

Annex A

Multi-Year Assistance Program Proposal Application Format

**P.L. 480 Title II
Country/Cooperating Sponsor**

FY 06 – FY xx

Multi-Year Assistance Program

Proposal Application Format

Resource Request Summary:

Activity Completion Date: _____

Life of Activity Commodity Request (MT): _____

Life of Activity Monetization Budget Request (US\$ Equiv.): _____

Life of Activity Section 202(e) Budget Request (US\$): _____

Life of Activity ITSH Budget Request (US\$): _____

Date of Submission to USAID/Mission and DCHA/FFP: _____

CS HQ Contact Information

*(including Name/Title, Address, Telephone,
Fax, E-mail)*

CS Country Office Contact Information

*(including Name/Title, Address, Telephone,
Fax, E-mail)*

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A. Executive Summary (1 page.)

Provide a concise summary of: 1) food security problem to be addressed; 2) strategic objectives and expected results; 3) the proposed program activities; 4) reason for requesting Title II commodities; 5) resources required and committed, both in-kind and dollars (or dollar equivalent), from all sources; and 6) how the results will be measured and monitored. Briefly present the history of CS activities in the country or region, including the evolution of the Title II strategy and proposed interventions. If there is an emergency relief context, discuss how the proposed programs incorporates development-relief concepts to address transitory and chronic food insecurity, if applicable.

The tables associated with the Executive Summary have been moved to the Annex A, Executive Summary Tables. This annex includes many of the required tables and instructions for their submissions. The website is: **(LINK TO BE ADDED)**

B. Problem Analysis and Proposed Interventions (up to 3 pages if one objective; up to 6 pages if two or more objectives)

The same level of problem analysis is required for all Multi-Year Assistance Program proposals, whether a follow-on to a previously approved proposal or a completely new proposal. If a Multi-Year Assistance Program proposal is integrated with Mission activities and points 1&2 below are covered in the Mission Plan, this plan may simply be referenced.

1. Provide a brief description and analysis of the critical food security problems facing the population in the country and the proposed target area. In this analysis, include or reference appropriate national and local level data that is available on the degree of food insecurity; major determinants of food insecurity (including infectious or water-borne diseases, geo-climatic conditions, natural resource constraints, political and socio-economic conditions, etc.), and the linkage between these factors. Provide data on the geographic distribution of food insecurity in the country to justify the choice of geographic area(s) targeted. Note: Priority for programs in sub-Saharan Africa and South Asia will be reflected in the Congressional Budget Justification (CBJ) country allocations determined by FFP. The Congressional Budget Justification is the annual budget submitted by the Agency to Congress in support of all required expenditures.
2. Based on this analysis of food insecurity problems, identify the priority technical and geographic areas where development assistance is needed, and the time line for action. Briefly describe the extent to which problems in these priority areas are addressed by USAID/DCHA, Global, Mission, World Bank, World Food Program, or other development and community organizations. Note which unmet development needs remain.
3. Among these unmet needs, describe the capacity and relative strengths in your organization for addressing them, technically and geographically. Include a statement regarding the institutional capacity of your organization, and of local partners (if relevant), and the basis

upon which this assessment is made.

4. Based on the analysis of unmet needs and identification of your organization's relative capacity to address them, briefly identify the technical and geographic areas that this proposed activity plans to address (detailed description should be deferred until section C.2.). All Multi-Year Assistance Programs should address problems of food access, availability, and/or utilization, with priority placed on activities that reducing risk and vulnerability to protect and enhance human capacities, livelihood capabilities, community resilience, and community capacity to influence factors that affect its food security. FFP places priority on Title II programming in populations with high levels of child malnutrition and poverty. Therefore FFP anticipates that the Food Aid and Food Security Policy Paper priority technical areas of household nutrition and agricultural productivity will continue to be a central focus of most Title II multi-year programs. For further technical explanation CSs should refer to the USAID Food Aid and Food Security Policy Paper at: **(LINK TO BE ADDED) and the FFP FY 2005 – 2008 Strategic Plan (LINK?)**. Reference a country/intervention area map as (and attach as "Appendix 10") that clearly defines the area(s) of intervention.

