

UNITED STATES AGENCY FOR INTERNATIONAL DEVELOPMENT

**BUREAU FOR DEMOCRACY, CONFLICT &
HUMANITARIAN ASSISTANCE**

OFFICE OF FOOD FOR PEACE

DEVELOPMENT PROGRAMS TEAM



P.L. 480 TITLE II GUIDELINES

**COOPERATING SPONSOR
RESULTS REPORTS (FY2002) AND RESOURCE REQUESTS (FY2004)
(CSR4)**

FINAL

November 21, 2002

LIST OF ACRONYMS

ADS	Automated Directives System
AER	Annual Estimate of Requirements
BEO	Bureau Environmental Officer
BNT	Bags, Needles & Twine
CBO	Country Backstop Officer
C&F	Commodity and Freight
CFR	Code of Federal Regulations
CBJ	Congressional Budget Justification
CS	Cooperating Sponsor
CSR4	Cooperating Sponsor Results Report and Resource Request
DAP	Development Activity Program
DCHA	Bureau for Democracy, Conflict and Humanitarian Assistance
EDM	Environmental Documentation Manual
ESR	Environmental Status Report
FAS	Free Alongside Ship
FF	Foreign Flag
FFP	Office of Food for Peace
FFPIS	Food for Peace Information System
FY	Fiscal Year
HQ	Headquarters
IEE	Initial Environmental Examination
ITSH	Internal Transportation, Shipping and Handling
LDC/LIFDC	Least Developed Country/Low Income Food Deficit Country
LOA	Life of Activity
MT	Metric Ton
NICRA	Negotiated Indirect Cost Rate Agreement
P.L.	Public Law
REDSO	Regional Economic Development Support Office
REO	Regional Environmental Officer
TA	Transfer Authorization
USG	United States Government
USAID	United States Agency for International Development (AID)

TABLE OF CONTENTS

I. Introduction to Guidelines	1
A. Purpose	1
B. CS Preparation of CSR4	1
C. Life of Activity Resource Request	2
D. Submission (Format, Date and Fiscal Years of Reference)	2
E. Submission Length and Presentation Format	3
F. Review Process	3
II. Results Report	3
A. Annual Results	3
B. Monitoring & Evaluation, Audits, and Studies	4
C. Expenditure Report	5
D. Monetization Sales	5
III. Resource Request	6
A. Where Approval Authority is Delegated to USAID Mission	6
B. CSR4 Submission in Countries without USAID Mission/ Regional Development Programs	6
C. Resource Request Review Criteria	6
D. Resource Request Format	7
E. Environmental Compliance Statement or Documentation	7
ANNEXES	
A. CSR4 Submission Format and Instructions	
B. Environmental Review and Compliance Information	
C. List of Value Added Commodities	
D. List of Available Information	

Note: If this is an electronic version of this document, note that font changes or margin parameters may affect pagination.

I. INTRODUCTION TO GUIDELINES

The following guidance is being prepared in draft for incorporation into the United States Agency for International Development (USAID)'s Automated Directives System (ADS) where it will be available on-line for USAID and Cooperating Sponsor (CS) reference under USAID Program and Project Assistance, Food Aid Assistance Obligation, Annual Cooperating Sponsor Results Report and Resource Requests (CSR4) (Section 252.5.B).

A. Purpose

The CSR4, besides serving as the Cooperating Sponsor's official "Resource Request" document, provides meaningful results-oriented information to assist Cooperating Sponsors, USAID Missions, and the Bureau for Democracy, Conflict and Humanitarian Assistance (DCHA)/ Office of Food for Peace (FFP) in demonstrating the impact of Title II food aid on food security. It also serves as an important information source during preparation of new Development Assistance Programs (DAPs); the Mission and FFP Annual Reports; and USAID's annual food assistance report to Congress. The CS's results report section of the CSR4 is to focus on the food aid activity's performance indicators and progress towards the achievement of results. In addition, commodity need projections are referred to during the preparation of the FFP's budget request, which feeds into USAID's annual Congressional Budget Justification (CBJ).

B. CS Preparation of the CSR4

A CS must submit a CSR4 to report on each year's activities, and to request funding for the second and any subsequent years of a DAP. In some instances, the results report or the resource request portion of the CSR4 is not applicable. If a CS is in the first year of program implementation and is preparing a resource request for the second year's funding, the corresponding results report section of the CSR4 covers the final year of the previous DAP. However, the results report section is neither applicable nor required where the current DAP is not a consecutive Title II program for that CS in that country. If a CS is in the final year of program implementation and is preparing a "follow-on" DAP proposal, the results report is required for reporting on the next-to-final year of the program, and the resource request section of the CSR4 is neither applicable nor required.

FFP recognizes that there may be changes in implementation arrangements, which may require a substantive review of the foundations upon which the program was originally approved. For example, a radical change in monetization arrangements, timeframe over which program activities would be carried out due to implementation delays as a result of late start-up or external political or climatic events. Under these circumstances, the CS and FFP may mutually decide to consider a program revision through a DAP amendment. CSs are encouraged to consult early with FFP Country Backstop Officers (CBOs) to make this determination.

Public Law 480 requires multi-year programs and DAPs are thus reviewed on that basis, including the objectives and purpose of the DAP. Deviation from those objectives and purposes are presumptively unnecessary.

CSs should submit a DAP Amendment under the following circumstances: 1) there is an increase of 10% in the overall approved LOA, 2) there is a shift in the total LOA resource request among the monetization, Section 202(e) and ITSH budgets; and between monetization and direct distribution commodity requirements, and/or 3) there are changes in implementation arrangements, which may require a substantive review of the objectives upon which the program was originally approved.

