BUREAU FOR HUMANITARIAN ASSISTANCE

EMERGENCY APPLICATION GUIDELINES

APPLICABLE TO FISCAL YEARS 2021 AND 2022

Last Updated September 23, 2020

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1. INTRODUCTION

USAID's Bureau for Humanitarian Assistance (BHA) is issuing these Emergency Application Guidelines in accordance with relevant Federal laws, United States Agency for International Development (USAID) policy, and international humanitarian agreements. These Guidelines are issued under restricted eligibility conditions for emergency/disaster assistance and/or based on programmatic purpose in compliance with USAID Automated Directive Series (ADS) Chapter 303. They apply to non-governmental organizations (NGOs) submitting applications to BHA for either new awards or modifications of existing awards. These Guidelines provide detailed information relevant to the application submission and award process for grants and cooperative agreements, hereafter termed "awards."

These Guidelines do not cover the full spectrum of programmatic activities that BHA may support, but apply only to applications for non-competitive awards that may include activities focused on urgent emergency response, early recovery, or disaster risk reduction (DRR). Early recovery and DRR programs help mitigate the impact of both current and future shocks, prevent the erosion of household assets and livelihoods, and accelerate recovery. While these types of activities may contribute to the future resilience of affected households and communities, they are not focused, resilience-building activities, which typically involve engagement by multiple stakeholders over multiple years. BHA may issue standalone solicitation(s) for multi-year activities, resilience-focused activities, or other activities separate from this document.

To expedite the application review and funding process, we encourage you to use the formats suggested in the Guidelines. This practice will ensure that your application includes required information identified within the Guidelines and BHA can therefore consider it for funding.

The Guidelines, mandatory technical reference documents, the Checklist of Required Elements, sample formats, information bulletins, and other reference materials are located on our website at the BHA Emergency Application Guidelines (EAG) page. We encourage applicants to read the entire Guidelines and visit the BHA EAG page frequently for updated information.

These Guidelines are interim in nature and reflect BHA's initial work in transforming technical approaches previously employed by the Office of Food for Peace (FFP) and the Office of U.S. Foreign Disaster Assistance (OFDA) into a coherent whole, integrating the entire spectrum of humanitarian programming. Throughout Fiscal Year (FY) 2021 and FY 2022, BHA will gather feedback from internal and external stakeholders, aiming to revise these interim Guidelines by the beginning of FY 2023. However, prior to that time, BHA may amend these Guidelines as necessary due to changes in regulations, policies, or as deemed necessary by BHA. In such cases, BHA will notify partners through the BHA EAG page, NGO consortia, the Food Aid Consultative Group (FACG), and other fora as appropriate.

BHA maintains flexibility when responding to emergency situations and may issue modified application submission requirements for a specific disaster. For competitive emergency awards, BHA will issue a separate Annual Program Statement (APS) with detailed requirements. In the event of exceptions to these Guidelines, BHA will notify potential applicants. You may also seek guidance from BHA representatives in country and regional offices.

BHA welcomes suggestions for areas of improvement to the Guidelines, submitted via bha.guidelines@usaid.gov.

1.1.   OVERVIEW OF THE APPLICATION PROCESS AND REQUIREMENTS

The BHA Emergency Application Guidelines contain detailed technical and process requirements. Cross-cutting guidance, technical guidance, and information on indicators are all presented in the Annexes. BHA considers all annexes and additional resources to be part of these Guidelines.

Prior to beginning any application, you should:

- Familiarize yourself with the Guidelines by reviewing the base document, the Annexes, and other resources on the BHA EAG page.
- Ensure that you are familiar with standard USAID terminology found in the ADS Chapter 201. BHA uses this standard terminology, including the use of the term intervention to describe actions and implementation details, activity to encompass all programmatic interventions under an award, and the terms goal and purpose.
- Determine if BHA resources under these Guidelines are appropriate given the context and the identified need in the geographic area. Determine if you are applying for urgent response activities or an activity focused on early recovery or DRR in line with these Guidelines.
- Understand that both Title II and International Disaster Assistance (IDA) resources are available under these Guidelines and that you should contact BHA field-based staff (or headquarters staff for global activities) to discuss your intended approach and your interest in submitting an application. If you are planning to submit an application for longer than 18 months, you must provide a strong justification for the proposed duration based on the needs assessment and proposed interventions.
- If you decide to pursue emergency resources under these Guidelines, BHA strongly encourages you, in the majority of cases, to submit a concept paper that includes enough information for BHA to assess whether the approach and any modalities proposed are appropriate given the needs identified. BHA encourages you to include information detailed in the Concept Paper section of these Guidelines. Based on a review of the Concept Paper, BHA will inform your organization whether the approach appears feasible and you should consider submitting a full application. In urgent response scenarios, BHA understands that you may not have time to draft a concept paper and that you may instead wish to proceed directly to submission of a full application.
- When submitting your full application, consider all required elements both within the main narrative as well as in supporting documentation.
- Be aware of additional requirements for applications related to the proposed time frame.
- Throughout the application process, use the additional guidance on the BHA EAG page. Some information may be familiar to you based on previous experience with FFP or OFDA; however, some may be new.
- You must organize your applications based on the purpose(s). You must include the relevant sectors and sub-sectors within the purpose that the sector or sub-sector primarily contributes.