Food security programs with HIV/AIDS-affected populations may be supported by Title II resources, where it is determined that HIV/AIDS represents a critical constraint to household food security. The impact of HIV/AIDS on household food security and how the proposed activities would mitigate that impact should be described. CSs are encouraged to integrate HIV/AIDS activities and service providers funded by other sources (CS, USAID/Mission, etc.) with the Title II-funded activities. Where possible, direct co-programming of resources (CS, USAID/Mission, etc.) should be undertaken.

C. Program Objectives and Design (up to 15 pages if one objective, up to 20 pages if two or more objectives)

C.1. Specific Objectives

The MYAP proposal should prioritize program objectives, keeping them focused and limited in number and in context with the new FFP strategy framework. The objectives and related activities should be categorized under one of the following technical sectors:

- (a) health and nutrition;
- (b) agriculture, natural resource management and related infrastructure;
- (c) education;
- (d) micro-enterprise development;
- (e) community capacity strengthening
- (f) non-emergency humanitarian assistance; and

(g) emergency humanitarian assistance

Productive safety-net activities should be reflected under the relevant technical sector they support. Social safety-net activities should continue to be reflected under (f) non-emergency humanitarian assistance. Clearly state the objectives and intermediate results anticipated over the life of the program. State the established timeframe for completion.

C.2. Proposed Activities

Describe the type, purpose, location, and feasibility of the activities, referring to a country/intervention area map to be included as **Appendix 10**. Relate activities to the specific objectives and technical sectors. Describe how the activities will be implemented and by whom. Describe and quantify the target population, including what proportion of the area's population will be covered under each objective. If the activities are proposed in more than one technical sector, describe how and to what extent the interventions will be integrated at the community-level. State the amount and type of commodity that would be used. Specify how the Title II food and/or monetization proceeds will be utilized, and justify the size of the ration and the ration mix selected.

Gender issues are important considerations in the design, targeting, and management of the program components. Multi-Year Assistance Program proposals should describe a gender strategy to ensure equitable participation by both men and women in Multi-Year Assistance Program activities.

C.3. Key Assumptions and Risk Management

Discuss the key or critical assumptions of the planned activities and any risks that may negatively affect expected results. If relevant, include climatic, political, or economic instability or potential for other program disruptions. If the proposal includes a monetization component, include potential risks and typical problems associated with commodity trading (e.g., defaults by buyers, commercial sector complaints, fluctuating market prices, and currency devaluation). Briefly describe any contingency plans to mitigate the risks and the effect of changes in critical assumptions. If the success of the planned activities is contingent upon conditions or events outside the CS's control (e.g., host government infrastructure, policy or program shifts of the host government, or material contributions from other organizations), briefly note them. State how they could affect the CS's ability to carry out its planned activities and how the CS would address this situation.

C.4. Sustainability Strategy

Identify the exit strategy for Title II assistance. Describe a time frame for graduation of families from specific components, individual communities from the Multi-Year Assistance Program, and the Multi-Year Assistance Program from the geographic area. Describe how the

activity will promote the financial and/or institutional sustainability of intended results. Discuss how sustainability will be measured, e.g., cost recovery, financial commitment, technical/managerial capacity, community commitment, or the capacity of host country counterparts, government, or institutions. If applicable, describe the capacity of host country counterparts to sustain the results of the activities. If the activities are not to be continued, explain why the activity will no longer be required.

C.5. Lessons Learned

If the CS had a previous Title II program in the target country, the activity design should incorporate lessons learned from previous activities and respond to the concerns raised in recent evaluations or audits. The design should also include lessons learned from other relevant country programs. If the program builds on non-Title II investments/activities in the area, outline these activities, their impact, and lessons learned for the current Multi-Year Assistance Program proposal design.

