDINGS AND NEXT STEPS

VII A. PARTICIPATION AND STATUS

A management planning exercise for its food aid program has been completed by the Mission. Participants in the exercise were:

Initial Draft
Prepared by Reviewed by

Part I Food Aid in Relation to Mission Portfolio	_____
Part II Food Aid Program Expectations	_____
Part III Food Aid Program Environment	_____
Part IV USAID Role in Food Aid Management	_____
Part V Organizational Approach to Food Aid Management	_____
Part VI Responsibility Assignments	_____
Attachment A Food Aid Committee/Task Force Definition	_____
Attachment B Reports/Documents Checklist for Title II	_____
Attachment C Reports/Documents Checklist for Title III	_____
Attachment D Delegations of Authority	_____

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VII B. SUMMARY OF FINDINGS

In this section the substantive findings of the Mission review should be recorded. A determination must be made regarding the adequacy of the Mission's organization and staffing for food aid. The following list of proposed actions is intended to assist the Mission in compiling the necessary information.

1. Assess the Mission's organizational approach with respect to the achievement of its goals for the food aid program and in harmony with its role definition.
2. Based on the organizational approach in Part V and responsibility assignments in Part VI, review the positions involved in food aid management.
 - Is any one position identified as the focal point for all food aid activity in the Mission?
 - To what extent is the operational responsibility assigned to more than one organizational unit?
 - If operational responsibility for food aid is assigned to more than one organizational unit, are coordinating procedures adequate?
 - Do the responsibility assignments accurately reflect the job description(s) of the relevant position(s) and annual work plans of the respective staff members?
 - Do the descriptions for U.S. direct hire positions critical to the Mission's food aid program operation require the incumbent(s) to have prior food aid training and experience (Backstop 15)?
3. Are there sufficient staff to satisfactorily discharge the Mission's food aid management responsibilities? Is the distribution of work load among staff members balanced? Is there further scope for enhancing efficiency while ensuring accountability (e.g., by combining similar functions)?
4. Do staff have the necessary training and experience to satisfactorily discharge their food aid management responsibilities?
5. What personnel actions are being taken or proposed by the Mission to backstop personnel (including local nationals) staffing key positions?
6. Does the organizational approach and responsibility assignment matrix (Part VI) identify a position at a high enough level for program implementation review responsibility to ensure that Mission management takes an active role in food aid program oversight?

VII B. SUMMARY OF FINDINGS

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VII C. EXTRAORDINARY SITUATIONS SHEET: DEPARTURES FROM NORMAL STANDARDS/ALTERNATIVE OR INTERMEDIATE STANDARDS AND CONTROLS

Identification of departures from normal standards should result in a systems review/internal controls assessment. In some situations, especially extraordinary emergency situations, decisions are made to depart from normal standards as adherence thereto is not possible. In such cases, Missions are advised to document these departures. In the documentation there should be included justification of the alternative or intermediate standards/controls to be observed. In making these determinations, and to ensure that the determinations are made at the appropriate level, Missions should consult the handbooks and regulations, including Chapter 9 of A.I.D. Handbook 9 (which deals with Emergency Projects). While some emergency actions which are within limits defined by the Handbook may be approved at Mission level others require approval by A.I.D./W.

On the workbook sheet a format is provided for addressing these issues and documenting the Mission's position.

Replacement of normal standards with intermediate standards should be short term, limited to the duration of the extraordinary emergency situation. While recurrence or continuation of an extraordinary emergency situation (e.g., due to civil strife) is possible, intermediate standards must be reviewed annually, at a minimum. There should be a progressive reduction in the variation from normal standards and requirements.

Examples of requirements and standards which may be modified are procedures for borrowing, transferring, exchanging and diverting commodities, and commodity and recipient reporting requirements.

Alternative controls should be designed to compensate to the maximum extent possible for the reduced control resulting from the special circumstances.

After completing the format it is the Mission's decision as to what portion of the information should be transmitted to A.I.D./W. Relevant sections may be sent but it may be considered more appropriate to use the information on which to base an Action Memorandum or a Memorandum of Record.

In all situations where maintenance of an adequate audit trail appears to be impracticable despite best efforts, Missions must ensure that full particulars of the situation are brought to the attention of the Inspector General and appropriate action taken in consultation with the IG Office.

