

Annex A: SOOQ Control Plan

ISTITUTO MEDITERRANEO DI CERTIFICAZIONE IMC LEBANON

PRIVATE DISCIPLINARY FOR CERTIFICATION OF "EXTRA-VIRGIN OLIVE OIL FROM LEBANON"

Article 1

Denomination

The denomination "Extra-Virgin Olive Oil From Lebanon" is reserved exclusively to Extra-Virgin olive oil that meets the conditions and requirements that are stipulated in the present production disciplinary.

Article 2

Variety

The denomination "Extra-Virgin Olive Oil From Lebanon" is reserved to Extra-Virgin olive oil obtained from olive groves consisting of the following varieties: at least 80% must be "Soury", "Baladi", "Ayruni" and a maximum of 20% from other Lebanese and non-Lebanese varieties.

Olive oil, acquiring the denomination "Extra-Virgin Olive Oil from Lebanon" must have the following characteristics:

Physical and chemical characteristics (mandatory):

- Total acidity below 0.8%;
- Peroxide index: below 15 meq O₂/kg;
- Color: green to golden yellow;

Panel test (optional)

- Odor: medium fruity, with the presence of fresh grass odor, green almond, artichoke leaf and green tomato; without any defects
- Taste: fruity, with a hint of spiciness and balanced bitterness with herbal notes that retrace the olfactory tones, more or less intense depending on the year and the time of harvest. –
- Median of defects equal to 0;
- Median of fruitiness greater than 2.

Article 3

Area of production

The area of production of the olives intended for the production of “Extra-Virgin Olive Oil from Lebanon” stipulated in article 1 is limited to orchards found in the Republic of Lebanon.

Article 4

Origin

Each stage of the production process must be fully tracked, traced and monitored. The product flow should be fully documented from field to market. All operators that want to acquire the denomination “Extra-Virgin Olive Oil from Lebanon” including orchards, farmers, millers, storage and collection centers, packers and bottlers need to be enrolled and have a valid registration with the inspection body managing and administering this denomination.

All natural or legal entities registered in the this certification program are subject to the monitoring and control of the inspection body, according to the requirements of the production disciplinary and its corresponding control plan.

Article 5

Cultural Practices

The environmental and cultivation conditions of olive trees intended for the production of extra-virgin olive oil provided in Article 1 shall reflect the characteristics of olives grown in Lebanon and therefore hold the quality and authenticity characteristics as specified in Article 2 above.

Therefore, the olive groves that are considered suitable fall within a range of altitude between 0 m and 1,200 m in the production area that falls within the Lebanese territory..

Olive orchard composition in Lebanon follow mostly a traditional, extensive system with low planting densities that could reach up to 8 X 8meters. The recommended training systems under this disciplinary are the traditional clear vase,the globe, and the single cone in modern orchards and varieties.. The applied pruning and training technique must aim to achieve the highest quality of olives to produce extra-virgin olive oil as per the specifications set in article 1.

Soil fertility strategy also aims to optimize the quality of olive fruits by using organic fertilization practices and / or synthetic fertilizer. With respect to soil management, cover cropping is admitted as a temporary or permanent solution, with minimum plowing to minimize soil erosion. Winter plowing is not recommended.

Olive groves are normally found in and adapted to dry, arid climate; however, complementary irrigation is allowed during the summer season and only limited to the period of draught.

The plant protection strategy of the olive groves for the production of Extra-Virgin olive oil stipulated in article 1 must be carried out according to the orchard management system known as "Integrated Pest Management" and the whole production process must be conducted according to the production system internationally recognized as GAP (Good Agriculture Practices) or may be certified for organic production.

The harvest time of a grove intended for the production of Extra-Virgin olive oil as defined in article 1 must be carried out between September 15 and November 25, which corresponds to the optimal maturity level of the olive fruit that clearly appears through the superficial pigmentation on the fruit.

Olive harvesting must be performed manually by picking and combing, or mechanically with olive harvesters and shakers; harvesting nets should always be used to facilitate olive fruit collection and to prevent fruits from falling directly on the ground.

Olives picked from the ground are not allowed to be used under this disciplinary. Moreover, the use of permanent nets for olive collection and harvesting and the use of products for accelerating olive maturity are not allowed.

Rigid, open and aerated containers with a maximum capacity of 20 Kg must be used for transportation and storage of the harvested olive fruits from the orchard to the mill.

The maximum production of olives in the olive groves for the production of Extra-Virgin olive oil stipulated in article 1 should have an average output of 10,000 kg /ha (1,000 kg/du); the maximum conversion rate from fruit to oil cannot exceed 30%.

The harvested olive waiting to be milled must be preserved in a ventilated area and must be protected from direct sunlight. The maximum transit time allowed from orchard to mill is 36 hours.

Article 6

- Modality of olive oil production and pressing

Olive pressing or milling and olive oil bottling must take place inside the Lebanese territory.

The milling and extraction operation of the olives must be performed no later than 36 hours from harvesting time.

The operator that performs milling, storing, packaging and labeling operations must follow and apply the rules of hygiene known as GMP (Good Manufacturing Practices), during all stages of handling of olives and oil.

Olive milling and oil extraction should occur exclusively using mechanical and physical processes in order to preserve the quality and specifications listed in this disciplinary.

Mills allowed to be used under this standard must have a continuous milling line. Maximum temperature of the milling operation is 27C ° during the kneading phase (malaxation); total malaxation time should not exceed 40 minutes

It is strictly forbidden to use or add any chemicals, biochemical products or talc in the malaxation or any other milling stage.

The extracted olive-oil must be stored in stainless-steel tanks that are hermetically sealed and have a sludge discharge faucet for purging and another faucet at a higher level for oil discharge.. For transportation purposes the use of food grade plastic containers is allowed.

Storage tanks should be stored away from the light in a closed space to avoid both heating and freezing of the oil which alters the quality of the product.

It is also possible to obtain the denomination "Extra-Virgin Olive Oil From Lebanon "from olives grown and pressed as per to organic agricultural method according to EU reg. 834/2007 and 889/2008 as long as the olives are milled at certified mills as per this disciplinary.

Art. 7.

Identification and traceability

The product must be properly identified from collection to the later stages of processing and packaging. the origin of the product must be traced by checking the transport documentation of the acquired product.

The traceability of any lot at any phase level of the production and processing phase must be guaranteed by an appropriate on site batch label on the mill for olive , in the storage room for oil, at the container level in which it is stored and appropriate records of the storage and handling of consignments must be properly maintained .

Article 8.

Link with the environment

The cultivation of the olives as a result for the production of the typical Lebanese Extra-Virgin olive oil is not only due to the importance resulting from a significant local production, but also due to the ancient history and long tradition, as tree worship to which all Lebanese bring veneration as demonstrated by a wide and rich historical documentation.

This testifies an ancient presence of the olive cultivation in provincial territories along with a deep tradition of uses and of traditions that are still alive in the soul of the farmer, linked not only to the production of oil but also to its uses. In the history of the olive spread in the Mediterranean, an active part is indeed related to the King of Tyre, Hiram, who carried by his vessels the olive plants as a bargaining chip with the populations of the various countries of the Mediterranean. The botanical origin of the olive tree seems to be relative to Lebanon. Till today, you can see in northern Lebanon in "Bechealeh" loc., as well as in Kawkaba and Ebl Saqi regions (in Marjeyoun valley) in the south witnesses of still living specimens of the Olives Soury variety dating back to the fourth century A.C. aging over 6,000 years old. The common cultivars in the Lebanese territory respond to the tremendous need handed down by the Greeks of a table fruit, the olive, and a product, the oil, that is used as ointment and that was linked to rites: from this, the emergence of dual-purpose cultivars.