D. Complementarity (up to 1 page)

Briefly describe how program interventions support or complement host government (national, regional, or local), CS, and USAID/Mission strategic development objectives. Describe how Title II activities relate to other investments that have occurred in the same geographic area, either by the host government, other CSs, USAID, or other donors. Note any complementarity between the proposed program and other relevant activities being undertaken in the country. Indicate where complementary programs are being carried out. State how Title II resources are being integrated with other resources. Describe partnerships and alliances with community and local groups, as well as with other CSs.

If collaboration with other CSs is anticipated, describe how resources are to be pooled and describe the relationships and responsibilities among the group. If a consolidated country program or a consolidated regional program is being presented, discuss the complementarity between the programs.

E. General & Detailed Implementation Plans (up to 6 pages)

Provide a detailed, time-phased implementation plan for the first fiscal year of the Multi-Year Assistance Program that accurately reflects the interaction of resources, activities and achievement of performance targets. As such, this plan should be regarded as a management tool that guides and directs the annual implementation of the Multi-Year Assistance Program program. At a minimum this plan should include: a list or chart identifying key activities planned; the quantity and timing of these activities; person(s) responsible; and the relationship between the planned activities and the strategic objectives. Activities should be clearly linked to strategic objectives and specific performance targets. Indicators should be identified that will be used to track progress in achieving annual targets and objectives. In addition to the technical program activities, all training, technical assistance, evaluation, audit, commodity procurement, and other key support actions should be included in the activities list of the detailed

implementation plan. Additional narrative is encouraged to further describe the information provided in the chart to support linkages between activities and expected achievements. If major assumptions are being made to support performance targets, these should be noted accordingly.

Provide a general time-phased implementation schedule for each of the Multi-Year Assistance Program out years. Include a list or chart identifying the following: key activities planned; timing of these activities; person(s) responsible; and the relationship between the planned activities and the strategic objectives, performance indicators, and/or benchmarks established for each activity. Include all training, technical assistance, evaluation, audit, commodity procurement, and other key actions.

It is understood that as the implementation of programs evolve over time there will be changes and refinements to the general implementation plans for the out-years. For this reason, FFP will request a detailed implementation plan for each program year as part of the resource request section of the CSR4. This will ensure that the implementation plan remains relevant and incorporates lessons learned and feedback from monitoring and evaluation exercises.

F. Monitoring and Evaluation (up to 4 pages)

F.1. Monitoring and Evaluation Plan

Describe the monitoring and evaluation (M&E) plan that will be implemented to measure the performance indicators and report on the degree of achievement of results. Joint monitoring and evaluation plans are encouraged where more than one CS is engaged in similar activities, and is required where a consolidated proposal is being submitted.

The Multi-Year Assistance Program proposal should articulate a comprehensive and actionable methodology for monitoring and evaluation, including baseline data, (or a plan to complete the baseline data collection within the first year of the Multi-Year Assistance Program), measurable intermediate results, and procedures to collect, analyze, and incorporate results in modifying the activity based on lessons learned. A mid-term evaluation should be programmed approximately mid-way through the Multi-Year Assistance Program period. The mid-term evaluation should provide an assessment of progress in Multi-Year Assistance Program implementation that can serve as a management tool to refine program activities and improve internal CS management of the program. Emphasis should be placed upon the implementation process and effects at the beneficiary level. There is no requirement for a population-based survey at mid-term, only at the baseline and final impact evaluation. An external impact evaluation should be planned for the penultimate year of the Multi-Year Assistance Program. The focus of the final evaluation should be the results achieved by the program, substantiated with quantitative data from a population-based survey. The results of the final evaluation will be a primary consideration in the review of follow-on or similar Multi-Year Assistance Program proposals.