VII C. EXTRAORDINARY SITUATION SHEET: DEPARTURES FROM NORMAL STANDARDS/ALTERNATIVE OR INTERMEDIATE STANDARDS AND CONTROLS

1. Have the special conditions which warrant departure from normal requirements and standards (as laid down in the law, regulations, handbooks and guidance material) been fully documented as part of the Plan?

Refer to relevant sections of the plan documenting these special conditions. Ensure that the description is specific and explicit regarding implications for management and control of the program.

2. Describe the intermediate standards and requirements which the Mission considers appropriate in the special circumstances (use additional sheets of paper as needed).

<u>Normal Standard/ Requirement</u>	<u>Intermediate Standard/ Requirement</u>	<u>Justification</u>
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(a)

(b)

(c)

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3. Describe the alternative controls which the Mission is using or plans to use to compensate for reduced control due to the special circumstances and use of intermediate standards. The description should be specific as to how and when these controls are/would be exercised, frequency, coverage, responsibility, and so forth.

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VII D. NEXT STEPS

Actions planned to address issues/concerns raised by the review should be described here. Examples of such actions might be:

- An assessment of food aid management, and
- Reorganization of responsibilities, including modifications of work plans.

All key actions forming part of this agenda should be considered for inclusion in the EER related annual work plans of the concerned staff.

VII E. PROPOSED DATE OF NEXT REVIEW

It is recommended that a review of this Plan be carried out annually.

VII F. SIGNATURE OF REVIEWING OFFICER

It is expected that the Reviewing Officer will be a senior manager.

VII D. NEXT STEPS

Action

Responsibility

Due Date

VII E. PROPOSED DATE OF NEXT REVIEW

VII F. SIGNATURE OF REVIEWING OFFICER

SIGNATURE OF REVIEWING OFFICER

DATE

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ATTACHMENT A FOOD AID COMMITTEE/TASK FORCE DEFINITION

This attachment provides a format for defining each food aid committee/task force in terms of its specific purpose, functions, membership and manner of functioning. The statement on manner of functioning will cover aspects like advisory/ decision making roles and conditions requiring convening of meetings.

**ATTACHMENT A
FOOD AID COMMITTEE/TASK FORCE DEFINITION**

NAME:

PURPOSE:

FUNCTIONS:

MEMBERSHIP:

(Chairperson)

(Secretary)

MANNER OF FUNCTIONING:

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ATTACHMENT B REPORTS/DOCUMENTS CHECKLIST FOR TITLE II

This attachment to the Plan provides an illustrative list of the reporting and documenting requirements for Title II food aid programs. Missions should add to, delete from, or modify this list in keeping with the terms of each specific agreement and particular nature of each program. The list should include internal management reports but it would be useful to distinguish these from mandatory reports required by statutes, regulations, handbooks or agreement/Transfer Authorization.

For each report/document, the Mission should indicate frequency/timing (due date), the Mission action requirements, and the person responsible for the action.

Part I of this attachment should list reports/documents to be received by the Mission while Part II should list those to be generated by the Mission.

**ATTACHMENT B
REPORTS/DOCUMENTS CHECKLIST FOR TITLE II**

I. REPORTS/DOCUMENTS TO BE RECEIVED BY THE MISSION

Reports/Documents Received	Frequency/Timing	Mission Role/Action	Responsibility
A. TITLE II			
1. Operational plan (PVO proposals, if necessary include Section 202(e) grant proposals)	Multi-year/annual update	i) Review and comment (approve) ii) Provide any additional information required	
2. Annual estimate of requirements (normally combined and submitted with Operational Plan)	April 15 of the FY preceding relevant FY	Review and approve	
3a. Calls forward requests	Quarterly, (e.g., July 15 for 1st quarter)	Insure PVO statements of storage adequacy and disincentive analysis	
3b. Bills of Lading	On export of commodities	Monitor customs clearing and forwarding arrangements	
4. Commodity status report	Quarterly	Monitor commodity receipts, distributions and stock balances	
5. Recipient status report	Quarterly	Monitor distribution centers	
6. Damaged and missing commodities reports	Monthly, within 30 days of loss	Monitor losses and follow-up	