2. GUIDING PRINCIPLES, POLICIES, AND LEGISLATIVE REQUIREMENTS

2.1. BHA VISION AND MISSION

BHA's vision is to provide global leadership in humanitarian response, promoting human welfare, alleviating suffering, and providing the foundations for transformative change and self-reliance. BHA is dedicated to improving the lives of those affected by crisis, unconditionally and impartially, so that all whom we serve are treated with dignity and respect.

BHA's mission is to save lives, alleviate human suffering, and reduce the physical, social, and economic impact of rapid and slow-onset disasters by supporting at-risk populations to build stable foundations. BHA is fully committed to implementing USAID's mandate as the lead U.S. Government coordinator for international disaster response.

BHA achieves its mission in coordination with affected populations, host governments, other parts of USAID, U.S. Government agencies and offices, other donor governments, Public International Organization (PIOs), including the United Nations (UN) system, local and international NGOs, and the private sector.

2.2. PRINCIPLED HUMANITARIAN ACTION

BHA is committed to taking actions that uphold and are consistent with the four humanitarian principles, which are broadly accepted by international humanitarian stakeholders and enjoy wide recognition in the international community. These are the principles of humanity, neutrality, impartiality, and independence. For further details, see the background paper on humanitarian principles produced by the UN Office for the Coordination of Humanitarian Affairs (OCHA).

For BHA, this commitment translates into action on the ground, including efforts to:

- Ensure that humanitarian action benefits the most vulnerable populations in greatest need in an impartial manner, without bias or prejudice;
- Do no harm in the process of providing humanitarian assistance and adhere to the highest standards of human rights, respect, and dignity in our provision of assistance;
- Keep the interests and voices of the vulnerable at the center of our work and actively consider these interests and voices in the design of our programming at all stages;
- Choose implementing partners who understand and apply the core humanitarian principles, as well as associated professional and technical standards;
- Base funding and operational decisions on objective needs assessments and analyses;
- Educate others on the utility of humanitarian principles as operational tools that help facilitate safe access to affected populations; and
- Support partners in developing the necessary capacity to undertake continuous dialogue and negotiation with relevant state and non-state actors.

2.3. U.S. GOVERNMENT COMMITMENTS

2.3.1. THE GRAND BARGAIN

As the U.S. Government is a signatory to the Grand Bargain, BHA is committed to advancing reforms that will increase the effectiveness and efficiency of humanitarian assistance.

BHA understands that not all NGO applicants are signatories to the Grand Bargain. However, we continue to encourage applicants to adopt policies and practices that would put more assistance into the hands of affected populations and improve the collective effectiveness of the humanitarian system, in which NGOs play a critical role. To this end, BHA is committed to:

- Increasing financial transparency;
- Strengthening local and national capacity, including through advancing good partnership practices;
- Funding the most appropriate and effective assistance modality based on context and needs;
- Supporting the Humanitarian Program Cycle and joint needs assessments and analyses;
- Strengthening the participation in and feedback of affected populations in assistance decisions;
- Supporting multi-year awards where appropriate and possible (either through these Guidelines or through a separate competitive process); and
- Linking humanitarian and development planning in appropriate situations.

2.3.2. SENDAI FRAMEWORK FOR DISASTER RISK REDUCTION

The U.S. Government is also a signatory to the Sendai Framework for Disaster Risk Reduction 2015-2030 (SFDRR) and, as such, BHA aligns its DRR activities along the four priorities for action:

- Understanding disaster risk
- Strengthening disaster risk governance to manage disaster risk
- Investing in disaster risk reduction for resilience
- Enhancing disaster preparedness for effective response and to "Build Back Better" in recovery, rehabilitation, and reconstruction

BHA aims to achieve a substantial reduction of disaster risk and losses in lives, livelihoods, and health, as well as the economic, physical, social, cultural, and environmental assets of persons, businesses, communities, and countries.

2.4. LEGISLATIVE FRAMEWORK AND FUNDING AUTHORITIES

An overarching legislative framework guides BHA's work, providing BHA with the necessary authorities to provide funding and resources through a range of modalities. These Guidelines provide this framework for your awareness, but you do not need to specify which act(s) your application falls under.

2.4.1. FOREIGN ASSISTANCE ACT

Section 491 of the Foreign Assistance Act (FAA) of 1961 as amended authorizes the provision of "international disaster relief and rehabilitation, including assistance relating to disaster preparedness, and to the prediction of, and contingency planning for, natural disasters" through the International Disaster Assistance (IDA) account.

Section 7 of the Global Food Security Act of 2016 amended the FAA and authorized the emergency food security program (EFSP) within the IDA account to provide emergency food assistance, including in the form of funds, transfers, vouchers, and agricultural commodities acquired through local, regional, and international procurement (LRIP), to meet emergency needs arising from manmade and natural disasters.

2.4.2. FOOD FOR PEACE (FFP) ACT

Title II of the Food for Peace (FFP) Act of 1954 as amended authorizes the USAID Administrator to establish programs to provide agricultural commodities to foreign countries on behalf of the people of the United States. Programming should:

- Address famine and food crises, and respond to emergency food needs, arising from natural and human-induced disasters;
- Combat malnutrition, especially in children and mothers;
- Carry out activities that attempt to alleviate the causes of hunger, mortality, and morbidity;
- Promote economic and community development;
- Promote food security and support sound environmental practices;
- Carry out feeding programs; and
- Build resilience to mitigate and prevent food crises and reduce the future need for emergency aid.