A viable Monitoring and Evaluation Plan should include the following:

- a. For each indicator, clear identification of the type of data to be collected, the frequency of data collection, the methodology to be used, the population covered, key assumptions anticipated in the planned interpretation of data, and the personnel who will collect and analyze the data.
- b. Description of the information and data collection systems in place or planned that will be used to track progress related to annual monitoring indicators; description of how monitoring information will be used to adjust activity implementation.
- c. Description of the evaluation component of the activity planned for measuring progress related to impact indicators, including personnel and funding required; description of the evaluation design, including sampling plan and plans for control groups, if any; description of the sources of baseline data; and a time line for the baseline study (which should be completed within the first year), the mid-term evaluation, and an impact evaluation [The final evaluation for Multi-Year Assistance Programs that have a Life of Activity of four years or longer should be conducted in the penultimate year of the program. For three year Multi-Year Assistance Programs, the final evaluation should be conducted by the first quarter of the third year]; description of the monitoring procedure (technique, frequency) that will be used to measure behavioral change where behavioral change is sought.
- d. If required by the Initial Environmental Examination or Environmental Assessment, especially for activities in agriculture, natural resource management, water and sanitation, and/or physical infrastructure development, describe how the environmental impact will be monitored. Also, discuss whether the environmental effects will be part of the project's overall monitoring and evaluation system, and if so, whether annual and impact indicators have been developed.

F.2. Results, Performance Indicators and Targets

Performance indicators should measure the extent to which the activity results in changes in behavior and well-being at the population level, as well as progress in activity implementation. Two types of performance indicators should be identified in the MYAP proposal: impact indicators and annual monitoring indicators. CSs should refer to Annex F for a list of resources for additional information on indicators.

If the MYAP has Health and Nutrition program objectives, CSs are required to report on the impact on child nutritional status using indicators of height-for-age and/or weight-for-age, in addition to indicators they may choose for changes in child feeding behavior. Where appropriate, FFP also encourages the use of child nutritional status indicators, especially stunting (height-for-age), to measure the impact of activities in other sectors.

If the MYAP has program objectives aimed at improving the food access component of food security (e.g., program objectives in agriculture, micro-enterprise development, income generation and diversification), CSs are required to report on the impact on household food consumption using indicators of months of inadequate food provisioning and/or household dietary diversity.

Where appropriate, MYAPs should include annual monitoring indicators that provide information on the percent of targeted population reached, the percent of targeted population adopting improved practices/behaviors, and the percent of communities with enhanced capacity. The specific annual monitoring indicators will vary, based on MYAP-specific approaches and interventions.

Where appropriate, indicators and targets should be established to capture the impact of mitigation activities that lessen the negative impact of a problem, such as a drought, cyclone, or a high prevalence of HIV/AIDS, on household food security of a particular target group. If possible, CSs should work with USAID/Missions so that CS monitoring complements or supplements USAID monitoring and evaluation efforts, and vice-versa.

Where appropriate, the MYAP proposal should also identify the early warning indicators and trigger levels that will be used by the CS to refine and adjust existing interventions to meet the increased needs, and/or initiate a request for emergency resources, to enable a timely response to increased food insecurity following an emergency or shock.

Complete the performance indicator tracking table below with both annual monitoring and impact indicators and targets. Quantify the current level of each performance indicator, if possible, with primary data (baseline) for the population of interest, or with secondary data that provide a reasonable estimate of the current situation. Include annual targets as appropriate (not applicable as needed) and LOA targets for all performance indicators. The magnitude of change in the performance indicator, the size of the population affected, and the criteria for determining that targets have been achieved, must be clear.

Impact Indicator 2																		
Component 2 Monitoring Indicator 1																		
Component 2 Monitoring Indicator 2																		

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 the CS adjusts indicators or targets (for example, if found to be inappropriate or targets were set too high or low) clear explanation should be provided. Note that explicit FFP Approval is required for downward revision.

* Specify the fiscal year to be reported (e.g. FY06).

G. Audits (up to ½ page)

Provide information regarding the CS's A-133 audit policy/scheduling and other Title II-related audit activities. Discuss how any outstanding audit recommendations will be closed and, as required, incorporated into the activity.