The quality and uniqueness of the oil in the territory of Lebanon are in direct connection. The combination between cultivars present in the territory of ancient history, the pedoclimatic conditions and particularly the mild Mediterranean climate that characterizes this area of mainly medium and high hill, located mostly in the inner area devoid of direct influence of the sea, are the basis of the high quality and of the characteristics of the product whose specific chemical parameters are resulting in remarkable stability oil over time for the benefit of the fruity character that persists for a long time.

The land of Lebanon is particularly suitable for tree crops and in particular for olive and almond trees.

Article 9

Controls

The Extra-Virgin olive oil bearing the denomination "Extra-Virgin Olive Oil From Lebanon" will be controlled by an authorized private body, in accordance with the UNI CEI EN 45011 and recognized by the Lebanese government. The current body authorized to control the implementation of this disciplinary is IMC Lebanon..

Article 10

Description and presentation of the oil

Only operators registered and abiding by this disciplinary are allowed to use the denomination:

“Extra-Virgin Olive Oil From Lebanon”

Along with the denomination, it is allowed to use the commercial names, company names, and brand names, unless they have laudatory meaning or are likely to mislead the consumer.

It is also allowed to use company names, other certification labels, farm names and their geographical location on the package. It is also allowed to refer to on-site packaging of the olive oil inside the farm or through an association of olive farms located in the same production area, provided that the product has been produced exclusively with olives collected from the farm itself or from the association of olive farms.

The packaging operations of Extra-Virgin olive oil with Protected Designation of Origin stipulated in article 1 must take place within the area indicated in article 3.

Olive oil allowed to use the denomination “Extra-Virgin Olive Oil From Lebanon” abiding by the specifications stipulated in article 1 must be marketed in dark or transparent glass containers not exceeding 5 liters or tinplate containers not exceeding 20L.

The designation " Extra-Virgin Olive Oil from Lebanon" must appear on the label in a clear way and indelible characters and colorimetric that contrast with the main color of the label, in order to be sharply distinguished.

It is mandatory to indicate on the label the year of production of the olives from which the oil is obtained.

It is permitted to mention on the label, that the oil is organically obtained, if the olive oil refers to this method of production.

The logo of the denomination “Extra-Virgin Olive Oil From Lebanon” or Protected Designation of Origin identified in Article 1 has the following form and shape:

(Add the description of the logo)

Add graphical representation of the Logo

Add logo guidelines

CONTROL PLAN

THE DENOMINATION "EXTRA-VIRGIN OLIVE OIL FROM LEBANON"

Rev	Causal	Compiled by	Checked by	Approved by
00	First Issue	Lucio Faragona	xxxxx	xxxxxx

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1. PREAMBLE

IMC Liban s.a.l. (hereinafter referred to as IMC) has written this Control Plan as a guide for the conduct of the activity of conformity control. Moreover, IMC acts as a control body authorized by the Lebanese Ministry for the certification of the food industry sector.

This document describes the set of controls to which the activities of production and the product itself should be subject so that they can be marketed with the definition of the denomination "Extra-Virgin Olive Oil from Lebanon."

2. DEFINITIONS

For the terminology used in this document are valid in general the definitions reported in the standard UNI EN ISO 9000:2000 and UNI CEI EN ISO / IEC 17000:2005 the verbal Conformity assessment and the general principles with the following additions:

Approved operator: a person who entered into IMC control system.

- **Batch of Olive/ Oil:** homogeneous quantity of olives / olive oil for which it is possible to ensure the identification and the tracking. The indications of the batches of oil are "determined and affixed under the responsibility of one of the above producers."
- **Broker:** an identified person who acts as a broker for olives or oil intended for the denomination "Denomination "Extra-Virgin Olive Oil from Lebanon with the acquisition of the product at their own premises, situated in the area of production.
- **Certificate of Conformity:** acts by which IMC declares that, with reasonable reliability a batch of oil complies with the requirements set out in the Disciplinary of the denomination "Extra-Virgin Olive Oil from Lebanon" and with this control Plan.
- **Conformity Monitoring:** act by which IMC ensures the respect of the Conformity requirements of the "Denomination "Extra-Virgin Olive Oil from Lebanon "specified in the disciplinary for the issuance of the Certification of Conformity.
- **Conformity control:** assessment activities, through which the Inspectors ensure the fulfillment of conformity requirements for the "Denomination" "Extra-Virgin Olive Oil from Lebanon "and specified in the relevant product disciplinary, aimed at the certification of the production.
- **Corrective action:** set of actions taken to eliminate the cause of existing non-conformities.
- **Dealer:** a person who has obtained from IMC the certificate of conformity for a certain batch of oil.
- **Disciplinary:** document approved by xxxxxx, containing the technical parameters to be followed for the certification of the product with the "Denomination "Extra-Virgin Olive Oil from Lebanon. "
- **Grower:** an identified person who leads olive groves located in the area of production provided for in the Disciplinary.
- **Holder of the batch** a person who owns and / or may dispose of the oil batch.
- **Inspector or Auditor:** a person in charge to carry out the audits for the requesting operators, on behalf of IMC.
- **Labeling:** any words, indications, trademarks, images or symbols on packaging, documents, notices, labels, clamps or clamps accompanying the products of the "Denomination "Extra-Virgin Olive Oil from Lebanon. "
- **Lot of Packaging:** batch of oil withheld homogeneous, from the same year, contained in one or more containers placed in the same farm premises, to be used for bottling and having the certificate of conformity from IMC which carries out the analysis. After the sampling, if the batch is mixed with other oil, it must be identified differently and undergoes new physico-chemical and organoleptic analysis.
- **Miller:** an identified person who leads a mill located in the area of production that presses the olives conferred from the olive grower.

- **Operator:** grower, Miller, Broker, or Packer who has submitted an application to adhere to the IMC control system.
- **Packer:** an identified person who leads a packing plant located in the production area.
- **Plot:** area of land planted with olive for oil, both in specialized form that is not identifiable as a physical unit in cultivation.
- **Production area:** a bounded area for the production of the "Denomination "Extra-Virgin Olive Oil from Lebanon "provided for in the **Disciplinary**.
- **Production unit:** place where are performed the activities related to the production, extraction, storage and / or packaging to which applies the disciplinary of the product with the "Denomination "Extra-Virgin Olive Oil from Lebanon. "
- **Requesting operator:** a person that, having the right on the basis of the existing Disciplinary, requires from IMC to register him in the list "Denomination "Extra-Virgin Olive Oil from Lebanon "
- **Self-control:** verification of the conformity requirements of the denomination "Extra-Virgin Olive Oil from Lebanon" performed and recorded by all those in the sector at its productions sites for the appropriate phase of the process. In the Self-control, every person of the supply chain must ensure that their suppliers have performed the self-control relating to the appropriate phase
- **Severe Non-Conformity:** non-fulfillment of a requirement related to the production process, to the management system or to the product that determines the non-Conformity of the product with the requirements set out in the Disciplinary. The product **cannot be** identified as "Denomination "Extra-Virgin Olive Oil from Lebanon ";
- **Slight Non-Conformity:** non-fulfillment of a requirement related to the production process, to the management system or to the product that does not affect the Conformity of the product with the requirements of the **Disciplinary, and may** disappear with time. The product **can** be identified as "Denomination "Extra-Virgin Olive Oil from Lebanon. "
- **Table of Controls (ToC):** the document prepared by IMC in accordance with the schemes provided by the Ministry of Agriculture, which specifies for each requirement of the Disciplinary the mode of self-control, control, frequency, non-Conformity treatment and the relative corrective action if the requirement is not met. The table of Controls is attached to the Control Plan.
- **Visit at startup phase:** Inspection visit for the Company, carried out by the Inspector for the purpose of determining the suitability of the company to the Disciplinary of the product with the "Denomination "Extra-Virgin Olive Oil from Lebanon. "
- **Visit in surveillance phase:** Inspection visit for the Company, carried out annually by the Inspector, following the registration of the suitability of the company to the Disciplinary of the product with the "Denomination "Extra-Virgin Olive Oil from Lebanon. "

3. INVOLVED PARTIES

Are subject to the provisions of this Control Plan the Olive Growers, Millers, Brokers, and Packers (collectively referred to as operators) who contribute to the production of a batch of oil that will be identified as "Denomination "Extra-Virgin Olive Oil from Lebanon. "

It is up to IMC to proceed to the assessment of Conformity of the aforesaid subjects for the requirements of the Disciplinary in the manner and frequency reported in this Control Plan approved **by the Lebanese Ministry???**.