Instructions

Reports/Documents Received	Frequency/Timing	Mission Role/Action	Responsibility
7. Claims action reports (claims payment and uncollectibility reports)	On determination of uncollectibility or settlement of claim	Follow-up on claims	
8. Survey agreement	Upon receipt of Bill of Lading		
9. Survey/outturn reports	At time of Ships arrival		
10. Audit reports		i) Follow-up with cooperating sponsor and other interfacing organizations/action as necessary ii) Reporting to A.I.D./Washington on actions taken	
B. TITLE II EMERGENCY PROGRAMS			
1. Program proposals and transfer authorization (may also be made by Mission or A.I.D/W)		Review and give recommendations (approval)	
2. Plan of operation		Review and give recommendations (approval)	
3. Supplemental AER/TA		Review and give recommendations (approval)	
4. Calls forward requests	As per AER or TA/agreement	Review and give recommendations (approval)	

II. REPORTS/DOCUMENTS TO BE PREPARED BY THE MISSION

Reports/Documents Prepared	Frequency/Timing	Mission Role/Action	Responsibility
A. TITLE II			
1. Annual budget submissions	Submitted about 1-1/2 years prior to relevant FY	Preparation of narrative statistical summary	
2. UMR analysis report.(only for sales)	Prior to signing of agreement		
3. Disincentive analysis and determination of adequate storage	Prior to signing of agreement		
4. Bills of collection against co-operating sponsors	On approval of Mission controller	Verification of deposit of bill of collection amount	
5. Program evaluation reports		i) Comments on evaluation report and obtain comments of PVO ii) Preparation of a project evaluation summary	
B. TITLE II EMERGENCY PROGRAMS			
1. Program summary	On receipt of program proposal from cooperating sponsor	i) Comments on program proposal ii) Other additional information required	
2. Interim report			
3. Final report	End of emergency program	Give complete accounting of Title II assistance provided for emergency	

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ATTACHMENT C REPORTS/DOCUMENTS CHECKLIST FOR TITLE III

This attachment to the Plan provides an illustrative list of the reporting and documentation requirements for Title III programs. Missions will need to add/delete/modify this list in keeping with the specific agreement terms, particular nature of each program, A.I.D. requirements and guidance cables and changes in these requirements and cables. The list should include internal management reports but it would be useful to distinguish these from mandatory reports required by statutes, regulations, handbooks or agreements.

For each report/document, the Mission should indicate frequency/timing (due date), the Mission action requirements, and the person responsible for the action.

Part I of this attachment lists reports/ documents to be received by the Mission while Part II lists those to be generated by the Mission.

**ATTACHMENT C
REPORTS/DOCUMENTS CHECKLIST FOR TITLE III**

I. REPORTS/DOCUMENTS TO BE RECEIVED BY THE MISSION

Reports/Documents Received	Frequency/Due Date	Mission Role/Action	Responsibility
1. Report of the receipt and expenditure of sale proceeds	As required in agreement, but not less often than quarterly	i) Track host government to assure timely receipt of completed report ii) Review to assure compliance with agreement terms regarding generation and use of sale proceeds iii) Forward to A.I.D./Washington	
2. Project/sector proposals for financing from Title III funds	Annually	i) Obtain required information regarding proposed projects and activities ii) Examine proposals against criteria for approval and make recommendations iii) Review recommendations and approval/disapproval	
3. Progress reports on physical and financial progress of projects and activities funded from Title III proceeds	Monthly or quarterly	Review and monitor progress	

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II. REPORTS/DOCUMENTS TO BE PREPARED BY THE MISSION

Reports/Documents Prepared	Frequency/Timing	Mission Role/Action	Responsibility
1. Storage analysis	Preliminary assessment at time of proposal preparation At time of preparation of TA	i) Update and review/analyze information to make assessment of storage, handling facilities adequacy during proposed delivery period, and to identify latest feasible terminal date	
2. Annual review reports	Annual. Before new funding can be approved for a subsequent year of a multi-year program	i) Assessment of Recipient country performance in meeting the program and policy performance indicators and achieving the program's outputs, purpose and objectives ii) Most recent quarterly report on local currency accountability	
3. Shipping Reports			

**ATTACHMENT D
DELEGATIONS OF AUTHORITY**

The delegations of authority at the Mission should identify the positions with authority to sign off, the limits to such authority, and the procedures to be followed in exercising this authority. A framework for establishing these delegations is provided in this attachment. Positions and/or persons authorized or required to be involved should be identified under each column. For actions which are beyond Mission authority, this framework can be used to identify the person authorized to submit the action, on behalf of the Mission for A.I.D./W approval. A Mission should modify this attachment according to its own requirements. Limitations on the exercise of authority should be explicitly stated, either as a footnote or in a remarks column. It is suggested that this attachment be reviewed by the Legal Advisor to ensure that the delegations at the Mission are within Mission authority and consistent with A.I.D. requirements.