2.4.3. CODE OF FEDERAL REGULATIONS (CFR)

U.S. NGOs must adhere to 2 CFR 200, also known as the Office of Management and Budget Uniform Guidance (OMBUG), which sets forth uniform administrative requirements, cost principles, and audit requirements for all U.S. Government prime assistance awards and U.S. Government-funded sub-awards to U.S. State and local governments. 2 CFR 700 is USAID's supplemental regulation to 2 CFR 200, and includes USAID-specific exceptions and/or additions to 2 CFR 200. For example, 2 CFR 700 includes USAID's letter of credit advance payment mechanism, includes termination or suspension of awards when such assistance would not be in the U.S. national interest or would be in violation of U.S. law, and includes USAID's branding and marking requirements. While the OMBUG only applies to U.S. organizations, USAID has applied many of its requirements to non-U.S. entities via the Standard Provisions which accompany ADS Chapter 303, described below.

22 CFR 211 (also known as Regulation 11) —"Transfer of Food Commodities for Food Use in Disaster Relief, Economic Development, and Other Assistance"—provides the standard terms and conditions applicable to Title II in-kind programs, except those conducted by agencies of the United Nations, including the UN World Food Program.

22 CFR 216 Agency Environmental Procedures is the federal regulation that specifies USAID's pre-implementation Environmental Impact Assessment process. While most emergency programming is exempt per ADS Chapter 204, this exemption is not applicable to assistance for the procurement or use of pesticides, per 22 CFR 216.2.(e) (see Section 9.3.1.4).

You should familiarize yourself with the different regulations and their applicability to different funding streams. For example, 2 CFR 200 applies to the funds received through the Federal Letter of Credit under a Title II activity, while 22 CFR 211 would apply to any U.S. in-kind commodities awarded under Title II.

2.5. USAID POLICIES AND GUIDANCE

2.5.1. AUTOMATED DIRECTIVES SYSTEM (ADS)

You should be familiar with the ADS, specifically ADS Chapter 303, which contains internal guidance, policy directives, required procedures, and standards for the award and administration of USAID grants and cooperative agreements. ADS Chapter 303 incorporates OMBUG requirements into Agency policy and sets forth Standard Provisions which the Agency must include in awards to recipients. You should also familiarize yourself with the mandatory Standard Provisions (ADS Reference 303maa) accompanying ADS Chapter 303.

2.5.2. ADDITIONAL BHA GUIDANCE DOCUMENTS

In addition to these Emergency Application Guidelines, BHA issues BHA functional policies (BHAFPs), guidance documents, technical reference documents, and other resources to help support applicants and partners. BHA functional policies include information on the uses of different Title II funding streams, compliance with the Bellmon amendment, and Award Requirements for Source and Origin of Local, Regional, and International Procurement (LRIP) of food commodities. Guidance documents and technical reference requirements include supplemental guidance on monitoring and evaluation requirements as well as information on specific technical areas or humanitarian sectors. These documents, along with the technical annexes to these Guidelines, are available on the BHA EAG page.

3. BHA PROGRAMMATIC PRIORITIES AND TIMEFRAME

All applications must respond to humanitarian needs and fall within the scope of either the FAA or the FFP Act. You do not need to specify which act(s) under which your application falls. The following section includes information on the general types of activities that BHA will fund, as well as on activity duration.

3.1. BHA FUNDING PRIORITIES UNDER THESE GUIDELINES

Applications should fall within the authorities of the FAA or FFP Act as previously described. Furthermore, the duration of the activity proposed by the applicant should be based on a strong needs assessment presented with the application.

Emergency, early recovery, and DRR activities supported under these guidelines should look to mitigate the impact of both current and future shocks, prevent the erosion of household assets and livelihoods, and accelerate recovery—contributing to the future resilience of affected households and communities.

USAID's focused and intensive resilience-building efforts are multi-year, multi-sectoral, and multi-partner activities, typically involving multiple operating units within USAID, other donors, and host country governments. Where conditions on the ground merit the inclusion of BHA resources in one of these joint efforts or a similar strategic opportunity, BHA will issue a standalone solicitation for multi-year work separate from this document. These Guidelines do not pertain to applications for BHA resources for Food Security Resilience Activities (formerly known as Development Food Security Activities or DFSAs) or International Food Relief Partnership (IFRP) Programs, which are other activities managed by BHA. BHA will release solicitations specifically for these activities. Additionally, BHA reserves the right to issue an APS for specific emergency responses.

Urgent humanitarian response activities should respond early, protect lives and livelihoods, reduce the impact of disasters on vulnerable populations, and help households and communities to maintain their assets and their capacities for self-recovery.

Early recovery activities capitalize upon and protect opportunities for communities to restore and improve systems impacted by disasters and maintain markets, service delivery, and supportive social networks after a crisis has occurred.

DRR interventions, either as a stand-alone activity or through integration within or across sectors, focus on the prevention of new and reduction of existing disaster risk. DRR interventions also help manage residual risk to reduce losses in lives, livelihoods, and health, as well as economic, physical, social, cultural, and environmental assets.