3.1 SUBSCRIPTIONS TO THE CONTROL SYSTEM

Any person who intends to produce for the "Denomination "Extra-Virgin Olive Oil from Lebanon " must give his adhesion to IMC control system no later than 31 July of each oil campaign through the "Application form to access the control system" for the registration of the "Denomination "Extra-Virgin Olive Oil from Lebanon "

In the case of Packers, can be accepted the applications to access after the date of the July 31st of the current year, provided that the application is received at IMC at least 30 days before the beginning of the packaging of the "Denomination "Extra-Virgin Olive Oil from Lebanon.

“3 .1.1 Before accessing the control system

The following section describes the testing of registration that IMC carries out for operators who will admit for the first time to be subscribed in the control system.

Olive growers

By the date of August 31st, IMC, after having carried out a preliminary verification of documents, will carry out an inspection of the olive groves included in the controlled document "Olive growers' registration form", attached to the "Application for access to the control system." Limited to the first year, such deadline limit should be set before the start of the harvest phases.

During this field inspection, are checked:

- The number of plants and the presence of the provided varietal percentages (in the olive groves of the same leader must be present varietal percentages as indicated in the disciplinary).
- The forms of training and the pruning systems and traditional characteristics of the area.

The olive trees that do not have the set out requirements are not registered in the control system and cannot produce the "Denomination "Extra-Virgin Olive Oil from Lebanon. "

The registration of eligible Olive growers is communicated by IMC to the leaders. Subsequently IMC publishes the lists of its members on its website.

The olive groves that are not eligible are not registered in the control system and cannot produce the "Denomination "Extra-Virgin Olive Oil from Lebanon. "

Any changes to the data relating to the question of liability must be reported to IMC within 15 days of their occurrence.

Millers, brokers, and packers

By the 31st of August, IMC, after having carried out a preliminary verification of documents, prepares and carries out an inspection of the plants of Millers, Brokers, and Packers. During this inspection, will be controlled the structures included in the controlled document "Registration Form for Preparers- Brokers - Packers, "attached to" the application form to access to the control system ", in relation to:

- the real conditions of suitability of facilities and equipment to comply with the conditions laid down by the disciplinary
- the presence of adequate hygienic-sanitary conditions

The registration of suitable facilities shall be communicated by IMC to the leaders. Later IMC publishes the lists of members on its website

3 .1.2 Maintaining the system

The annual membership must be confirmed by the Operators (Olive growers, Millers, Packers, Brokers) to IMC through the document "Confirmation of Entry for Operators for the Denomination "Extra-Virgin Olive Oil from Lebanon "not later than July 31st of each year.

In the event that changes have occurred for the previous year:

- for Olive growers: increase or decrease of the surface;
- for Millers, Packers, Brokers: changes in processing, storage, and packaging plants

these must be reported to IMC by July 31st. In case of increase in surface area of olive trees or new plants, a new inspection will be performed to assess them by August 31.

If Operator fails to submit the application for membership in order to maintain the control system, IMC will not perform control for the current year and the name of the Operator will be deleted from the list of subscribers to the "Denomination "Extra-Virgin Olive Oil from Lebanon "for the same production year.

3 .1.3 Termination of the Control System

For all operators who wish to exit the control system, it is sufficient that they do not send confirmation of membership for the current year before the date of July 31. In the event that the operators had already submitted application for membership for the current year, they will have to send to IMC a request form for withdrawal from the system of controls, via letter or fax. IMC has then to update the list of operators who entered in the list of the "Denomination "Extra-Virgin Olive Oil from Lebanon "for the current year.

4. CONFORMITY REQUIREMENTS

Those wishing to participate in the production chain of the "Denomination "Extra-Virgin Olive Oil from Lebanon "must be submitted to the control implemented by IMC and operate in accordance with the Disciplinary of the "Denomination "Extra-Virgin Olive Oil from Lebanon ", and in accordance with this Control Plan and not only with the Production Disciplinary of the "Denomination "Extra-Virgin Olive Oil from Lebanon, to which reference is made for all the Conformity requirements.

5. CONTROL PLAN

5 .1 General

The controls for the denomination "Extra-Virgin Olive Oil from Lebanon" can be divided into:

- Internal control (self-control), corresponding to the activities of verification, registration, measurement and analysis carried out by the Olive growers, the Millers, the Brokers, and the Packers toward the requirements set out in the disciplinary of the production;

- External controls (Conformity controls) implemented by IMC , Which correspond to the documentary audits and the inspections carried out on the process / structure of the operators, as well as on the sample analysis of the product.

Operators must be available to the conformity control activities that IMC intends to carry out, among the olive trees, the structures, and in other places of interest, to assess its Conformity to the Disciplinary and to this Control Plan.

5.2 Annual frequency of the audits – Inspections Summary Table

The details of the frequency and the types of controls are described in the inspections summary Table for the denomination “Extra- Virgin Olive Oil from Lebanon.”

Type of operator	Type of inspection	% of inspection	Inspections frequency	Controlled Critical phase
Olive Grower	Start- up	100% of applicants	At the Initial registration and in case of changes	- Cultivation Conformity- - Varietal Conformity
	Surveillance	33% of members + 2% of members who were already inspected in the previous year	All years	- Productive process; - Product Traceability
Miller	Start- up	100% of applicants	At the Initial registration and in case of changes	- Location of the plants; - Conformity with the requirements
	Surveillance	100% of the members	All years	- Regulated phases of the process; - Product Traceability
Broker	Start- up	100% of applicants	At the Initial registration and due to changes	- Infrastructure
	Surveillance	100% of applicants	All years	- Product Traceability
Packer	Start- up	100% of applicants	At the Initial registration and in case of changes	- Location of the plants; - Conformity with the requirements
	Surveillance	100% of applicants	All years	- Regulated phases of the process, - Product Traceability
Product	Analytical Control	100% of the batches for which the certification is requested	For each request for the certificate and for each batch	-Chemical and physical parameters; - Organoleptic parameters (optional); - Lot Traceability

If the inspection in the surveillance phase does not coincide with the production / processing, it will take place on the basis of documents. Therefore, those in the sector registered in the control system must retain all documentation resulting from the self-control and make it available to the Conformity inspections carried out by IMC.

IMC reserves the right to order the execution of additional inspections in case of undue delays in data communications (failure to answer the correspondences) and every time an examination of the reported data and their intersection with the data transmitted from farms or from Brokers, arise doubts toward the Conformity of the process with the requirements.

5.3 Documentation accompanying the product

The batches of olives and oil for which the certificate of conformity is requested shall be accompanied by the following documents, which must be supplied in a copy to the IMC s.a.l. along with the request for physical, chemical, and organoleptic verification of the lot:

- ✓ **Documents for Transportation of Olives (DTO) and oil (DTF)** that account for all the changes occurring to the lots of olives and olive oil, for example from the olive grower to the Miller, from the owner of the batch of oil to the packer, marked by the recipient and that show the traceability of the batch of oil from the batches of pressed olives
- ✓ Data records relating to the activities of milling, showing the traceability of the batch of oil from the batches of pressed olives;
- ✓ Indication of storage tanks at the Miller;
- ✓ Indication of eventual movements of oil (ex. From Olive grower to Miller);
- ✓ Indication of storage tanks at the Packer.