To clarify, regarding budget revisions, as a matter of policy, FFP has invoked 22 CFR 226.25 (f), which states:

“USAID may, at its option, restrict the transfer of funds among direct cost categories or programs, functions and activities for awards in which the Federal share of the project exceeds \$100,000 and the cumulative amount of such transfers exceeds or is expected to exceed 10 percent of the total budget as last approved by the USAID Agreement Officer. USAID shall not permit a transfer that would cause any Federal appropriation or part thereof to be used for purposes other than those consistent with the original intent of the appropriation.”

This restriction pertains to the transfer of funds among technical components (e.g., HN, AG, etc.), and not specific cost line items (e.g., personnel, travel, etc.) of the DAP budget (See DAP Guidelines, page 7).

For CSs with consolidated country or regional programs, DAP amendments will be required only if resources are requested over the overall life of activity for the total combined program, or dramatic program implementation arrangement changes are proposed, as described in the paragraph above. For consolidated country programs, the lead CS will have the authority to adjust program levels within the DAP period and between CSs, subject to agreements worked out by the CSs, and funding availability. These changes may be described in the CSR4.

For consolidated regional programs (a single CS with multiple country programs) the CS headquarters (HQ) will have the authority to adjust program levels within the DAP period and between country programs, subject to funding availability. These changes may be described in the CSR4.

C. Life of Activity Resource Request

DAP approvals are explicit as to the LOA resources for commodity and freight funding as well as Section 202(e) and now ITSH funding authorized under the FY 2002 Farm Bill. The LOA provides the framework for the budgetary controls and program parameters throughout the food aid activity. A CS's adherence to programmatic and budgetary components of their approved DAP proposal, as described by the LOA levels for commodities, monetization proceeds, and US dollar budgets (i.e., Section 202(e) and ITSH), will facilitate an expeditious review and approval process for its CSR4.

D. Submission (Format, Date and Fiscal Years of Reference)

CSs should submit one hard copy of their CSR4 as well as one electronic copy on diskette (FFP recommends use of the attached format in Appendix A) to DCHA/FFP and the cognizant USAID Mission no later than November 1.

The results report should provide information on the most recently completed fiscal year (FY). The resource request should present the following two year's resource requests. This forms the basis of the requested year's resource obligation and provides the following year's budgeting levels, which feed into the Congressional Budget Justification (CBJ), which is prepared in January for the fiscal year, two years following. (e.g., CSR4s due on November 1, 2002 include the Results Report for FY 2002 [10/1/2001 – 9/30/2002] and the Resource Request for FY 2004 [10/1/2003 – 9/30/2004] as well as estimated request levels for FY 2005 [10/1/2004 – 9/30/2005]. Requests should cover both commodity, Section 202(e) and ITSH funding needs, and include a comprehensive budget.

E. Submission Length and Presentation Format

The CSR4 should be concise. Following the recommended format in **Annex A**, the CSR4 should total no more than 30 pages, including up to 12 pages for the results report, and up to 14 pages for the resource request. No more than three pages should cover monetization, and only one page should cover environment compliance. Budget, AER and other essential appendices may be additional (e.g., revised Bellmon analyses, evaluations, etc., if required).

All CSR4 submissions must be:

- written in 12-point type (narrative) in English, paginated, with a date on each page
- prepared in MS Word '97 (text) and Excel (spreadsheets)

Include only the information requested (state if a section is not applicable). The only appendices that should be attached are those required by these Guidelines. Repetition of narrative information already presented in the relevant approved DAP is unnecessary. Reference should be made to any sections of a DAP or previous Results Report which are relevant to an issue or point being addressed in the CSR4 (include page number and/or section references).

F. Review Process

USAID Missions are responsible for the initial review of the CSR4s. Missions are required to comment, via cable, on the CSR4s by February 1, to FFP. Mission review and cable instructions are issued separately. For programs operating in countries without a USAID presence, the CS should contact FFP for information regarding which Mission in the region will have cognizance over the proposed activity. Where a USAID Mission has CSR4 resource request approval authority (redelegated Mission), the USAID Mission coordinates the CSR4 resource request process.

FFP conducts a completeness check on CSR4s, obtains USAID Mission comments, and reviews the documents against the presented criteria. Normally, funding is available at the level

approved for that FY in the original approved DAP, or subsequent DAP Amendment. CSR4 resource requests which require funding above the previously approved annual level are considered on a case by case basis, based on funding availability and program priorities. Note, however, that LOA levels may not be exceeded in CSR4 requests. If the LOA level will be exceeded by 10 % or more, a DAP amendment is required. CS meetings will be held on an as needed basis. Transfer Authorization (TA) modifications are issued by FFP or, in the case of Missions where CSR4 approval is delegated, by the USAID Mission.

II. RESULTS REPORTS

A. Annual Results

CSs are asked to briefly discuss progress to date or results achieved over the LOA with particular emphasis on results obtained during the most recently completed fiscal year. In an indicator performance tracking table, they should also present anticipated results for future fiscal years against strategic objectives and intermediate results in terms of the approved performance indicators.

Where possible, CS are asked to include brief narrative examples of success stories or people-level impacts that can be used for reporting program successes to a wider audience.

A good performance assessment will:

- 1) describe progress over the past year relative to planned results as reflected by the objective and intermediate result indicators, baselines and targets;
- 2) state explicitly whether progress met, exceeded or fell short of expectations toward achievement of the objective;
- 3) interpret significant trends and highlight differences between planned and actual performance;
- 4) identify reasons for performance shortfalls or greater than expected results;
- 5) document any proposed revisions in out-year targets based on performance to date; and
- 6) describe CS actions taken to respond to recommendations from FFP or the Mission in previous year approval documentation.