In addition, BHA will seek to link our life-saving emergency interventions to longer-term programs that move targeted communities forward and build self-reliance. Within each of these pillars, BHA is committed to responding to and mitigating the effects of natural disasters and complex crises, while building human and local institutional capacities whenever possible.

By providing a solid platform for further investments, BHA funding priorities create and advance opportunities for transformative and lasting change, thus enabling countries and populations to effectively prepare for, respond to, recover from, and transition out of rapid-onset and chronic humanitarian crises.

3.2. SECTORS

BHA will fund the following sectors under these Guidelines.

● Agriculture	● Multipurpose Cash Assistance
● Economic Recovery and Market Systems	● Natural Hazards and Technological Risks
● Food Assistance	● Nutrition
● Health	● Protection
● Humanitarian Coordination, Information Management, and Assessments	● Disaster Risk Reduction Policy and Practice
● Humanitarian Policy, Studies, Analysis, or Applications	● Shelter and Settlements
● Logistics Support	● Water, Sanitation, and Hygiene
● Monitoring and Evaluation	

You must break out sectors into sub-sectors, which are pre-defined sub-categories of interventions under each sector. Annex A contains detailed technical guidance associated with these sectors and sub-sectors.

BHA recognizes that interventions under a given sector may contribute to a single sector purpose (e.g., a WASH-only activity) or as part of a sector, along with other sectors, contribute to a multi-sectoral purpose.

3.3. EMERGENCY FOOD SECURITY PROGRAMMING

BHA supports emergency food security programming under these Emergency Application Guidelines as a purpose as defined in Section 6. While food security programming often requires integrated, multi-sectoral approaches to address the interconnected drivers of hunger and malnutrition, BHA recognizes that sometimes a single sector intervention may also be appropriate to meet the urgent food security needs of affected populations. The FAA and the FFP Act authorize USAID to provide critically needed

resources— including agriculture commodities from the United States, LRIP, cash transfers for food, and food vouchers—to strengthen food security and protect nutrition around the world.

Food security is achieved or maintained when all people, at all times, have physical, social, and economic access to sufficient, safe, and nutritious food that meets their dietary needs and food preferences for an active and healthy life. The four pillars of food security are availability, access, utilization, and stability. The nutritional dimension is integral to the concept of food security and to the work of BHA.

Applications for food security activities should clearly articulate food security in the application purpose statement and must include food security indicators to measure progress towards achieving the purpose. You must also clearly tag a food security purpose in a separate column in your Activity Summary Table. A sample format is available in Annex C.

BHA considers food utilization to be a critical element in food security and integral to the design of emergency programs. It is a core element of food security that is essential to achieving life-saving assistance, meeting the specific nutritional needs of target populations, preserving the future productivity of societies in crisis, and achieving food security objectives. Food utilization encompasses diet quality and diversity, the promotion of balanced diets, optimal and appropriate infant and young child feeding practices, and may include the management of malnutrition in specifically vulnerable groups, including, but not limited to, adolescent girls, pregnant and lactating women, and young children. You should pay attention to food utilization, which includes nutrition and links food security to the health and WASH sectors, in the development of any food security purpose and subsequent intervention approaches.

BHA supports activities with food security purposes designed to protect and enhance the lives and livelihoods of those affected by disasters and conflicts and those vulnerable to shocks.

In acute emergency situations, these activities may support meeting the immediate food and nutrition needs of those most vulnerable to food deficits through in-kind food, cash transfers, or food voucher distributions. In some cases, nutrition interventions may be needed, such as supplementary and therapeutic feeding with specialized, nutritious foods.

To assist with early recovery, BHA provides opportunities for individuals, households, and communities to restore and improve systems impacted by disasters or conflicts, including market functionality, needed service delivery and supportive social networks after a crisis has occurred. Early recovery activities invest in capacity building, knowledge transfer, household asset building, and other productive investments that enable individuals, households, and communities to better manage food insecurity, shocks, and stresses, improve their nutritional status, and increase their economic productivity.

BHA food security programming achieves these outcomes by strengthening resources, motivation, and capacity at the individual and household levels and addressing system-level challenges at the community and institutional levels.

3.4. CROSS-CUTTING ELEMENTS AND GUIDANCE

There are several technical areas that cut across many of the sectors and have requirements specific to each sector. Cross-cutting elements include:

● Age and Disability	● Local Capacity Building
● Disaster Risk Reduction Mainstreaming	● Natural Resource Management
● Gender Analysis & Integration	● Protection Mainstreaming
● Gender-Based Violence Risk Mitigation	● Response Analysis
	● Structure/Infrastructure Construction and Analysis

In some instances, these Guidelines require you to address these cross-cutting requirements as brief plans in supporting documents. In other instances, you should address these cross-cutting requirements as part of the technical description for each sector and sub-sector.

For details on areas which require additional plans submitted as Annexes, see Section 10 of these Guidelines. For guidance on cross-cutting issues which you must mainstream into sector and sub-sector descriptions, see Annex A, Section 2, Mandatory Cross-Cutting Requirements.

3.5. ACTIVITY DURATION AND TIME-BOUND REQUIREMENTS

You must propose a timeframe for the proposed activity based on the needs assessment. While activities will generally be for 12 months or less, we are interested in providing support to longer-term activities if they fall within the priorities in Section 3.1.