This documentation will allow to reconstruct "the story" of the production of the batch and to verify the Conformity. IMC s.a.l. will not issue certificates of conformity of the batch that is not accompanied by the documents that demonstrate the traceability. **

** At the time of accepting the batch of product, the receiver must check the accompanying documentation and sign any document confirming the positive outcome of the audit.

5.4. Documents for Transporting Olive (DTO) and Documents for Transporting Oil (DTF)

1) The Olive Transport document must contain the quantity of olives in motion, the date of harvest and their origin, as well as the sender and the recipient, shall be indicated the date and number of the registration at the list of olive groves and must be signed by the legal representative of the 'company who owns the batch of olives.

The Document for Transporting Olives must be compiled in two copies and the copies are intended to:

- one to the holder of the batch of olives
- And one to the mill carrying out the crushing

2) The Document for Transporting Oil must contain the amount of oil in movement and its source, as well as the sender and the recipient, shall be indicated the date and the number of registration in the list of millers and must be signed by the Legal Representative of the oil mill.

The Document for Transporting Oil must be completed in duplicate copies and the copies are intended to:

- one to the mill who performed the milling of the batch of olives
- And one to the owner of the oil who retires it

5. 5 Subsidiary requirements

A) Olive growers

The Olive Growers should communicate to IMC the total production of olives harvested during the campaign within 10 days after the end of the harvest, and at the request of IMC send the 'special controlled document "Olive Harvest form." Upon delivery of the olives to the mill, must be ensured that they complied with the requirements of the regulated cultivation, the yields, and the harvest dates. Every operator must check the documentation of transportation or substitution and sign as a registration of the occurring control. Each operator must be also sure to give the olives to Millers registered to the denomination "Extra- Virgin Olive Oil from Lebanon." The lists of the members are published by IMC on its website.

B) Millers

At the moment of the acceptance of the olives, Millers must verify the quality of the olives and the correct identification of the product, the adequacy, completeness, and suitability of the data entered in the transport document, registering the outcome of such controls. In the case of obvious divergences from what is required by the Disciplinary (deteriorated olives, moldering, dirty earth, etc.) or other deficiencies, they should reject the product or downgrade it to the normal product. During the milling process, must be respected what is provided in the Disciplinary. The onset of the milling activity of the current year should be reported to IMC with at least 3 days' notice. Every operator must check the documentation of transport and sign them as a registration of the occurring audit. Each operator must be sure to press the olives from growers registered to the denomination "Extra- Virgin Olive Oil from Lebanon." The membership lists are published by IMC in on its website.

The Millers must communicate to IMC the total production of oil produced during the campaign, within 10 days of its end and send the request to IMC using the appropriate controlled document "Oil Production Form."

In order to keep the information on the traceability of the batches starting from the olives, the operator must fill in the controlled document "Lot Traceability Form." In case the operator wants to use a company document, it should contain at least the same information, and in the case it is in electronic form, it must be endorsed on a monthly basis on an printed paper issued by IMC and the used format must be approved in advance also by IMC.

C) Packers

In the acceptance phase, the Packer must make sure that the oil batch that is intended to become the denomination "Extra- Virgin Olive Oil from Lebanon" be accompanied by the documentation related to the traceability and that a copy of such documentation has been submitted to IMC for verification. In the case of request for Analysis sent by the Holder to IMC after sampling, the packaging lots will no longer have to undergo any procedure that can alter the chemical,

physical, and organoleptic characteristics, nor be mixed with other batches of oil. The beginning of the packaging activities should be reported to IMC with at least 3 days-notice. Every operator must check the documentation of transportation or auxiliaries and sign as registration of the occurring audit. Moreover each operator, must be sure to pack the oil obtained from olives from olive growers registered to the denomination "Extra-Virgin Olive Oil from Lebanon," and pressed at Millers registered to the same denomination. The membership lists are published by IMC in on its website.

In order to keep the information on the traceability of the batches starting from olives, the operator must fill in the controlled document "Lot Traceability Form".

For the sale, the packaged Oil must be filled in the oil Sale register. Such a document should be sent to IMC twice a year (by January 31st and July 31st of each year).

In case the operator wants to use a company document, it should contain at least the same information, and in the case it is in electronic form, it must be endorsed on a monthly basis on an printed paper issued by IMC and the used format must be approved in advance also by IMC.

D) Holders of the batch

The holder of the batch shall require the sampling for analysis on lots of oil intending to become the denomination "Extra-Virgin Olive Oil from Lebanon" ready for packing through the controlled document "Lot Analysis request." The documentation accompanying the batch of oil must be stored and delivered to IMC by the holders of the batch at the time of request for the chemical, physical, and organoleptic Conformity analysis. The holders of the batch shall define the packaging lot and declare under their responsibility the homogeneity of the physico-chemical and organoleptic quality of the batch constituting the lot. In case the holders of the batch use the grinding and packaging services (which shall be carried out at facilities subject to control), they must pay attention that the records of the activities of grinding and packaging be sent to IMC. Every operator must ensure that the batch of oil was obtained from olives of registered growers, milled and packaged at operators registered to the denomination " Extra-Virgin Olive Oil from Lebanon." For the control, the operator must consult the lists of members who are published by IMC in on its website.

In order to keep the information on the traceability of the batches starting from the purchased oil, the operator must fill in the controlled document "Lot Traceability Form". In case you want to use a corporate document, it should contain at least the same information, and if it is in electronic form, it must be printed on sheets monthly stamped and issued by IMC and the used format must be approved in advance also by IMC.

5.6 Authorization for packaging

Once the packaging lot is constituted, the holders of the lot must send to IMC the form "lot analysis Request" that authorizes IMC to carry out the sampling in order to make a physical-chemical and organoleptic testing (optional).

Before proceeding with the sale of the lot of packaging for which the sampling was requested, the operator will have to wait for the release of the certificate of conformity, sent by IMC along with a copy of the analysis report.

The authorized packaging lot cannot be mixed with other lots. In case the authorized lot is mixed with other lots, the holders of the lot must request to IMC a new analysis via the form "lot analysis Request ".

The Packers must communicate the date of the end of the packaging of the batch for which the certificate of conformity was issued. The physico-chemical and organoleptic analysis of the batch of oil must be replicated after 45 days from the date of notification of the outcome of the audits, if the product is not packaged within that period. Therefore the lots of oil cannot be packed with an Certificate of conformity communicated prior to 45 days.

This limit is less in the following cases:

- a) Storing oil under nitrogen or argon at room at constant temperature between 15 and 18 ° C in stainless steel tanks;
- b) Storing in closed porcelain basins, placed in underground chambers at ambient temperature between 15 and 18 ° C, in the dark.

5.7 Analytical Testing on the Product

5.7.1 Sampling

The analysis will be carried out on lots of packaging by performing the sampling in this way:

1. if the packaging lot is packed in one or two tanks (separate and non-communicating), will be carried out a sample for each tank corresponding to an analysis for each tank;
2. In case the lot of packaging is contained in three or more separate and not communicating tanks, must be taken at least two samples from two not contiguous tanks, randomly selected, so as to perform at least two tests. In this second case, if the results of two tests are discordant, must be taken, and examined, a sample from each tank forming a part of the batch.
3. Alternatively, in the case of two or more tanks (separate and not communicating), it may be requested to perform a single sample resulting from the accumulation of the aliquots of product proportionally sampled from the content of each tank. In this case, if the sample will be non-compliant, the whole lot will be non-compliant.