H. Commodity Market Issues (up to 1 page)

H.1. Bellmon Analysis

State who carried out the Bellmon analysis and provide a brief statement regarding the summary conclusions, relevant issues or areas of concern, and plans to ensure they are mitigated or resolved. The CS should attach a copy of the analysis as “**Appendix 8.**”

H.2. Usual Marketing Requirements

The Usual Marketing Requirements (UMR) are detailed in the FFP Monetization Field Manual. Monetization activities will be undertaken only where they will not disrupt commercial markets for agricultural commodities. Program levels will be compared with USDA's established amount available for US programming under the “usual marketing requirements” (UMR) analysis. The UMRs are routinely provided by USDA for specific commodities and countries. CSs are encouraged to get the UMRs from the USDA in Washington or through their Agriculture Attaches or USAID Mission locally. Where this is not possible, CSs may contact FFP.

I. Activity Resource Requirements (up to 5 pages)

I.1. Commodities

Programs in a single country should submit a single AER, commodity procurement schedule, and life-of-activity commodity requirement worksheet, in the electronic format in the Executive Summary Table. Consolidated regional program proposals should include an AER for each country, and reflect individual country data, as well as a consolidated total on the remaining charts.

I.1.a. Annual Estimate of Requirements

The CS should submit as “**Appendix 3**” the signed Annual Estimate of Requirements (AER) form for the first fiscal year of the Multi-Year Assistance Program. Ensure that package size and commodity type are specifically noted on the AER. The electronic AER can be found at: (**LINK TO BE ADDED**).

I.1.b. Commodity Requirement Worksheet for Life of Activity

The commodity requirement worksheet must include all of the commodities for both direct distribution and monetization required for program implementation for the performance period of the Multi-Year Assistance Program. In addition, the commodities must be attributed to either emergency or non-emergency programming. A table must be completed for each year. This table should be completed in its electronic format (found in the Executive Summary Tables), and submitted via e-mail with the complete Multi-Year Assistance Program application. The commodity requirement worksheet and instructions for its completion can be found at the site below.

See Annex A, Executive Summary Tables, for Commodity Requirement Worksheets for Life of Activity (**LINK TO BE ADDED**).

I.1.c. Commodity Procurement Schedule

The commodity procurement schedule identifies which month the CS would like to have commodities to arrive at the U.S. port for the first year of the Multi-Year Assistance Program based on the invitation number. This table can be found at the website below and must be completed as part of the application process.

See Annex A, Executive Summary Tables for Commodity Procurement Schedule (**LINK TO BE ADDED**)

I.1.d. Monetization Plan

Include a monetization plan as outlined in the relevant sections of the Title II Monetization Field Manual, referring to the monetization criteria and FFP monetization policies. Provide full justification for the monetization and describe the proposed mechanics of the monetization (type of sale, type of buyer, anticipated commodities, whether sale will be conducted with other CSs, etc.). Provide a separate monetization sales budget and projected proceeds from sales. Discuss sales proceeds management, including “maintenance of value” issues, and the vehicle procurement plan, if applicable. Reference the Title II Program Policies and Proposal Guidelines, Section VIII.c.iv.

Anticipated Monetization Cost Recovery Calculation and Estimate

Discuss anticipated cost recovery for the first fiscal year of the program. Compare against actual cost recovery achieved in prior year (if a follow-on program). 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. Justify based on the generation and use of monetization proceeds and food security impacts. Discuss how previously encountered

problems will be avoided or mitigated and provide details on any localized market factors that impact market prices and cost recovery.

Anticipated Monetization Cost Recovery

Complete the worksheet below (add or delete columns, as needed) for expected monetization transactions in the first fiscal year of the program.

	Sale 1	Sale 2	Sale 3	Wtd Avg
1. Call Forward Number				n.a.
2. Expected Sale Date				n.a.
3. Commodity				n.a.
4. Tonnage to be Called Forward (total MT)				(total)
5. Exchange Rate (estimated)				
6. CS estimated FAS cost (total \$/MT)				
7. Freight estimate (foreign flag)* (\$/MT)				
8. Inland freight estimate (\$/MT)				
9. C&F total cost est. using foreign flag (\$/MT)				
10. Anticipated sales price (\$/MT)				

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

I.1.e. Logistics Plan

Discuss any commodity-related issues, including port facility, storage infrastructure, port management capabilities, transport status, and commodity pipeline. For landlocked countries, note the points of entry (limited to four) for FFP review and approval. For special procurement or shipping requests, such as containerization or through bills of lading for non-landlocked countries, a detailed justification must be attached. If reimbursement for inland transport charges will be requested, attach a copy of the contract covering transport for the first fiscal year of the Multi-Year Assistance Program, and an estimate of total U.S. dollars needed for inland transport. If not yet available, state when this will be submitted to DCHA/FFP. If the subject contract is not in English, a translation of the contract into English is required.