Out-year targets should be revised upward when prior year targets have been consistently exceeded, unless the CS provides an explanation that unanticipated factors that may not be repeated contributed to exceeding targets. A downward revision of an out-year target requires a full explanation and FFP approval. In cases where up-to-date performance indicator data are not available because of the timing of data collection, provide other evidence of progress toward achieving targets.

This part of the report should also list evaluations and the dates submitted to USAID; information on key evaluation findings and what the CS has done to address them; customer (participant/beneficiary) feedback results; or other evidence of progress toward achievement of targets that support a balanced assessment of progress for each objective.

Some examples of key questions to consider are as follows:

- What circumstances led to exceeding or falling short of expected targets? Were targets too high or too low? If so, why?
- Have key assumptions changed?
- How did customer (participant/beneficiary) feedback influence the CS's thinking on accomplishing the objective? Did this feedback confirm the program is on track, or are there issues which must be addressed?
- How has program management been influenced by inter-sectoral partnering (among non-governmental organizations and governmental actors), and changes in the institutional and policy framework (which was carried out to stimulate community initiative)?
- What is the significance of what is being accomplished (e.g., what is the food security impact of improved water and sanitation infrastructure, service and practices for the affected 1000 households and the region or country as a whole)?

B. Monitoring & Evaluation, Audits and Studies

CSs are asked to provide an update on their monitoring and evaluation system and describe the follow-up to any audits, evaluations or studies. Copies of baseline survey results and evaluations conducted during the year are asked to be attached.

C. Expenditure Report

CSs are asked to provide a report of actual expenditures over the fiscal year, using the comprehensive budget format (i.e., funding sources: monetization proceeds, Section 202(e), etc.).

D. Monetization Sales

This section fulfills the requirements of 22 CFR 211.12 (Regulation 11) that CSs submit an annual report on monetization and program income activities. A separate annual monetization and program income report is not necessary, as, pursuant to the authority granted him in Regulation 11, the Assistant Administrator/DCHA is waiving the following sentence in 22 CFR 211.5(1), "*This annual report should be submitted to AID/W[ashington] by December 31 of each calendar year for the fiscal year ending September 30 of that calendar year.*" to the extent that it conflicts with this guidance with regard to the timing of reports.

1. Analysis of Monetization Transaction(s)

CSs are requested to provide a detailed analysis of the monetization transaction(s) that the CS was party to during the FY. A worksheet is provided within the CSR4 format which

includes: key information regarding each commodity sale, to allow a comparison of the actual sales price to cost recovery in terms of cost to the USG, as well as against the actual full cost of the monetization sale.

2. Monetization Results

CSs are asked to report on how the value of proceeds was maximized, as well as the impacts of the monetization transaction(s) in terms of anticipated and unanticipated effects on local, regional or national production, and marketing of the monetized commodity or its substitutes. The food security impact of the monetization transaction itself is also sought.

III. RESOURCE REQUEST

For CSR4 reporting in the second to last year of the DAP, no resource request is required.

A. Where Approval Authority is Delegated to USAID/Missions

Where a USAID Mission has CSR4 approval authority, the same general Guidelines apply.

B. CSR4 Submission in Countries without USAID Missions/Regional DAP Submission

Where no USAID Mission is present in the country, the CSR4 should be submitted by the CS to the designated USAID “twinned” Mission. In West Africa, CSs should simultaneously submit a copy of the CSR4 to the Regional Food for Peace Officer for review. If the country is covered by a REDSO (Regional Economic Development Support Office) or bilateral Mission, FFP encourages the incorporation of REDSO FFP officers into the review. USAID administers and makes the funding decision on the Title II CSR4 submissions.

If the CS is reporting on a regional program, the CSR4 would be submitted to all applicable USAID Missions and field units for review and submission of comments to BHR/FFP.

C. Resource Request Review Criteria

Annual funding will be subject to the availability of funds and commodities. A critical factor in the approval of a resource request is the assessment that adequate progress is being made towards achieving results as reported in the CSR4 (e.g., progress as planned or as is reasonable in the given circumstances).

1. Technical Review Criteria

The following criteria apply to all Title II Results Report and Resource Requests:

a. Successful Program Implementation

Adequate progress is being made towards achieving results as reported in the CS’s Results Report section covering the previous FY. There are no changes to the program.

b. Responsiveness to Concerns and Recommendations

The CS has complied with all requirements and addressed previously raised concerns and recommendations that have been identified in that FY's approval documentation, the previous year's Results Report reviews, evaluations, or other sources.

c. Financial Plan

The financial plan for the FY, including monetization, Section 202(e) and ITSH funding pipeline analysis, is deemed reasonable, within the meaning of OMB Circular A-122, by the USAID Mission and DCHA/FFP. For Title II programs with monetization components, the CS has satisfactorily met financial and management capacity certification requirements as determined by the USAID Mission.

d. AER Analysis

The FY's Annual Estimate of Requirements (AER) is correctly calculated, consistent with other commodity usage documents, and does not exceed the commodity resource requirements (line 8) approved for the fiscal year in the original DAP. Any deviations from the previously approved levels for the fiscal year must be justified. In addition, the CS has submitted a 12-month procurement plan for the fiscal year for requested commodities.

e. Mission Concurrence

The USAID Mission Director or Deputy Director, "twinned" USAID Mission Director or Deputy Director, and/or Regional Food for Peace Officer have concurred with the continuance of the program, having reviewed it in accordance with the above criteria, and has provided comments.

f. Environmental Compliance

Updating of environmental compliance documentation requirements, as appropriate, has been completed.

2. Resource Request Approval Criteria

Resource Requests will be approved based on the above criteria, subject to commodity and funding availability.