The sampling is carried out by staff appointed by IMC.

The sampler once been commissioned by IMC must make a sampling within 7 working days and always in the presence of the holder of the batch or his delegate.

To make the sampling, the sampler has the right to enter the premises where are stored the batches of oil to be taken; also he must read the appropriate documentation to verify the origin and type of product, its quantitative correspondence, as well as the location of the batches of oil subject of the sampling.

If the sampler, in 'execution of his duties, detects a deformity situation resulting from a difference of the documents (ex. request for sampling and its annexes), he must make immediate report to IMC. A copy of the report shall be given to the holder of the batch (or his representative).

The sampler determines the amount of oil subject of the sampling and collects the sample in four aliquots of 500 ml. Properly sealed and identified by date, type of product, name of the sampler, signature of the sampler, the code of the operator who requires the analysis, the signature of the holder or his delegate.

The individual aliquots will be divided as follows:

- One remaining delivered to the owner of the product;
- One will be forwarded to a laboratory for performing chemical and physical examination;
- One will be retained by IMC as counter-sample for the possible repetition of the chemical and physical exams.

In case of request for voluntary organoleptic analysis (panel test), the aliquots of sample to be taken become No. 6.

The two additional aliquots will be well managed:

- One will be forwarded to a panel test for making an organoleptic examination;
- One will be retained by IMC as a counter-sample for the possible repetition of an organoleptic examination.

Samples should be delivered as soon as possible to the laboratory for analysis and no later than 48 hours after the sampling.

The counter-samples must be handled by IMC inspector and according to the procedures provided by IMC.

The containers for the individual units of the sample must be of dark glass and be sealed. For already packed recipients, can be proceeded to pick up the existing packages.

During the sampling in the company, the sampler draws up two copies of a report the minimum elements of which should be for the identification of the sample set out in the report itself (controlled document Oil Inspection Report):

The reports shall be signed by the sampler and the Holder or his representative. The original should be sent to IMC together with the required documentation.

A copy of the report shall be delivered to the Holder of the batch;

The samples should be stored under controlled conditions, such as to maintain the chemical, physical, and organoleptic characteristics present at the time of sampling.

5.7.2 Results of the test

If the outcome is in conformity with the test, is completed the task of evaluation of the conformity of the lot.

If the outcome is not in conformity with the test, upon the request of the holder of the lot, shall be made a second test. If the outcome of the second test is not in conformity, there will be a third and final test. For the second test, is used in the sample at the holder's possession, while for the third test is used the sample deposited at IMC.

Two negative outcomes result in the refusal to issue / suspension of the certification of the tested lot.

5.8 Labeling and clamps

5.8.1 Labels

Since the disciplinary sets out requirements for the information contained in the label, the labels must be examined and approved by IMC before using them.

Each operator holding labels must send to IMC the drafts of labels he wants to use for the product with the denomination "Extra-virgin Olive Oil from Lebanon" and follow the instructions provided by IMC to make them conform to the disciplinary and to this Control Plan before using them. The operator who receives the approval of the final draft will thereafter send to IMC two copies of each of his original labels.

IMC shall issue the certificate of conformity for the label within 7 consecutive working days upon reception of the draft amended in accordance with the instructions provided by IMC to be conforming to the disciplinary and to this Control Plan.

IMC verifies at the Packers' premises that the labels used for bottling are the same as approved by the Consortium.

5.8.2 Procedures for issuing and affixing clamps bearing sequential numbering

In order to give greater guarantee and evidence of traceability to the final consumer, each package/ container used for packaging and marketing of the denomination "Extra-Virgin Olive Oil from Lebanon" will hold a sequential numbering through a clamp released by IMC.

The following is the procedure for the issuance and control of the sequential numbering:

1. The operator who intends to manufacture the denomination "Extra-Virgin Olive Oil from Lebanon" must make a specific request to IMC. This request requires, in addition to reporting the number of clamps, bringing the total quantity of oil bottles, divided into the various types of packaging (the capacity expressed by liters or milliliters).
2. IMC discharges the correspondence between the number of required clamps, the oil bottles, and the used packaging. In this case, it releases the clamps bearing the serial number required by the operator. IMC shall maintain records for each operator, relative to the number of clamps issued by the related sequential numbering, the quantity of oil to be packed, the type and the capacity of the packaging.

In the case where the operator has already received from IMC the clamps, and he decided to pack less oil than that stated in the previous request, he must give notice to IMC with the introduced variation and must return the unused clamps.

The records relating to clamps issued for each operator, if performed before the start of testing in the field, will be subject to inspection by the inspector appointed by IMC who will verify its veracity. In case of abnormal, IMC temporarily suspends the operator depending on the severity of the non-conformity.

5.9 Issue of the Certificate of conformity

The issue of the certificate of conformity of the packaging lot occurs within three working days of receipt of the test report of the laboratory analysis, detailed in the following ways:

- IMC, within two days of receipt of the form of packaging "Request for lot analysis", or on the first working day, charges the IMC auditor who shall communicate, through 'sending a copy of the form "Request for batch analysis" the necessary data to perform sampling, including the latest date for sampling (7 working days from the date of receipt of the request).
- The auditor charged by IMC s.a.l. contacts the person in charge of the plant where is stored the' oil and agrees with him the date for carrying out the sampling within the deadline specified by IMC.

- The samples are shipped/ delivered by the inspector to the laboratory indicated by IMC, within 48 hours of collection, unless exceptional circumstances.
- The charged Laboratory issues the 'outcome of the analysis within ten working days from receiving the sample.
- IMC issues the 'Certificate of conformity (or non- conformity) within three working days from receiving of the chemical - physical (and organoleptic if present) from the charged laboratory and only if all the documentation necessary to demonstrate the Traceability of the batches constituting the lot were provided to IMC and if the holder of the batch has no due invoices to be paid.

6. MANAGING A NON-CONFORMITY

Following the inspections/ audits carried out on the process (to assess the proper execution of the performed operations) and on the product along the entire production chain, can be detected non-conformities.

"Non-conformity" means the failure to meet the requirements of process and product indicated in the Disciplinary and in this Control Plan which all operators involved in the production chain (Olive growers, Millers, Brokers, Packers) must follow in order to produce and / or identify lots of oil as with the denomination "Extra-Virgin Olive Oil from Lebanon." The non-conformity can be detected by both operators involved in the production/ marketing of the denomination "Extra-Virgin Olive Oil from Lebanon" along the entire production chain, from both IMC which is a certification body responsible for carrying out conformity audits. All nonconformities must be managed. The purpose of the management of non-conformity is to define the activities to be carried out to ensure that the products that do not comply with the requirements specified in the Disciplinary are not marketed as products with denomination "Extra-Virgin Olive Oil from Lebanon." For this purpose it is necessary to proceed to the identification, documentation, evaluation, and resolution of any non-conformity.

Are described below, according to the subjects involved in the supply chain for the denomination "Extra-Virgin Olive Oil from Lebanon" how to manage a non-conformity.

6.1 Management of non-conformity by the Operators

If the operators involved in the process of the denomination "Extra-Virgin Olive Oil from Lebanon" detect non-conformities related to the process or product, they must proceed to manage them in the following ways:

- They must maintain a record of detected non-conformity in appropriate documentation, and define the procedures and responsibilities for the management of non-conforming product in order to bring it back, if possible, within the conformity requirements;
- in case the non-conformity does not allow the restoration of conformity conditions, an evidence must be given that the product will not be intended for the production of the denomination "Extra-Virgin Olive Oil from Lebanon"
- In case, when released for consumption, it is evident that the non-conformity does not allow the restoration of conformity, evidence must be provided that the packaged oil is not marketed as denomination "Extra-Virgin Olive Oil from Lebanon ".