BHA supports competition wherever possible and must be able to justify multi-year emergency activities as described under the ADS Chapter 303 emergency and disaster programmatic exceptions. Therefore, BHA requires you to consult with BHA staff before submitting a concept paper or application for an activity of more than 18 months. Acceptable justification will be context specific and dependent on the needs assessment and proposed interventions.

Additionally, you should be aware of several time-bound requirements, including the following, which do not apply to short-term programming:

- Abbreviated Statement of Work and Report for Baseline Data (activities six months or more)
- Adaptive Management Plan (activities 12 months or more)
- Evaluation Plan with Abbreviated Scope of Work (activities 18 months or more or if your organization has been working in the area for more than three years)

You should be aware that BHA commitments to fund activities for multiple years may be subject to change based on future availability of funding. Additionally, BHA may obligate funding incrementally for multi-year activities and will determine the incremental obligation amounts based on the availability of funding, as well as activity needs.

3.6. ELIGIBILITY INFORMATION FOR APPLICATIONS UNDER THESE GUIDELINES

ELIGIBLE APPLICANTS

For IDA resources, you must be a U.S. or non-U.S. NGO[1] including private voluntary organizations (PVOs)[2]. For Title II emergency resources, you must be a PVO or a cooperative.

PIOs may follow these Guidelines in applying for BHA resources at their own discretion.

INELIGIBLE APPLICANTS

USAID will not accept applications from or provide resources to individuals, parastatal organizations, or U.S. Government departments and agencies based on these Guidelines for IDA or Title II resources.

4. GENERAL FORMATTING INSTRUCTIONS

You must complete all documents (whether for Concept Papers, initial application submission, revisions, or modifications) in accordance with the format detailed below and must comply with the following:

- The Concept Paper (if you choose to submit one) and full Application must be written in English or submitted with English translations (ADS Chapter 303.3.20), with the English version being the controlling version, single-spaced, and in 12-point Times New Roman font; all text in tables or charts are allowed to use 8- or 10-point Times New Roman font;
- Narratives should be prepared in Microsoft Word or a compatible equivalent and saved in Word 2000 or newer versions, with print areas set to 8.5 x 11 inches, letter-sized paper and one-inch margins, left justification, and a header or footer on each page including page numbers, date of submission, proposed country, and your organization's name;
- Use page numbers and headers or footers that clearly identify the submission or revision date. You must label all documents as either an original or revised submission;
- Spreadsheets, including for budgets, should be prepared in Microsoft Excel or a compatible equivalent and saved in Excel 2000 or newer versions, with print areas set to 8.5 x 11 inches, letter-sized paper;
- You may submit official documents, memoranda, and certifications as PDF files; submit only PDF files for signed documents;
- All documents, including budgets, should be in a print-ready format.
- All costs should be in U.S. Dollars (USD), rounded to the nearest dollar; and
- For all revised applications submitted in response to an issues letter:
  - Delete text rather than using strikethrough, and
  - Highlight changes in color or use another color font.

5. CONCEPT PAPERS

BHA strongly encourages, but does not require, you to submit a Concept Paper prior to submitting a full application. While BHA encourages Concept Papers in the majority of situations, BHA also recognizes that Concept Papers may not be appropriate for certain situations, particularly for rapid-

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[1] USAID defines an NGO as any non-governmental organization or entity, whether non-profit or profit-making.

[2] USAID defines a PVO as a U.S. private voluntary organization, international private voluntary organization or a local private voluntary organization as defined in 22 CFR 203.2. including U.S. and non-U.S. nonprofit NGOs as defined in Section 402 of the FFP Act; and in accordance with ADS Chapter 303.

onset emergencies when urgency prevails, or for cost modifications that are largely similar to the original program.

Concept Papers help BHA assess whether the approach and any modalities proposed (i.e., U.S. in-kind commodity, local, regional, or internationally procured commodity, cash transfers, and/or voucher transfers) are appropriate given the needs identified. BHA in turn may provide rapid, high level feedback, including guidance as to whether the activity aligns with BHA funding priorities and the response strategy, as well as general tips to facilitate the application review process. BHA can also provide feedback on appropriateness of Title II resources and the use, timing, and specifications of in-kind commodities.

5.1. SUBMISSION PROCESS

BHA encourages you to engage in discussions with BHA field or regional staff prior to submitting a Concept Paper. This will help you understand BHA's interest in providing resources and our strategy and plans in a given context. If you decide to submit a Concept Paper, you must submit it via the BHA Application and Award Management Portal (AAMP). BHA will not accept emailed, hard copy, or faxed Concept Papers, except in extenuating circumstances.

While either your field staff or your headquarters staff may submit the Concept Paper, BHA's field or regional staff will lead the review of the Concept Paper. In some instances, particularly for global activities that span multiple regions, BHA headquarters staff may lead the review of the Concept Paper, however always in close dialogue with BHA field staff.

If you do not have existing AAMP credentials, send an email to BHA.AAMP@usaid.gov. The AAMP support team will email you a User Agreement Form, which you must complete and submit to create a user profile account. Once the support team creates an account, you will get an email with instructions for logging into the system and setting a password. If you are applying for BHA funding for the first time, you will also need to provide additional information to create an awardee organizational profile in the system. Send an email to BHA.AAMP@usaid.gov with the request for a new organizational profile.