D. Resource Request Format

CSs are shall submit a program summary and information regarding their activity resource requirements for the fiscal year, both financial and commodity levels. Use of FFP's CSR4 suggested format is recommended. (**See Annex A**)

E. Environmental Compliance Statement or Documentation

If the Initial Environmental Examination (IEE) of the original DAP proposal was cleared without conditions or a categorical exclusion was granted, the CS should only submit a signed Environmental Status Report (ESR) face sheet.

In all other situations, the CS should include, as an appendix to the CSR4, an ESR detailing the actions they have undertaken with regards to the previously approved IEE. The ESR should indicate whether mitigation plans are on schedule and detail the monitoring and evaluation measures being undertaken by the Cooperating Sponsor. The ESR face sheet must be signed by either the Mission Environmental Officer or the Food for Peace Officer.

For those Cooperating Sponsors who received a prior year deferral on one or more aspects of their program from the DCHA Bureau Environmental Officer, an amended IEE should be included with their resource request to resolve each deferral or indicate that the activity will not be conducted, if that is the case. See **Annex B** or the Environmental Documentation Manual for further details.

Annex A

CSR4 FORMAT

Title II

Country/Cooperating Sponsor

Fiscal Year 2002 (FY x) Results Report &

Fiscal Year 2004 (FY x+2) & 2005 (FY x+3) Resource Request

FINAL

November 21, 2002

Submission Date: _____

**CS HQ Contact Name
CS HQ Contact Address
CS HQ Contact Tel.
CS HQ Contact Fax
CS HQ Contact email**

**CS Country Office Contact Name
CS Country Office Address
CS Country Office Contact Tel
CS Country Office Contact Fax
CS Country Office Contact email**

Table of Contents

	Page
I. Results Report	
A. Annual Results	
B. Monitoring and Evaluation, Audits, and Studies	
C. Expenditure Report	
D. Monetization Sales	
1. Analysis of Monetization Transaction(s)	
2. Monetization Results	
II. Resource Request	
A. Program Request Summaries	
B. Activity Resource Requirements	
1. Financial Plan	
2. Commodities	
C. Environmental Compliance	
Appendices	
A. Expenditure Report	
B. Resource Request Budget	
C. Annual Estimate of Requirements (Commodities)	
D. Bellmon Analysis	
E. Certification Regarding Lobbying	

FISCAL YEAR X RESULTS REPORT
(up to 12 pages)

I. Results Report

A. Annual Results

Briefly discuss progress to date or results achieved over the life-of-activity with particular emphasis on results obtained during recently completed fiscal year (FY x). Show results in the table below (delete or add columns as needed):

Indicator Performance Tracking Table

Indicator	Base-line	FY 1 Target	FY 1 Achieved	FY 1 Achieved vs Target	FY 2 Target *	FY 2 Achieved	FY 2 % Achieved vs Target	FY 3 Target *	FY 3 Achieved	FY 3 % Achieved vs Target	LOA Target	LOA Achieved
Component 1 Impact Indicator 1												
Component 1 Impact Indicator 2												
Component 1 Monitoring Indicator 1												
Component 1 Monitoring Indicator 2												
Component 2 Impact Indicator 1												
Component 2 Impact Indicator 2												
Component 2 Monitoring Indicator 1												
Component 2 Monitoring Indicator 2												

* Targets which have been changed since the original approved DAP proposal should be noted with an asterisk

Note: Annual monitoring indicators should be reported on each year. Impact indicators need only be reported on those years determined by the CS as appropriate by the CS's monitoring and evaluation plans. If CSs adjust indicators or targets, for example if they found to be inappropriate, or targets were set too high or low, clear explanation should be provided. Note that explicit FFP approval of this table in the TA modification is required for downward revision.

Where possible, please include a few brief narrative examples of success stories or people-level impacts that can be used for reporting program successes to a wider audience.

B. Monitoring & Evaluation, Audits, and Studies

1. Provide a brief update on the monitoring and evaluation system established for the program, its design and how it measured the results presented. Note whether there is collaboration with other CSs in establishing joint or coordinated monitoring and evaluation systems and/or sharing information the information generated. Note: If you are proposing to modify the USAID approved monitoring and evaluation program, include the proposed revised plan as an attachment.
2. Summarize the key findings or recommendations of the evaluations, audits, or studies conducted in FY x (or attach a copy of the executive summary) and state what CS is doing to address them. Provide the status of any outstanding recommendations from FY x and/or previous years, if any. If a copy of a baseline, evaluation or study has not already been submitted to FFP, attach a copy.

C. Expenditure Report

Use the format provided in Appendix A to report actual expenditures against approved levels for FY x.

D. Monetization Sales

1. Analysis of Monetization Transaction(s)

Complete the worksheet below (add/delete columns as needed) for all call forwards for which the monetization sales **were completed** during FY x. If commodities from a single call forward were sold in multiple lots at varying prices, report the weighted average price on line 10. If commodities from a single call forward were sold during two different FYs, the CS should report on the full call forward amount in the FY when all the monetization sales were completed.