- in the event that after the release for consumption, it is evident that the non-conformities do not allow the restoration of conformity, an evidence must be given that it has been given a timely notice to purchasers in relation with the lots of oil sold in the denomination "Extra-Virgin Olive Oil from Lebanon ", and must arrange for the withdrawal / recall of the non-compliant product, giving evidence to IMC.
- Must immediately report to IMC the non-conformity and the taken measures, preserving the documentary evidence.

6.2 Management of non-conformity by IMC

The inspectors, during the conformity audits can observe non-conformity: it is up to them to determine whether this can be highlighted as of:

- **A severe non-conformity:** non-fulfillment of a requirement related to the production process, management system or product that determines the non-conformity of the product with the requirements of the Disciplinary. The product cannot be identified by the denomination as "Extra-Virgin Olive Oil from Lebanon";
- **A slight non-conformity:** non-fulfillment of a requirement related to the production process, management system, or product, which does not affect the conformity of the product with the requirements of the Disciplinary; it may downfall in time. The product can be identified as the denomination "Extra-Virgin Olive Oil from Lebanon."

The severe non-conformity that may arise during conformity audits conducted by IMC, are managed through the identification of nonconforming product so that it cannot be used in the production of the denomination "Extra-Virgin Olive Oil from Lebanon." Shall be addressed to the possible removal of the trademark from the packaging already put on bottled lots (in cases where the product has been already identified as the denomination "Extra-Virgin Olive Oil from Lebanon").

6.3 Suspension and revocation of operators

The occurrence of three severe non-conformities, for the same operator determines the suspension of the same operator throughout the remaining ongoing production campaign and the obligation to make an audit before the start of the next oil campaign. This audit will be added to the percentage of planned annual inspections and will involve the verification of the removal of the causes of non-conformities identified previously in addition to the verification of the conformity of the other elements. The outcome of the verification will be reported in the same form of non-conformity issued to the operator. The persistence of behaviors that cause non-conformity can be sanctioned, in the motivated opinion of IMC, with the withdrawal of recognition for the operators who are held responsible. The processed product intended for suspension or for revocation may be used for the production of the denomination "Extra-Virgin Olive Oil from Lebanon", except what is specifically provided relating to the specific batch.

The readmission in the control circuit can be made through an additional inspection verification that may be carried out at the operator's premises or can be made via document review

7. FORMS ATTACHED TO THIS CONTROL PLAN

Application forms of membership to be used by the operators of the production chain:

NAME AND DESIGNATION CONTROLLED DOCUMENT	DESCRIPTION CONTENT	UTILIZATION
MD 01 "Application form for the registration in the List of Operators with the denomination" Extra-Virgin Olive Oil from Lebanon "	Contains the manifestation of willingness to be subject to a production control system and the declaration of knowledge of the regulatory documents to be complied in order to produce in accordance with the requirements of the disciplinary.	Should be sent to IMC by the person who intends to grant the contract for the supply chain certification
MD 02 "Registration Form Olive growers MD 03 "Registration Form Millers- Brokers Packers of oil."	Contain the manifestation of the will of adhesion to the control system of IMC and the declaration of knowledge of the regulatory documents to be complied in order to produce in accordance with the requirements for the denomination "Extra-Virgin Olive Oil from Lebanon," the assumption of responsibility and also MD 02 cadastral data of olive groves MD 03: cadastral and technical data of the plants.	Must be submitted to IMC, by operators in the industry together with the controlled document " MD 01 " called "the registration in the List of Operators with the denomination" Extra-Virgin Olive Oil from Lebanon ""

Forms for the conformity audits to be used by IMC s.a.l. auditors

FORM NAME	CONTENT DESCRIPTION	UTILIZATION
MD 04 " Oil" Checklist	Contains the evaluation of the application for individual points of the disciplinary and the requirements set out in this document by the operators controlled by the IMC Auditor.	It must be completed in duplicate by the Inspector, in the audit. A copy is left to the operator and the original sent to IMC
MD 05 " Oil Inspection Report "	Contains the copied registration of the outcome of the inspections carried out by the IMC Auditor at the controlled operators' premises.	It must be completed in duplicate by the Inspector, in the audit. A copy is left to the operator and the original sent to IMC

The following describes the Forms provided by IMC s.a.l. as a reference to documentation required to provide evidence of self-control, taking into account the registered information. Operators may decide to use the proposed Forms or record the data required in business forms. This company documents will be accepted by IMC s.a.l. provided that they have the same information as the forms in the following list. In the case of computerized documents these must be stamped on a monthly basis on printed paper issued by IMC s.a.l.

FORM NAME	CONTENT DESCRIPTION	UTILIZATION
MD 06	Shows the definitive data on the olive production divided on single harvests.	Must be completed and sent to IMC within 10 days of completion of olive harvesting and olives pressing respectively by growers and millers

<p>" Olive Harvest Register "; MD 08 " Oil Production Register "</p>	<p>Shows the data of the individual crushing (given quantity of olives) and the relative production of oil</p>	
<p>MD 07 "Reception of Olive Contribution "</p>	<p>It is 'the form proposed by IMC for the miller to register the olives received from each grower. Contains an indication of the contributor, the plant where the olives have been conferred, the quantity, etc.</p>	<p>To be completed by the Miller for every delivery of olives by each grower. At the end of crushing, a copy is delivered to the olive growers, the original retained by the miller who attaches it to the documents of the batch of oil derivatives</p>
<p>MD 09 " Oil transport register "</p>	<p>It is 'the form proposed by IMC to record the movements of oil within the company since the moment of contribution and during the various shifts in various storage vessels. Report data relating to the traceability of the batches of oil starting from the batches of purchased and / or produced oil</p>	<p>Must be completed by any operator carrying bulk oil storage operations.</p>
<p>MD 10 " Oil Bottling Register "</p>	<p>Shows the data of the individual bottling of oil (transaction date, quantity of bottles, containers capacity) and its lots</p>	<p>Must be completed and kept by the operators who make oil. This document may be replaced by a business document provided that it has the same information. In the case of computerized document, it must be stamped on a monthly basis on printed paper issued by IMC.</p>
<p>MD 11 " Oil Sales Register "</p>	<p>It is 'the form proposed by IMC for registering sales of the denomination "Extra-Virgin Olive Oil from Lebanon"</p>	<p>Must be completed and sent to IMC twice a year by January 31st and by July 31st by the person marketing the oil under the brand denomination "Extra-Virgin Olive Oil from Lebanon." In the case of computerized document, it must be stamped on a monthly basis on printed paper issued by IMC.</p>
<p>MD 12 DTO- Document for Transporting Olives MD 13</p>	<p>It is 'the form proposed by IMC to accompany the transport of olives to the mill. It is 'the form proposed by IMC to accompany the transport of oil from the mill to the packer and / or broker.</p>	<p>DTO must be completed by the olive grower for the transport of the olives to the mill. OTD should be completed by the miller - for the delivery of oil to the packager / broker</p>

OTD - Oil Transport Document		
MD 14 "Oil Analysis Request"	Contains the request to proceed for a sampling of a lot of oil to verify its physico-chemical and organoleptic (optional) conformity to the disciplinary, as well as the declaration of homogeneity of the batch.	Should be sent to IMC from the holders of the batch of oil to be tested prior to packaging of the same batch, along with the documentation relating to the batches of olives used to produce the lot.