You will receive an auto-notification when your concept paper is under review. BHA will provide a formal written response on the outcome of the review to the field contact listed on the cover page of your submission. The response will either be a recommendation to submit a full application, along with issues to address during the full application, or an email noting that BHA is not interested in the proposed concept at this time. On occasion, BHA may request that the prospective applicant submit a revised Concept Paper.

Organizations are always able to submit full applications, regardless of the outcome of the Concept Paper review.

5.2. SUGGESTED ELEMENTS

While BHA does not have a required format for Concept Papers, we strongly encourage you to include the following information in a Concept Paper, should you decide to submit one:

- Cover Page
- Technical Approach (recommended limit of five pages)
- Budget Overview
- List or map of proposed intervention locations

Recognizing that the situation on the ground may be fluid, you should be in close contact with BHA field or regional staff when preparing for and drafting a Concept Paper.

If you are applying for In-Kind Non-Food Items only, confer with BHA field or regional staff, who can provide guidance regarding the In-Kind Grant Agreement and review the Supply Chain Logistics Resources on the BHA EAG page for additional information.

5.2.1. COVER PAGE

Submit a cover page (one page maximum) conveying the following information:

Applicant Organization Name:

Field Contact Information:

Contact Person:

Street Address:

Telephone:

Email:

Proposed Geographic Area (Worldwide/region/country):

Proposed Start Date:

Proposed Duration (# of Months):

Estimated Dollar Amount Requested from BHA:

Estimated Dollar Value of Title II US In-kind Contributions:

Total Number of People Affected in the Target Area:

Total Number of People Targeted (Individuals):

Total Number of Internally Displaced Persons (IDP) Targeted (Individuals) as Subset of Total Beneficiaries:

Total Number of Refugees Targeted (Individuals) as Subset of Total Beneficiaries:

5.2.2. TECHNICAL APPROACH (RECOMMENDED LIMIT OF FIVE PAGES)

DESCRIPTION OF NEED FOR BHA RESOURCES (SUGGESTED ONE-HALF TO ONE PAGE)

- *Needs analysis:* Provide a brief, location-specific overview of the humanitarian needs for each proposed sector. Include relevant response-level indicators and contextual qualitative information, including the total population, the total population in need, the number of displaced persons (if applicable), and the severity of needs of the people affected in the targeted geographic area. Include information on existing local needs assessments that you used to inform this analysis. If you propose different interventions in different geographic areas, clearly differentiate this in the needs analysis. Indicate if and how the emergency has impacted market functionality in the targeted geographic areas. Outline any ongoing or planned assessments that will influence activity design and how you will coordinate those assessments with other stakeholders. If the host government has provided official government information, share it here.
- *Coordination and Gap Analysis:* Provide information about ongoing humanitarian efforts and efforts to coordinate with other humanitarian stakeholders and the host government,

clearly articulating the gap analysis for each purpose and planned sector interventions presented in the Summary of Activity Design section as described below.

- *Vulnerabilities and Capacities:* Briefly describe any protection risks and specific vulnerabilities of the target population. Outline any differences based on sex or gender, age, disability, geography, ethnicity, religion, caste, or any other factors that may limit access to impartial assistance, as appropriate.

SUMMARY OF ACTIVITY DESIGN
A succinct summary of the proposed activity, structured by purpose(s) and interventions by sector and sub-sector.

- Primary purpose(s) of the activity and short description of the Theory of Change;
- Description of the proposed interventions in each sector and sub-sector(s);
- How the proposed interventions will achieve the primary purpose(s) indicating how the activity will address unmet humanitarian needs. If you previously worked with this population, address the need for continued humanitarian support, what you previously achieved, and how this relates to the proposed purposes(s) and adaptations based on lessons learned.
- Basic information on targeted beneficiaries per sector, including the number of people and their location(s), as well as any relevant targeting criteria that you will apply (e.g., IDPs or refugees in managed camps, informal settlements, or living among host communities);
- Whether the proposed activity aligns with any publicly available BHA strategy documents at the time of submission and the Humanitarian Response Plan;
- Whether, and how, the affected population, including marginalized or vulnerable groups, participated in and played an active role in decisions related to the activity design;
- Whether your organization plans to utilize local and national sub-awardees as partners, their planned roles, and whether and how the activity will support their capacity building; and
- Any envisioned exit plans or plans to transition programming to early recovery or longer-term development programs, if applicable.

RESPONSE ANALYSIS AND MODALITY SELECTION (FOR ACTIVITIES WITH RESOURCE TRANSFERS ONLY)
If the proposed interventions include resource transfers to beneficiaries (such as in-kind commodities, cash transfers, or voucher modalities), explain how you selected the proposed interventions and modalities based on the population's humanitarian needs. Include information on the conditionality of resource transfers and the appropriateness of that conditionality based on the needs and context. BHA prioritizes providing an efficient and effective response that meets the needs and preferences of affected people through a robust response analysis, including the selection of modalities (i.e., cash, vouchers, U.S. in-kind, or LRIP), and helps determine the most effective and efficient way to meet needs. You should utilize a context-driven approach to modality selection, starting from a modality-neutral position. BHA can consider supply-side interventions such as market-based access programs to improve availability and access of critical items, including Title II food commodities, however it is an exception to the rule. You should consult with BHA in the field before proposing this.