Actual Monetization Cost Recovery	Call Fwd 1	Call Fwd 2	Call Fwd 3
1. Call Forward ID (CCC) Number (a):			
2. Sale Date:			
3. Commodity:			
4. Tonnage per Bill of Lading (MT) (b):			
5. Exchange Rate (applicable when seller paid or as stipulated in the sales contract):			
6. Actual commodity cost as shown on Bill of Lading (\$):			
7. Actual shipping cost as shown on Bill of Lading (\$):			
8. Note whether US/foreign flag vessel (US/FF):			
9. Lowest valid foreign flag freight cost (\$) (c):			
10. Inland freight (if applicable) actual (\$) (d):			
11. Actual sales price (\$/MT) (e):			
12. Total proceeds at actual sales price (\$):			
13. Local cost of monetization (transaction costs) (\$):			
14. Net proceeds (total proceeds-transaction costs) (\$): (Line 11-Line 12)			
15. Net proceeds / FF shipping (f) [Line 14/(Lines 6+9+10)]:			
16. Net proceeds/actual shipping (g) [Line 14/ (Lines 6+7+10)]:			

- Notes:
- (a) Call Forward ID Number as shown on CCC form 512 sent to CS shipping office.
 - (b) Only one set of figures should be provided for each call forward.
 - (c) Obtain lowest valid foreign flag freight estimate (\$ and not \$/MT) from CS tender document and analysis of bids
 - (d) Show actual total inland freight costs.
 - (e) If multiple lot sales were conducted, the sales price should be reported as a weighted average: e.g., $(\text{sales price} \times \text{tonnage sold in lot a} / \text{total tonnage}) + (\text{sales price} \times \text{tonnage sold in lot b} / \text{total tonnage}) + (\text{sales price} \times \text{tonnage sold in lot c} / \text{total tonnage})$.
 - (f) Actual cost recovery against foreign flag estimated rate = net proceeds / (actual FOB value per bill of lading + foreign flag freight estimate)
 - (g) Actual cost recovery against actual shipping = net proceeds / (actual C&F value per bill of lading + actual inland freight cost)

If the actual price differed from the estimated price at the beginning of the program, explain. If actual cost recovery (Line 15 above) was not achieved at 100%, explain why not. Report on any problems with the implementation of the monetization transaction. Were any lessons learned?

2. Monetization Results

A. Maximizing Value of Proceeds

Note whether the timing of the sale corresponded with the agricultural crop and market cycles in order to obtain the best sales price. How was it ensured that the value of monetized proceeds did/will not diminish due to currency fluctuations and/or devaluation?

B. Monetization Sales Impacts

Report on the outcome of the monetization transaction(s) in terms of anticipated and unanticipated effects on local, regional or national production, and marketing of the monetized commodity or its substitutes: Discuss any food security impact of the monetization transaction itself.

FISCAL YEAR X+2 & X+3 RESOURCE REQUEST

(up to 14 pages)

II. Resource Request

A. Program Request Summaries

FY Summary Request Table (X+2, X+3)

FY 2004

Program Component	Commodity (MT)	Commodity (MT)	Section 202(e) (\$)	Section 202(e) (\$)	Monet. Budget (\$)	Monet. Budget (\$)	ITSH (\$)	ITSH (\$)	PVO Cost Share (\$)	PVO Cost Share (\$)
(note each technical area*)	Approved DAP for FY x+2	CSR4 Request for FY x+2	Approved DAP for FY x+2	CSR4 Request for FY x+2	Approved DAP for FY x+2	CSR4 Request for FY x+2	Approved DAP For FY x+2	CSR4 Request for FY x+2	Approved DAP For FY x+2	CSR4 Request for FY x+2
TOTAL										

FY 2005

Program Component	Commodity (MT)	Section 202(e) (\$)	Monet. Budget (\$)	ITSH (\$)	PVO Cost Share (\$)
(note each technical area*)	Expected Request for FY x+3	Expected Request for FY x+3	Expected Request for FY x+3	Expected Request for FY x+3	Expected Request for FY x+3
TOTAL					

*Select from: Health & Nutrition (including Water & Sanitation), Agriculture, Education, Micro-finance, Humanitarian Assistance.

Beneficiary Summary by Technical Area

Program Component (Tech'l area)	Number of Beneficiaries During Year 1	Number of Beneficiaries During Year 2	Number of Beneficiaries During Year 3	Number of Beneficiaries During Year 4	Number of Beneficiaries During Year 5	Number of Beneficiaries Over LOA (not a sum)

Numbers are requested to reflect the number of direct beneficiaries met in each year of the program. Total LOA beneficiaries should not necessarily equal the sum of beneficiary numbers in each FY, but should reflect the actual number of individual direct beneficiaries over the LOA. Number of beneficiaries should equal total direct

monetization beneficiaries. Beneficiaries should not be double-counted (e.g., same direct beneficiaries for more than one program category). Monetization beneficiaries should include those covered by direct distribution (costs supported by monetization) as well as those beneficiaries participating solely in monetization-funded activities. Provide a brief narrative explaining beneficiary numbers, particularly if needed to explain numbers of participants entering or exiting the programs. If expected or planned beneficiary numbers are not anticipated to meet those projected in the DAP, present the differences and explain why.

Provide a short narrative (a few pages) describing the activities and focus of the program for the fiscal year, highlighting any deviation from the plan as presented in the DAP.

B. Activity Resource Requirements

1. Financial Plan

a. Comprehensive Budget

CSs are requested to maintain consistency in budget presentation as they move from the DP submission through all subsequent Resource Requests. Provide narrative to accompany budget and explain deviations of 10% or more from the approved DAP proposal. Provide budget in **Appendix B**. Explain budget line item changes that are greater than 5% as approved in the DAP proposal for that FY. Show by comparison that the change will not result in a cumulative increase of 10% for any technical sector over the life of the DAP. Note that the overall LOA budget is expected to remain constant over the life of the DAP.

b. FY 2004 Section 202(e) Request & Narrative

If requesting Section 202(e) funds, refer to the instructions in the proposal guidelines, provide a narrative to clarify 202(e) funded budget line-items. Provide 202(e) budget in **Appendix B**.

c. Monetization (Proceeds) Pipeline Analysis

Provide the monetization (proceeds) pipeline analysis below. "x" is the year of the results report being submitted. The closing monetization balance for 9/30/X+1 (below) should be shown in the comprehensive budget for FY x+2 as an opening balance.