I.2. Financial Plan

I.2.a. Budget Narrative

Explain how the financial requirements (in-kind, dollars, foreign/local currency for the life of the Multi-Year Assistance Program program) will be met. If 202(e), monetization, ITSH or other funds are expected to be carried over from the previous fiscal year(s), explain why. Provide a budget narrative(s) to cover monetization, Section 202(e) and ITSH) funds. Describe any budget line items or funding sources that are not self-explanatory.

I.2.b. Budgets

Attach as “**Appendix 2.1**” the comprehensive budget format summarized by technical area for each fiscal year and total life-of-activity with the appropriate attribution to emergency or non-emergency programming.

Attach as “**Appendix 2.2**” the detailed monetization, Section 202(e) and ITSH, for each year of the Multi-Year Assistance Program, based on line item categories (e.g., salaries, transportation, capital equipment, etc.). A detailed budget will be requested for each subsequent year of the Multi-Year Assistance Program with the Resource Request of the CSR4.

I.2.c. Indirect Costs

Attach as “**Appendix 2.3**” a copy of the latest approved negotiated indirect cost rate agreement (NICRA). For a CS that does not have a provisional or final approved federal rate, submit supporting documentation in the calculation of the CS’s indirect cost (overhead) rate(s).

I.3. Human Resources (up to 1 page)

Provide an organizational chart identifying the position titles of CS staff and the amount of time that will be devoted to each proposed activity and corresponding responsibilities. List the recipient agencies (counterpart and/or collaborating organizations, both private and host government). If not described in the complementarity section of the original proposal, briefly outline their financial and management roles. If extensive technical assistance is being planned, explain the scope of the activity and the individual or organization responsible.

Provide evidence of the organization’s technical, financial, and managerial capability to design, implement, and monitor the proposed activities (including the number and size of programs managed or proposed). Describe prior performance implementing food aid programs in the proposed country or other countries, if applicable. Describe the organization’s headquarters, in-country, or regional personnel’s plans to backstop the Multi-Year Assistance Program proposal. Explicitly address the types of capacity building that will take place within the CS or counterparts to increase the sustainability of results. Discuss how the use of Title II non-emergency resources complements the CS’s strategy for the particular country and/or region.

J. Approval of Non-U.S. Equipment

If procurement of non-U.S. equipment or vehicles is intended, state the source and/or origin waiver request and provide a justification. For vehicles, state how many non-U.S. vehicles are planned for purchase, from which funding source, and justify fully the proposed purchases and the funding source. Attach as “**Appendix 9.**” a copy of the written USAID/Mission procurement policy.

K. Initial Environmental Examination

Attach as “**Appendix 4.**” an Initial Environmental Evaluation (IEE). Although the document will have to be cleared by the USAID Mission Director or his/her designee, this will not be required when initially submitted. For consolidated country proposals, a single IEE that covers all activities should be submitted. For consolidated regional proposals, an IEE should be submitted for each country program.

L. Certification Regarding Lobbying

Lobbying certification is required; complete appropriate sections of **Appendix 5** (see attachment).

M. Certification Regarding Terrorism

In accordance with Executive Order 13224 all applicants for USAID assistance are required to certify that they do not provide material support or resources for terrorist acts. Before making the award of a grant or cooperative agreement to a non-governmental organization the certification attached in **Appendix 6** must be completed.

N. Agreements, Contracts, Letters

Attach as “**Appendix 7**” a copy of the host country Food for Peace Agreement, which should make reference to and incorporate or attach Regulation 11. Indicate whether there are outstanding issues, such as: the adequacy of the current agreement; exemption from the payment of taxes on Title II program commodities, material, and equipment; the continuation of tax exemptions on distribution commodities; how taxes/fees/tariffs for monetization commodities will be covered; and how the host country has cooperated with the CS in the implementation of its programs in accordance with Regulation 11 (in the case of follow-on programs).