The amount of detail provided should correspond to the importance that resource transfers play in your proposed interventions. In some instances, the details may be brief. However, if resource

transfers are the major feature of your proposed interventions, this information may take up a significant part of this section. The criteria in the Modality Decision Tool (MDT) for Humanitarian Assistance (market appropriateness, feasibility, activity purpose[s], and cost efficiency) will help guide your decision-making and the content of this section. See Annex A, Section 2.4, for further details.

For applications seeking to meet a food security purpose with resource transfers or including a food assistance sector, you may submit Concept Papers for activities that include any one or more of the following modalities as appropriate: U.S. in-kind resources, LRIP, cash, and vouchers. BHA will decide how it will fund any approved modalities prior to request for full application.

5.2.3.   BUDGET OVERVIEW

Provide an illustrative budget overview grouped by proposed purpose(s) and broken down by sector and modality. The budget overview should also clearly state the total amount requested and include the proposed indirect cost rate, if applicable. A sample budget format is available on the BHA EAG page.

5.2.4.   LIST OR MAP OF THE PROPOSED TARGET AREA(S)

Include a list or map clearly identifying targeted geographic areas.

6. APPLICATION SUBMISSION AND CONTENT

BHA may recommend that you submit a full application after reviewing your Concept Paper. You may also submit a full application without submitting a Concept Paper first.

6.1.   SUBMISSION PROCESS

Your organization's headquarters (which refers to the entity with authority to sign the award) must submit your application via the BHA AAMP. BHA will not accept emailed, hard copy, or faxed applications, except in extenuating circumstances. If you do not have existing AAMP credentials, send an email to BHA.AAMP@usaid.gov. See Section 5.1 for further information on applying for an AAMP username and password.

Once you submit a full application and BHA deems it complete, BHA will conduct a formal review of the application to consider programmatic, technical, and cost issues, per the requirements of these Guidelines and associated Annexes. BHA staff from headquarters and from field and regional offices will all take part in this formal review.

BHA will communicate any issues raised during the formal application review in an Issues Letter sent via email. You must address these questions by providing additional or revised documentation which may include justifications, clarifying technical or cost details, or other requested information. You must submit additional documentation via the online AAMP. BHA cannot make a final recommendation to fund an application to the appropriate Agreement Officer (AO) until you address all concerns adequately.

If BHA determines that you have resolved all threshold issues, BHA will notify you via email that we recommend your application for funding. If BHA rejects your application, we will notify you in a formal letter. Threshold issues are critical issues which you must resolve before BHA will recommend your application for funding.

For applications recommended for funding, BHA will prepare and process the necessary documentation for the award for signature by the AO. Once signed by the AO, BHA will forward copies of the award document via email to your organization's Authorized Individual as listed in the application's

certifications and assurances, as well as the point-of-contact listed in the application. It is your organization's responsibility to ensure internal distribution, including to field staff.

For information on Pre-Award Letter (PALs) or Pre-Modification Letters (PMLs), which enable the recipient to incur allowable pre-award costs at their own risk, see 2 CFR 200.458.

6.2. CHECKLIST OF REQUIRED ELEMENTS FOR FULL APPLICATIONS

For BHA to evaluate your full application, including both new applications and modifications, it must meet all of the following criteria:

PRESENTATION

- ❏ Adheres to the requirements under Section 4, Formatting Instructions.
- ❏ Conforms to a limit of 25 pages plus two pages per sub-sector, excluding the Cover Page, Cost Application, Activity Summary Table, and supporting documentation. For example, an application with three sub-sectors cannot exceed 31 pages.

APPLICATION CONTENTS

- ❏ Technical Narrative
    - ❏ Includes a cover page with the required information.
    - ❏ Includes an Activity Summary Table which includes the same type of information presented in the sample format provided as Annex C on the BHA EAG page.
    - ❏ Includes a Theory of Change (statement)
    - ❏ Clearly describes the humanitarian crisis or problem you will address and the need for BHA resources.
    - ❏ Identifies an appropriate goal and purpose(s), with sectors and sub-sectors clearly linked to the purpose(s). The goals and purpose(s) must clearly relate to the BHA Mission.
    - ❏ Addresses the applicable Sector Requirements (SRs) outlined in Annex A.
    - ❏ Uses keywords (identified in Annex A) and indicators, linked to sectors, sub-sectors, and keywords (identified in Annex B).
    - ❏ Clearly identifies restricted goods or commodities and provides appropriate documentation as outlined in the SRs.
    - ❏ Clearly identifies transfer modalities based on needs assessments (See Annex A Section 2.4).
    - ❏ Includes cost information for the prime awardee and any proposed sub-awards and contracts requiring approval (See Section 7 for details.)
    - ❏ A detailed budget in U.S. Dollars (USD) in Excel or equivalent format that follows the guidance in Section 7.
    - ❏ A budget narrative in Microsoft Word or a compatible equivalent.
    - ❏ Commodity Calculator (for Title II commodities)
    - ❏ Completed and signed Standard Forms (SF) 424(a), (b), and (c) as applicable.
    - ❏ A copy of the organization's Negotiated Indirect Cost Rate Agreement (NICRA) as applicable.
- ❏ Supporting Documents as Annexes (See Section 10 for details.)