ANNEX B - CONCEPT NOTE TEMPLATE

General Instructions

Agriculture and Rural Empowerment (ARE) Activity will assist applicants in understanding the application process, answer questions from applicants, and may provide coaching in application development at the request of applicants. This Concept note may not exceed 10 pages in length. Pages exceeding 20 will not be reviewed

Grant Application Form

The application must be signed by an authorized agent of the Applicant.

This application is in response to **RFA No.005** or entitled **“Sustainably Own and Manage the USAID-developed Olive Oil Seal of Origin and Quality (SOOQ)”**.

1. Organization name:

2. Date organization was founded and registration status:

3. Contact information:

Key contact person(s) and title:	
Office address:	Office phone:
Mobile:	
Email:	Website:

4. Briefly describe the organization, its purpose, and past related experience:

5. List contact information for three (3) references from previous donors or organizations (U.S. and other) that your organization has collaborated with in the last two years:

Donor Agency or Organization	Nature of Relationship or Title of Project, Location	Start & End Dates of Collaboration	Contact Person
			Name & Position: Email: Tel:
			Name & Position: Email:

			Tel:
			Name & Position:
			Email:
			Tel:

6. Have any of the key personnel or leadership of this NGO been terminated or resigned in lieu of termination for any misconduct, including fraud or sexual harassment? If yes, please list name and title.

7. Why do you believe that the Olive Oil SOOQ will positively contribute to the Olive Oil sector in Lebanon? If yes, please describe how and why?

8. What is your approach and how do you plan to manage and roll-out the SOOQ over the next 3 to 5 years? Describe the team formation that will be responsible for the management of SOOQ including roles and responsibilities of each team member. Also list any additional resources and requirements that you believe will be necessary for the sound management and implementation of this quality seal.

9. Do you agree with the suggested approach listed in Section 2 (to launch the intervention with 5 mills, each working with 15 farmers)? If not, please elaborate.

10. How will ensure the sustainability of the Olive Oil SOOQ beyond the support of ARE?

11. Implementation Timeline: Please list the main task phases with estimated start and end dates for each task. Please include all events, trainings, publications, etc.

<i>Description of Main Tasks</i>	<i>Responsible Party(ies)</i>	<i>Estimated budget</i>	<i>Start Date</i>	<i>End Date</i>	<i>Milestone of Achievement</i>
<i>Task 1:</i>					
<i>Task 2:</i>					
<i>Task 3:</i>					
<i>Task 4:</i>					
<i>Task 5, etc: (please add rows as needed)</i>					

12. Approximate cost of this intervention (include cash, in-kind [i.e., donated goods or services], and third-party sources):

Budget Category	ARE Resources (in USD)	Applicant Resources (in USD)	Third Party Resources (identify source) (in USD)	Total Resources Needed (in USD)
Salaries:				
Other Direct Costs:				
Training:				
Travel and Transportation:				
Goods and Materials:				
<i>[Add more rows as needed.]</i>				
Total Estimated Costs (in USD)				

By affixing my signature below, I certify that to the best of my knowledge, the information provided in this application is accurate and correct:

Submitted by (name and title): _____

Signature: _____ Date: _____

ANNEX C - Required Certifications and Self-Assessment Form

Annex C includes the following:

Solicitation Phase (RFA)

- [Representation by Corporation Regarding A Delinquent Tax Liability or a Felony Criminal Conviction \(per AAPD 14-03\)](#)
- [Prohibition on Providing Federal Assistance to Entities that Require Certain Internal Confidentiality Agreements – Representation \(May 2017\)](#)

Award Phase (grant agreement)

- [Certification On Lobbying](#)
- [Certification Regarding Terrorist Financing](#)
- [Certification of Recipient](#)
- [Federal Funding Accountability and Transparency Act \(FFATA\) Subaward Reporting Questionnaire And Certification](#)

REPRESENTATION BY ORGANIZATION REGARDING A DELINQUENT TAX LIABILITY OR A FELONY CRIMINAL CONVICTION (August 2014)

(a) In accordance with section 7073 of the Consolidated Appropriations Act, 2014 (Pub. L. 113-76) none of the funds made available by that Act may be used to enter into an assistance award with any organization that –

(1) Was “convicted of a felony criminal violation under any Federal law within the preceding 24 months, where the awarding agency has direct knowledge of the conviction, unless the agency has considered, in accordance with its procedures, that this further action is not necessary to protect the interests of the Government”; or

(2) Has any “unpaid Federal tax liability that has been assessed for which all judicial and administrative remedies have been exhausted or have lapsed, and that is not being paid in a timely manner pursuant to an agreement with the authority responsible for collecting the tax liability, where the awarding agency has direct knowledge of the unpaid tax liability, unless the Federal agency has considered, in accordance with its procedures, that this further action is not necessary to protect the interests of the Government

For the purposes of section 7073, it is USAID’s policy that no award may be made to any organization covered by (1) or (2) above, unless the M/OAA Compliance Division has made a determination that suspension or debarment is not necessary to protect the interests of the Government.

(b) Applicant Representation:

(1) The Applicant represents that it is is not an organization that was convicted of a felony criminal violation under a Federal law within the preceding 24 months.

(2) The Applicant represents that it is is not an organization that has any unpaid Federal tax liability that has been assessed for which all judicial and administrative remedies have been exhausted or have lapsed, and that is not being paid in a timely manner pursuant to an agreement with the authority responsible for collecting the tax liability.

Signature

Type or Print Name

Position Title

Date of Execution

Prohibition on Providing Federal Assistance to Entities that Require Certain Internal Confidentiality Agreements – Representation (May 2017)

(a) Definitions.

“Contract” has the meaning given in 2 CFR Part 200.

“Contractor” means an entity that receives a contract as defined in 2 CFR Part 200.

“Internal confidentiality agreement or statement” means a confidentiality agreement or any other written statement that the recipient requires any of its employees or subrecipients to sign regarding nondisclosure of recipient information, except that it does not include confidentiality agreements arising out of civil litigation or confidentiality agreements that recipient employees or subrecipients sign at the behest of a Federal agency.

“Subaward” has the meaning given in 2 CFR Part 200.

“Subrecipient” has the meaning given in 2 CFR Part 200.

(b) In accordance with section 743 of Division E, Title VII, of the Consolidated and Further Continuing Appropriations Act, 2015 (Pub. L. 113-235) and its successor provisions in subsequent appropriations acts (and as extended in continuing resolutions), Government agencies are not permitted to use funds appropriated (or otherwise made available) for federal assistance to a non-Federal entity that requires its employees, subrecipients, or contractors seeking to report waste, fraud, or abuse to sign internal confidentiality agreements or statements that prohibit or otherwise restrict its employees, subrecipients, or contractors from lawfully reporting such waste, fraud, or abuse to a designated investigative or law enforcement representative of a Federal department or agency authorized to receive such information.

(c) The prohibition in paragraph (b) of this provision does not contravene requirements applicable to Standard Form 312, (Classified Information Nondisclosure Agreement), Form 4414 (Sensitive Compartmented Information Nondisclosure Agreement), or any other form issued by a Federal department or agency governing the nondisclosure of classified information.

(d) Representation. By submission of its application, the prospective recipient represents that it will not require its employees, subrecipients, or contractors to sign or comply with internal confidentiality agreements or statements prohibiting or otherwise restricting its employees, subrecipients, or contractors from lawfully reporting waste, fraud, or abuse related to the performance of a Federal award to a designated investigative or law enforcement representative of a Federal department or agency authorized to receive such information (for example, the Agency Office of the Inspector General).

(END OF PROVISION)

Signature

Type or Print Name

Position Title

Date of Execution

Certification Regarding Lobbying

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 Cooperative Agreement, 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, an 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.