Also include memoranda of understanding, inland contracts, letters of support or agreements with relevant parties, as appropriate. If a document is lengthy, attach a copy only to the primary (“original”) unbound copy of the proposal to both the Mission and to FFP. Explain below if a host country agreement is not yet signed, and provide a timetable for submission. Identify any additional agreements planned but not yet executed.

Appendix 5

Certification Regarding Lobbying Form

Authority and Statutory Lobbying Restrictions

CSs are reminded that statutory lobbying restrictions and reporting requirements apply to Title II donations to CSs. The requirements of 31 U.S.C. 1352 are that no appropriated funds can be used to influence or attempt 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 to receive a federal contract, grant, cooperative agreement or a commitment providing for the United States to insure or guarantee a loan. CSs are required to submit a Certification Regarding Lobbying form with each annual submission (OP, Multi-Year Assistance Program Amendment, CSR4s) to certify compliance with these requirements.

Furthermore, if any funds other than Federal appropriated funds have been paid or will be paid to any person for influencing or attempting to influence an officer or employee of any agency, a Member of Congress, an officer or employee of Congress, or an employee of a Member of Congress in connection with a Title II award, a Disclosure Form to Report Lobbying should be completed and submitted. The Inspector General is required by law to evaluate annually and report on compliance. USAID regulations concerning implementation of lobbying restrictions are in 22 CFR 227, which appears in the Automated Directives System (ADS) 200.

Certification Regarding Lobbying Form

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
13. Type of Payment:
(check all that apply):
 a. Retainer
 b. one-time fee
 c. commission
 d. contingent fee
 e. deferred
 f. other: _____
2. Status of Federal Action:
 a. bid/offer/application
 b. initial award
 c. post-award
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*:
7. Federal Program Name/Description:
CFDA Number, if applicable: _____
8. Federal Action Number, *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
 \$ _____
14. Continuous Sheet(s) SF-LLL-A attached
 ___ yes ___ no

3. Report Type:
a. Initial filling
b. Material change

For Material Change Only:

Year _____ quarter

_____ Date of last report

6. Federal
Department/Agency

9. Award amount, *if known*:
\$ _____

12. Form of Payment (check all that applies):

___ a. cash

___ b. in-kind; specify:

nature _____

value _____

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

DISCLOSURE OF LOBBYING ACTIVITIES CONTINUATION SHEET

0348-0046

Reporting Entity:
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Appendix 6

Certification Regarding Terrorist Financing

BACKGROUND: Section 2339A of Title 18 of the United States Code prohibits the provision of material support or resources for terrorist acts. Section 2339B of Title 18 of the United States Code prohibits the provision of material support or resources to designated foreign terrorist organizations, and requires any U.S. financial institution that becomes aware that it has possession of, or control over, any funds in which a designated foreign terrorist organization, or its agent, has an interest, to retain possession of, or maintain control over, such funds and report to the Secretary of the Treasury the existence of such funds.

Section 1189 of Title 8 of the United States Code (section 219 of the Immigration and Nationality Act, as amended by P.L. 107-56) authorizes the Secretary of State to designate an organization as a terrorist organization if the Secretary finds that the organization (1) is a foreign organization, (2) engages in terrorist activity (as defined in section 212(a)(3)(B) of the Immigration and Nationality Act) or terrorism (as defined in section 140(d)(2) of the Foreign Relations Authorization Act, Fiscal Years 1988 and 1989 (22 U.S.C. § 2656f(d)(2)), or retains the capability and intent to engage in terrorist activity or terrorism, and (3) the terrorist activity or terrorism of the organization threatens the security of U.S. nationals or the national defense, foreign relations, or economic interest of the United States.