	Foreign currency	Exchange rate	US Dollar equivalent
1. Opening balance at 10/1/x of funds from prior year(s) monetization, including interest			
2. Total actual and anticipated funds to be received from monetization during FY x+1			
a. FY x (prior year) approved commodities:			
b. FY x+1 (this year) approved commodities:			
3. Interest earned and anticipated in FY x+1			
4. Total expenditure (actual to date + estimated) of monetization funds during FY x+1			
5. Anticipated closing balance of monetization funds at 9/30/x+1 [lines (1+2a+2b+3)-4]			
6. Amount of reserve/bridge funding needed to support program operations until FY x+2 monetization sale(s).*			

Note: in the final year of a DAP, an extra 3 months worth of monetization funding may be requested for closeout activities. However, bridge funding for a follow-on program will not be granted as part of the previous program.

Monetization LOA Analysis Table

Complete the following table for each FY of the DAP to show consistency or highlight problems in foreign currency cash flow (proceeds and expenditures) against approved budget. (If information not yet available, e.g., when making a third year request, for the actual expenditures for years 2,3,4 & 5, note “not available”). CS LOA expenditures are expected to stay within approved LOA budget levels. Explain any deviations from planned budget levels.

	Year 1	Year 2	Year 3	Year 4	FY 5	TOTAL
Monet. Budget (as approved in TA or TA Amend.)						
Actual Monet. Proceeds Received						
Actual Monet. Proceeds Expended						
Monet Budget Request (current action)*						

** If no changes to previously approved budget, use approved levels. However, if proceeds and/or expenditures vary greatly from that approved and outyear budget adjustments (within approved LOA) are being requested, completed budget years may reflect actual expenditure levels.*

e. Monetization Proceeds (up to one page)

Summarize the anticipated costs of the monetization, provide a chart showing the commodity(ies) to be sold, estimated sales price(s), and resulting anticipated revenues. Provide an analysis which shows that this is close to projected cash needs for the FY. Discuss the likelihood that actual price/revenues may differ, why, and provide contingency plan.

If the planned monetization will differ from the description in the original monetization plan, or if the original monetization plan was not detailed, provide the necessary updates.

2. Commodities

a. Annual Estimate of Requirements (AER)

*Provide any needed explanation, for example if AER differs from LOA levels approved for the program. Complete the FY x+2 AER in standard format (which contains 21 lines), with at least the CS’s headquarters’ signature. Note that all parties must sign three original copies no later than June 30, for the imminent fiscal year. See the DAP proposal guidelines for further information regarding instructions as to who must sign the AER.(provide as **Appendix C**).*

b. Commodity Procurement Schedule

Complete commodity procurement schedule below for the FY line 17 tonnage requested in the AER for FY x+2 only. Add or delete columns as necessary. Note that call forward deadlines are about the 4th of each month. Commodities are purchased the following month, and normally are “at port” two months following the purchase. CSs should consider the necessary shipping time to the country in question. A September call forward would be necessary for “at US port availability” of bulk commodities in October or November, All processed commodities can be made “port available” beginning in December, but no earlier. As such, processed commodities should not normally be scheduled to be at US port in October or November (this would necessitate prior year funding).

Call Forward Tonnage (MT)

		Oct. (MT)	Nov. (MT)	Dec. (MT)	Etc... (MT)	Total (MT)
AER category	Commodity					
1.	a.					
	b.					
	c.					
	d.					
Total category						
2.	a.					
	b.					
	c.					
	d.					
Total category						
3.	a.					
	b.					
	c.					
	d.					
Total category						
GRAND TOTAL						

c. Anticipated Monetization Cost Recovery Calculation and Estimate

Discuss anticipated cost recovery for FY x+2. Justify the monetization on the basis of the amount of funding to be made available for programming as compared to the costs incurred in carrying out the monetization.

Discuss how previously encountered problems will be avoided or mitigated.

Anticipated Monetization Cost Recovery for FY x+2:

Complete the worksheet below (add/delete columns as needed) for expected monetization transactions.

	Call Fwd. 1	Call Fwd. 2	Call Fwd. 3
1. Expected sale date (or period)			
2. Commodity			
3. Tonnage (MT) to be called forward			
4. Exchange Rate at time of sale or sales agreement (estimated)			
5. CS estimated FAS cost (total \$/MT)			
6. Ocean Freight estimate (foreign flag) (\$/MT)			
7. Inland Freight estimate (\$/MT)			
8. C&F total cost est. using foreign flag (\$/MT) [lines 5+6+7]			
9. Anticipated sales price (\$/MT) (anticipated average if multiple lot sales planned)			

Note: use exchange rate applicable at time of estimate Note: FAS=free alongside ship, C&F=commodity and freight

d. Bellmon Analysis

State whether conditions under which the original Bellmon analysis was conducted have changed. If so, provide a brief update and, if appropriate, attach the updated Bellmon analysis as Appendix D.

C. Environmental Compliance

Refer to ESR in Appendix. If applicable, discuss any special issues (e.g., the status of compliance with any previously issued conditions) or problems related to environmental compliance.

Appendix A

Expenditure Report

[Insert comprehensive expenditure report format for CSR4]

Appendix B

Resource Request Budget

[Insert comprehensive budget format for CSR4]

Appendix C

Annual Estimate of Requirements (Commodities) Standard Format

(insert page 1 & 2)

Appendix D

Bellmon Analysis

(insert, if applicable)

Appendix E

Certification Regarding Lobbying

Submitted in connection with submission of proposal initiating USAID/BHR/FFP consideration of P.L. 480 Title II grant request including any or all of the following: commodities; ocean freight; inland freight; internal transportation; storage and handling; Section 202(e); Institutional Support.