Statement for Loan Guarantees and Loan Insurance

The undersigned states, to the best of his or her knowledge and belief, that: If any 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 this commitment providing for the United States to insure or guarantee a loan, the undersigned shall complete and submit Standard Form-LLL, "Disclosure Form to Report Lobbying," in accordance with its instructions. Submission of this statement is a prerequisite for making or entering into this transaction imposed by section 1352, title 31, U.S. Code. Any person who fails to file the required statement shall be subject to a civil penalty of not less than \$10,000 and not more than \$100,000 for each such failure.

Grantee Name _____

Grantee's Authorized Representative Name _____

Grantee's Authorized Representative Title _____

Grantee Authorized Representative Signature _____

Date _____

Certification Regarding Terrorist Financing

Certification Regarding Terrorist Financing, Implementing Executive Order 13224

By signing and submitting this application, the prospective recipient provides the certification set out below:

1. Except as otherwise disclosed in writing and included with this application, the Recipient did not, within the previous three years, knowingly engage in transactions with, or provide material support or resources to, any individual or entity who was, at the time, subject to sanctions administered by the Office of Foreign Assets Control (OFAC) within the U.S. Department of Treasury pursuant to the Global Terrorism Sanctions Regulations (31 CFR Part 594), and the Foreign Terrorist Organizations Sanctions Regulations (31 CFR Part 597), or sanctions established by the United Nations Security Council, collectively, "U.S. or U.N. sanctions." Note: Chemonics intends to retain the information disclosed to the Agreement Officer pursuant to this paragraph in any award file and use it in determining whether to provide the applicant with an assistance award. Chemonics will not make such information available publicly unless required by law.

2. The representation in paragraph (1) does not apply to:

(a) Transactions entered into or material support and resources provided pursuant to an OFAC license;

(b) The furnishing of USAID funds, or USAID-financed commodities or other assistance, to the ultimate beneficiaries of USAID-funded humanitarian or development assistance, such as the recipients of food, non-food items, medical care, micro-enterprise loans or shelter, unless the applicant knew or had reason to believe that one or more of these beneficiaries was subject to U.S. or U.N. terrorism-related sanctions; or

(c) The procurement of goods and/or services by the Recipient acquired in the ordinary course of business through contract or purchase, such as utilities, rents, office supplies, or gasoline, unless the applicant knew, or had reason to believe, that a vendor or supplier of such goods and services was subject to U.S. or U.N. sanctions.

This certification includes express terms and conditions of the award, and any violation of it will be grounds for unilateral termination of the agreement by USAID. This certification does not preclude any other remedy available to USAID.

3. For purposes of this Certification-

a. "Material support and resources" means currency or monetary instruments or financial securities, financial services, lodging, training, expert advice or assistance, safehouses, false documentation or identification, communications equipment, facilities, weapons, lethal substances, explosives, personnel, transportation, and other physical assets, except medicine or religious materials."

(i) "Training" means instruction or teaching designed to impart a specific skill, as opposed to general knowledge.

(ii) "Expert advice or assistance" means advice or assistance derived from scientific, technical, or other specialized knowledge.

b. "Entity" means a partnership, association, corporation, or other organization, group or subgroup.

Grantee Name _____

Grantee's Authorized Representative Name _____

Grantee's Authorized Representative Title _____

Grantee Authorized Representative Signature _____

Date _____

Federal Funding Accountability and Transparency Act (FFATA) Subaward Reporting Questionnaire And Certification

In accordance with the Federal Funding Accountability and Transparency Act (FFATA), the information in this form is required to be reported by prime contractors through FAR 52.204-10 “Reporting Executive Compensation and First-Tier Subcontract Awards” for Grants (subawards) valued at \$30,000 and greater (See Required As Applicable Standard Provision # 7 for non-U.S. organizations, # 24 for U.S. organizations, and # 3 for U.S. and Non-U.S. fixed amount awards) in the FFATA Subcontract Reporting System (FSRS.gov). **As required by the referenced FAR, complete this questionnaire and certification as part of the Subcontract, Sub-Task**

Order with a value of \$30,000 or more or Grant with a value of \$30,000 or more. Please review the Subcontractor/Grantee Data included herein for accuracy and note any adjustments necessary. The Subcontractor/Grantee is exempted from the FSRS.gov reporting in the case of a positive response to Section A.

Prime Contract

Insert Prime Contract Name: USAID-funded Agriculture and Rural Empowerment (ARE) Activity, implemented by Chemonics International

Insert Prime Contract Number/Task Order Number: Contract No. 72026820C00001

Subcontractor/Grantee Data

Insert Subcontractor/Grantee Name

Insert Subcontractor/Grantee

Address

Insert Subcontractor/Grantee City, Insert Subcontractor/Grantee State in USA, or Province/Other

Insert Subcontractor/Grantee Zip code or Postal Code Insert Subcontractor/Grantee Country

Subcontract/Grant Number: INSERT SUBCONTRACT/GRANT NUMBER

Start Date: INSERT SUBCONTRACT/GRANT START DATE

Subcontract/Grant Value: INSERT SUBCONTRACT/GRANT VALUE

A. In the previous tax year, was your company's/grantee gross income from all sources **under \$300,000?**

Yes No

B. If “No”, please provide the below information and answer the remaining questions.

(i) Subcontractor/Grantee DUNS Number: Insert DUNS on record

(ii) In your business or organization's preceding completed fiscal year, did your business or organization (the legal entity to which the DUNS number belongs) receive (1) 80 percent or more of its annual gross revenues in U.S. federal contracts, subcontracts, loans, grants, subgrants, and/or cooperative agreements; and (2) \$25,000,000 or more in annual gross revenues from U.S. federal contracts, subcontracts, loans, grants, subgrants, and/or cooperative agreements?:

Yes No

(iii) Does the public have access to information about the compensation of the executives in your business or organization (the legal entity to which the DUNS number it provided belongs) through periodic reports filed under section 13(a) or 15(d) of the Securities Exchange Act of 1934 (15 U.S.C. 78m(a), 78o(d)) or section 6104 of the Internal Revenue Code of 1986?:

Yes No

(iv) Does your business or organization maintain a record in the System for Award Management (www.SAM.gov)?

Yes No

(v) If you have indicated “Yes” for paragraph (ii) **and** “No” for paragraph (iii) and (iv) above, provide the names and total compensation* of your five most highly compensated executives** for the preceding completed fiscal year.

1. Name: _____
Amount: _____

2. Name: _____
Amount: _____

3. Name: _____
Amount: _____

4. Name: _____
Amount: _____

5. Name: _____
Amount: _____

By signature below, I hereby certify that the information provided above is true and accurate as of the date of execution of this document, and I further understand that annual certification is required for information provided in paragraph (v) above.

Signature and Title (required)

Date

*“Total compensation” means the cash and noncash dollar value earned by the executive during the Subcontractor’s

preceding fiscal year and includes the following (for more information see 17 CFR 229.402(c)(2)):

- (1) *Salary and bonus.*
- (2) *Awards of stock, stock options, and stock appreciation rights.* Use the dollar amount recognized for financial statement reporting purposes with respect to the fiscal year in accordance with the Financial Accounting Standards Board's Accounting Standards Codification (FASB ASC) 718, Compensation-Stock Compensation.
- (3) *Earnings for services under non-equity incentive plans.* This does not include group life, health, hospitalization or medical reimbursement plans that do not discriminate in favor of executives, and are available generally to all salaried employees.
- (4) *Change in pension value.* This is the change in present value of defined benefit and actuarial pension plans.
- (5) *Above-market earnings on deferred compensation which is not tax-qualified.*
- (6) Other compensation, if the aggregate value of all such other compensation (e.g., severance, termination payments, value of life insurance paid on behalf of the employee, perquisites or property) for the executive exceeds \$10,000.

**"Executive" means officers, managing partners, or any other employees in management position.