Executive Order 12947, as amended by Executive Order 13099, designated 16 individuals and entities that threaten to disrupt the Middle East peace process, and authorized the Secretary of State, in coordination with the Secretary of the Treasury and the Attorney General, to designate foreign individuals or entities that are found to have committed, or to pose a significant risk of committing, acts of violence that have the purpose or effect of disrupting the Middle East peace process, or to have provided support for or services in support of such acts of violence. The Secretary of the Treasury is authorized to designate, in coordination with the Secretary of State and the Attorney General, individuals or entities that are determined to be owned or controlled by, or are acting for or on behalf of, designated individuals or entities. All property and interests in property in the U.S. or in the possession or control of U.S. persons of designated individuals and entities are blocked, and any transaction or dealing in blocked property or interests in the U.S. or by U.S. persons is prohibited.

Executive Order 13224 designated 27 individuals and entities that have committed, threaten to commit or support global acts of terrorism, and authorized the Secretary of State, in consultation with the Secretary of the Treasury and Attorney General, to designate additional foreign individuals and entities determined to have committed, or to pose a significant risk of committing, acts of terrorism that threaten the security of U.S. nationals or the national security, foreign policy, or economy of the United States, and authorized the Secretary of the Treasury, in consultation with the Secretary of State and the Attorney General, to designate additional

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individuals or entities determined to provide support for or financial or other services to or in support of such acts of terrorism or persons designated in or pursuant to the Order, or individuals or entities that are owned or controlled by, act for or on behalf of, or are otherwise associated with, certain individuals or entities that have been designated in or under the Order. All property and interests in property of designated individuals or entities in the U.S. or in the possession or control of U.S. persons are blocked, and any transaction or dealing in blocked property or interests in the U.S. or by U.S. persons is prohibited.

OMB has approved the Agency's information collection request under the Paperwork Reduction Act allowing USAID to require applicants for assistance to give a certification that they do not support terrorism. The approval is in effect from the date of this notice, and expires upon the earlier of incorporation of this AAPD into ADS 303 or December 31, 2005.

GUIDANCE: Before making the award of a grant or cooperative agreement to a non-governmental organization, the Agreement Officer must obtain a certification from both U.S. and non-U.S. organizations, substantially as follows:

Certification Regarding Terrorist Financing Form

“As a condition of entering into the referenced agreement, [name of organization] hereby certifies that it has not provided and will not provide material support or resources to any individual or entity that it knows, or has reason to know, is an individual or entity that advocates, plans, sponsors, engages in, or has engaged in terrorist activity, including but not limited to the individuals and entities listed in the Annex to Executive Order 13224 and other such individuals and entities that may be later designated by the United States under any of the following authorities: § 219 of the Immigration and Nationality Act, as amended (8U.S.C. § 1189), the International Emergency Economic Powers Act (50 U.S.C. § 1701 et seq.), the National Emergencies Act (50 U.S.C. § 1601 et seq.), or § 212(a)(3)(B) of the Immigration and Nationality Act, as amended by the USA Patriot Act of 2001, Pub. L. 107-56 (October 26, 2001)(8 U.S.C. §1182). [Name of organization] further certifies that it will not provide material support or resources to any individual or entity that it knows, or has reason to know, is acting as an agent for any individual or entity that advocates, plans, sponsors, engages in, or has engaged in, terrorist activity, or that has been so designated, or will immediately cease such support if an entity is so designated after the date of the referenced agreement.

For purposes of this certification, "material support and resources" includes currency or other financial securities, financial services, lodging, training, safe houses, false documentation or identification, communications equipment, facilities, weapons, lethal substances, explosives, personnel, transportation, and other physical assets, except medicine or religious materials. For purposes of this certification, "engage in terrorist activity" shall have the same meaning as in section 212(a)(3)(B)(iv) of the Immigration and Nationality Act, as amended (8 U.S.C. §

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1182(a)(3)(B)(iv)). For purposes of this certification, “entity” means a partnership, association, corporation, or other organization, group, or subgroup.

This certification is an express term and condition of the agreement and any violation of it shall be grounds for unilateral termination of the agreement by USAID prior to the end of its term.”

Signature _____

Print Name _____

Title _____

Telephone No. _____ Date _____