The undersigned certifies, to the best of his or her knowledge and belief, that:

- (1) No Federal appropriated funds have been paid or will be paid, by or on behalf of the undersigned, to any person for influencing or attempting to influence an officer or employee of any agency, a Member of Congress, an officer or employee of Congress, or an employee of a Member of Congress in connection with the awarding of any Federal contract, the making of any Federal grant, the making of any Federal loan, the entering into of any cooperative agreement, and the extension, continuation, renewal, amendment or modification of any Federal contract, grant, loan, or cooperative agreement.
- (2) If any funds other than Federal appropriated funds have been paid or will be paid to any person for influencing or attempting to influence an officer or employee of any agency a Member of Congress, and officer or employee of Congress, or an employee of a Member of Congress in connection with this Federal contract, grant, loan, or cooperative agreement, the undersigned shall complete and submit Standard Form LLL, "Disclosure of Lobbying Activities," in accordance with its instructions.
- (3) The undersigned shall require that the language of this certification be included in the award documents for all subawards at all tiers (including subcontracts, subgrants, and contracts under grants, loans, and cooperative agreements) and that all subrecipients shall certify and disclose accordingly.

This certification is a material representation of fact upon which reliance was placed when this transaction was made or entered into. Submission of this certification is a prerequisite for making or entering into this transaction imposed by section 1352, Title 31, United States Code. Any person who fails to file the required certification shall be subject to a civil penalty of not less than \$10,000 and not more than \$100,000 for each such failure. By signature hereon, the applicant/grantee certifies that the information contained herein is accurate, current, and complete to the best of its knowledge and belief, and that the applicant/grantee is aware of the penalty prescribed in 18 U.S.C. 1001 for making false statements in applications or proposals.

Signature:

Typed Name:

Organization:

Title:

Date:

If applicable, complete this form to disclose lobbying activities pursuant to 31 U.S.C. 1352

1. Type of Federal Action:
___ a. contract
 b. grant
 c. cooperative agreement
 d. loan
 e. loan guarantee
 f. loan insurance
2. Status of Federal Action:
a. bid/offer/application
b. initial award
c. post-award
3. Report Type:
a. Initial filling
b. Material change

For Material Change Only:
Year _____ quarter _____
Date of last report _____
4. Name and Address of Reporting Entity:
___ Prime
___ Subawardee
Tier ___ *if known*:
Congressional District, *if known*:
5. If Reporting Entity in No. 4 is Subawardee, Enter Name and address of Prime:

Congressional District, *if known*:
6. Federal Department/Agency
7. Federal Program Name/Description:
CFDA Number, if applicable:

8. Federal Action Number, *if known*:
9. Award amount, *if known*:
\$ _____
10. a. Name and Address of Lobbying Entity
(If individual, last name, first name, MI):
(attach Continuation Sheet(s) SF-LLL-A, if necessary)
 b. *Individuals Performing Services*
(including address if different from No. 10a)
(Last name, first, MI):
11. Amount of Payment: (check all that applies):
___ actual
___ planned
\$ _____
12. Form of Payment (check all that applies):
___ a. cash
___ b. in-kind; specify:
 nature _____
 value _____
13. Type of Payment: (check all that apply):
a. Retainer
b. one-time fee
c. commission
d. contingent fee
e. deferred
f. other:

14. Continuous Sheet(s) SF-LLL-A attached
___ yes ___ no
15. Information requested through this form is authorized by title 31 U.S.C. section 1352. This disclosure of lobbying activities is a material representation of fact upon which reliance was placed by the tier shown when this transaction was made of xxxxx lobby. This disclosure is required pursuant to 31 U.S.C. 1352. This information will be reported to the Congress semi-annually and will be available for public inspection. Any person who fails to file this required disclosure shall be subject to a civil penalty of not less than \$10,000 and not more than \$100,000 for each such failure

Signature _____

Print Name _____

Title _____

Telephone No. _____ Date _____

Authorized for Local Reproduction Standard Form - LLL

DISCLOSURE OF LOBBYING ACTIVITIES CONTINUATION SHEET

0348-0046

Reporting Entity:
Page ____ of ____

*U.S. G.P.O 1990-260-708:00012
Standard Form - LLL-A
Authorized for Local Reproduction

ANNEX B

Environmental Review and Compliance Information

I. Background on Regulation 16

USAID's Environmental Procedures (known as 22 CFR 216 or Reg. 16) are meant to ensure that (1) the environmental consequences of USAID-funded activities are identified during the design stage, and that these consequences are considered prior to funding approvals and a decision to proceed with activity implementation; and (2) if possible, activities are identified that preserve or restore the natural resource base where the activity is located.

II. Title II Compliance with Regulation 16

Compliance with USAID's Environmental Procedures (known as 22 CFR 16 or Reg. 16) is required of all Title II development activities, whether they are supported by food assistance or Section 202(e) funding. All Title II Development Activity Program proposals should include an Initial Environmental Examination (IEE) with their proposal. If the IEE of the original DAP was cleared without conditions or a categorical exclusion was granted, the CS should only state "No changes" in the Environmental Compliance section of the CSR4 submission.