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ATTACHMENT D DELEGATIONS OF AUTHORITY

Process for Exercising Delegations

Delegations to Design, Negotiate Execute and Implement Food Aid Programs	Initiation				
	Preparation/Action				
	Review/Analyze				
	Clearance				
	Authorization/Signature				
1. To authorize assistance					
2. To amend authorization					
3. To negotiate and execute agreements					
4. For implementation:					
a. Issue of implementation letters					
▪ On project selection and funds attribution					
▪ On monitoring and reporting issues/requirements					
▪ On compliance issues/requirements					
b. Satisfaction of covenants					
c. PIOs					
d. Waivers					
e. PL-480 Title II claims against voluntary agencies/cooperating sponsor (administrative collection, suspension or termination of collection action, compromise of any claim)					
5. Determinations					
▪ Adequacy of handling, storage, distribution facilities					

▪ Disincentive impact analysis					
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Recent Reports¹

Office of Program, Planning and Evaluation
Bureau for Food and Humanitarian Assistance

Project Food Aid-User for the Design of Food-Aided Development Projects; Judy Bryson, Steve Joyce with Daniel Edwards; May 1991, PN-ABH-714.

The Development Impact of Counterpart Funds: A Review of the Literature; Henry Bruton and Catherine Hill; February 1991; PN-ABH-074.

Food for Work: A Review of the 1980s with Recommendations for the 1990s; Judy C. Bryson, John, P. Chudy, and James M. Pines; February 1991; PN-ABH-222

Targeted Consumer Food Subsidies and the Role of U.S. Food Aid Programming in Africa: A Workshop Report; Lawrence M. Rubey, John M. Staatz and Michael T. Weber; January 1991; PN-ABG-831.

Food Aid Impacts on Commercial Trade: A Review of the Evidence; Jennifer Bremmer-Fox, Laura Bailey, and Mary Mervenne; October 1990; PN-ABG-294.

The Effectiveness of Maternal and Child Health (MCH) Supplementary Feeding Programs; Jose O. Mora, Joyce M. King, and Charles H. Teller; September 1990; PN-ABG-242.

Monetization Comes of Age: A Review of U.S. Government, PVOs, and Cooperatives Experience; James M. Pines; June 1990; PN-ABF-701.

The Development Impact of U.S. Program Food Assistance: Evidence from the A.I.D. Evaluation Literature; Jennifer Bremmer-Fox and Laura Bailey; August 1989; PN-AND-893.

A Manual for Food Needs Assessment: Conceptual Framework and software Documentation; Bruce Cogill, Jeffrey Marzilli, and Michele McNabb; March 1989; PN-ABG-312 (English); PN-ABB-175 (Spanish), and PN-ABF-673 (French).

Monetization Field Manual; FVA/PPM/PAD, August 1988, PN-ABB-486.

The U.S. Response to the African Famine, 1984-1986; Vol. I: An Evaluation of the Emergency Food Assistance Program: Synthesis Report; By Dennis Wood, Albert Baron and Vincent Brown, DEVRES, November 1986, PN-AAL-082.

Negotiating and Programming Food Aid: A Review of Successes; Alice L. Morton and Richard R. Newberg; May 1986, PN-AAW-191.

¹These documents may be ordered from the A.I.D. Development Information Services Clearing House, Suite 200, 1611 North Kent Street; Arlington, VA 22209-2111, Telephone (703) 351-4006, Telefax (703) 351-4039. Please specify the Document ID. No. when ordering.

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School Feeding Programs in Developing Countries: An Analysis of Actual and Potential Impact; by Beryl Levinger, A.I.D. Evaluation Special Study No. 30, January 1986, PN-AAL-060.