In all other situations, the CS should include, as an appendix to the CSR4, an Environmental Status Report (ESR) detailing the actions they have undertaken with regards to the previously approved IEE. The ESR should indicate whether mitigation plans are on schedule and detail the monitoring and evaluation measures being undertaken by the Cooperating Sponsor. The ESR face sheet must be signed by either the Mission Environmental Officer or the Food for Peace Officer, and should include an Environmental Status Report detailing the actions they have undertaken with regard to their previously approved IEE. This status report may be between 2-10 pages and should indicate if mitigation plans are on schedule and should detail the monitoring and evaluation measures being carried out by the Cooperating Sponsor. However, if a CS's FY 2002 submission contains changes that require a DAP amendment, an IEE amendment may need to be submitted with the DAP amendment. Please see sections A through D below for further details.

Cooperating Sponsors are encouraged to seek Mission review and clearance on DAP IEEs prior to official submission of the proposal to FFP/Washington. The same is true for CSR4 ESRs and IEE amendments for CSR4s or DAP amendments. Environmental documentation, marked draft, may be submitted informally through the Mission to the Bureau Environmental Officer. If environmental documentation is submitted with the DAP proposal, DAP amendment or CSR4 without having been cleared by the Mission, the CS should insure that it is clearly labeled as "draft -- not cleared by Mission." All draft Reg. 16 documentation must be returned to the Mission for required clearance and the Mission may request revisions to ensure that Mission objectives, consideration of local conditions, and consistency with environmental documentation of other Sponsors in the same country is achieved.

A. New DAPs

To meet this requirement, all DAPs must include an IEE, which must be cleared by the Mission Director or his/her designate. A statement as to whether the Mission concurs/does not concur with the CS's ESR (if applicable) should be included in the Mission's approval/comments cable to FFP. The CS is expected to submit the cleared document with their DAP to FFP for clearance, although FFP will not reject the DAP or consider the DAP incomplete if the Mission is unable to clear the document in a timely manner. FFP will obtain clearance from the FFP Director and forward the IEE to the DCHA Bureau Environmental Officer (BEO) for final concurrence. Note however, that if CSs and Missions are interested in getting feedback from the DCHA, Geographic BEOs or a Regional Environmental Officer (REO) on a draft IEE prior to formal submission, they are encouraged to submit a copy for informal review to one or both BEOs or to the REO, where they exist. An IEE face sheet should accompany the IEE.

B. DAP Amendments

All DAP amendments must include an IEE amendment if a change has occurred from what was submitted in the original IEE. The same clearance process is followed as described above for DAPs. If no change has occurred, the process as described below for CSR4s should be followed.

C. CSR4 Submission

If the IEE of the proposal was cleared without conditions or a categorical exclusion was granted, the CS should only state "No changes" in the Environmental Compliance section of the CSR4.

In all other situations, the CS should include an Environmental Status Report as an appendix to the CSR4, detailing the actions they have undertaken or that need to be taken with regard to the previously approved IEE or Environmental Assessment /Programmatic Environmental Assistance where they might exist. In 2-10 pages, the ESR should indicate whether steps need to be taken to modify previous environmental documentation and whether conditions are being met (e.g., mitigation plans are on schedule and monitoring and evaluation measures are being undertaken by the Cooperating Sponsor). The CSs should include a matrix, or chart, in the ESR outlining that mitigation plans are being implemented as submitted in previous environmental documentation, (i.e. the IEE). An ESR face sheet is used for IEE amendments.

D. Deferrals

For those Cooperating Sponsors who received an FY 2001 deferral on one or more aspects of their program from the DCHA Bureau Environmental Officer an amended IEE should be included with their following year's CSR4 to resolve each deferral or indicate that the activity will not be conducted, if that is the case.

III. IEE Preparation Resources

While these guidelines take precedence, The Environmental Documentation Manual also provides guidance on completing the IEE, IEE amendment and Environmental Status Report (ESR). The Manual also covers more in-depth environmental reviews, and defines many of the environmental compliance issues and terms used in these instructions. A Field Guide to USAID Environmental Compliance Procedures is a shorter field guide. In addition to these documents, both the Mission and Bureau Environmental Officers, and where they exist, Regional Environmental Officers, should be consulted.

Annex D

Supplemental Information List

1. Legislation and Policy

- Regulation 11 and Public Law 480 (as amended through Public Law 107-171, May 13, 2002) *
- Food Aid and Food Security Policy Paper, 1995 *
- List of LDC/LIFDC Countries, 2000 *
- Annual FFP Policy Letter (August, 2002) *

2. Commodity and Monetization Documents

- P.L. 480 Title II Monetization Field Manual, November 1999 *
- Background Paper and Guide to Addressing Bellmon Amendment Concerns on Potential Food Aid Disincentives and Storage*
- Commodity Reference Guide *
- Bellmon Certification Requirements for P.L. 480 Title II Activities - cable: STATE 086386

3. Monitoring and Evaluation and Program Reporting Reference Materials

- Cooperating Sponsor Results Report & Resource Request Guidelines *
- FANTA Indicator & Evaluation Guides *
- Performance Indicators for Food Security (published by CDIE)

4. Environmental Compliance Information for Title II Programs

- Environmental Documentation Manual (October, 1999) *
- A Field Guide to USAID Environmental Compliance Procedures (March 5, 1999) *

5. P.L. 480 Title II : Close-out Plan Guidance *

6. FFP Communications to USAID Missions Regarding Title II Development Programs

- Mission Instructions on the Review of Title II FY 2004 Cycle CSR4s, DAPs, and DAP Amendments (cable)
- Checklist for Mission Management of Title II Programs (with examples) *
- Memorandum of Understanding for “Delegated” Missions (sample)
- Enhanced Mission Authority over Title II Programs in Selected Countries (cable)

Note: Starred (*) documents are available directly or via the FFP Website (www.usaid.gov/hum_response/ffp) or the FAM website (www.foodaidmanagement.org). Other documents are available upon request from FFP (email: acrumbly@usaid.gov).