- ❏ Signed Certifications and Assurances.
- ❏ A Branding Strategy and Marking Plan (BSMP), even if a waiver is in place or if you are requesting a waiver.
- ❏ Needs assessment analysis and report.
- ❏ A Safety and Security Plan with location-specific information for all proposed intervention sites.
- ❏ The organization's Code of Conduct - consistent with the UN Inter-Agency Standing Committee (IASC) Task Force on Protection from Sexual Exploitation and Abuse (PSEA) in Humanitarian Crises.
- ❏ Implementation Details for your organization's Code of Conduct by activity location(s), not to exceed one page.
- ❏ Accountability to Affected Populations Plan, not to exceed one page.
- ❏ Monitoring and Evaluation Plan, including Indicator Tracking Table.
- ❏ Abbreviated Statement of Work and Report for baseline data (for activities with duration of six months or more)
- ❏ Evaluation Plan with Abbreviated Scope of Work (for activities extended to 18 months or more)
- ❏ Adaptive Management Plan for activities lasting 12 months or more.
- ❏ Risk Assessment and Management Plan.
- ❏ Supply Chain Requirements Annex and Associated Documentation.
- ❏ Structure and Performance Documentation
- ❏ A list or map of proposed intervention locations (if not submitted within the application narrative)
- ❏ Encouraged annexes, but not required
  - ❏ Gender Analysis, encouraged for applications 12 months and over.
  - ❏ Detailed Implementation Plan
- ❏ Optional
  - ❏ Voluntary Survey on Faith-Based and Community Organizations

6.3. APPLICATION CONTENTS

6.3.1. COVER PAGE

Submit a cover page (one page maximum) conveying the following information:

Proposed Activity Name:

Applicant Organization Name:

Headquarters Contact Information: Field Contact Information:

Contact Person: Contact Person:

Street Address: Street Address:

Telephone: Telephone:

Email: Email:

Proposed Geographic Area (Worldwide/region/country):

Proposed Start Date:

6.3.2. ACTIVITY SUMMARY TABLE

The Activity Summary Table provides a brief overview of programmatic and financial data. BHA strongly recommends the Activity Summary Table format available as Annex C.

When providing the information, note the following:

- Regarding restricted goods as described in Section 9, note:
  - USAID does not categorize goods marked with an "*," such as seeds and livestock, as restricted, but requires BHA's technical approval prior to procurement.
  - You should include restricted goods marked with an "**" in the table if you are proposing BHA funding for procurement, use, training, or distribution of commodities in this category.
- You should repeat the Activity Summary Description presented in the Activity Summary Table, and expand upon it as necessary, in the Application Narrative as appropriate.
- Information on approved sectors, sub-sectors, and keywords is in Annex A.
- You must include all indicators associated with the proposed activity in the Indicator Tracking Table (ITT). Information on indicators is in Annex B.

6.3.3. APPLICATION NARRATIVE AND ACTIVITY GUIDELINES

You should carefully review the requirements in this section, as well as the relevant cross-cutting guidance and sector requirements (SRs) found in Annex A. The SRs are integral to activity design and represent current technical guidance or best practices and issues of concern to BHA. The requirements contain detailed sector, sub-sector, and keyword information to assist in activity design, some of which are integral in completing the elements described here.

6.3.3.1. ACTIVITY OVERVIEW AND DESIGN

Include a concise overview of the whole activity and activity design. While this summary may be an expansion of what you provided in the Activity Summary Table, it should not be a detailed technical narrative. You must address the following elements:

- ***Goal.*** State the goal of the activity, which is the long-term result to which the activity seeks to contribute. You are responsible for contributing to the achievement of the goal. Describe how the goal aligns with BHA's mission and the goal of the humanitarian response or broader context in which you are proposing to work.
- ***Theory of Change (ToC) (statement).*** State the proposed ToC for the activity. Explain how and why change happens. Identify the expected outcome(s) of your activity, and how interventions and outputs link to the higher-level outcome(s).
  - Within the ToC statement, you must identify the proposed sector(s). The ToC statement is a simple "if, then" statement that concisely states the connection between the activity and the intended result of the activity. This statement should not be a lengthy explanation.
  - You should not include the targeted geographic areas, beneficiary numbers, modalities, or budget information in the ToC statement, as these should be identified in the technical narrative and supporting documents.
  - BHA does not require any visual representation of the ToC.

- ***Purpose(s).*** State the purpose(s) of the activity, which are the highest-level result(s) that the activity is accountable to achieve. The purpose statement(s) must be specific, measurable, achievable, realistic, and time-bound (SMART).
  - Purposes may be multi-sector in nature (such as food security) or focus on a single sector intervention.
  - A proposed activity must have at least one purpose or it may have multiple purposes, depending on the complexity of the proposed interventions.
  - Applications with more than one purpose may include several multi-sectoral purposes or single-sectoral purposes. For additional information regarding purposes, please see the Indicator Tracking Table Requirements in Section 10.7.1.
  - Proposed interventions at the sector and sub-sector level and the needs the interventions will address.
- Proposed activity duration.
- Establishment of clear linkages between needs identified and proposed interventions.
- Explanation of the range of local skills, capacities, and resources that you will use to prevent, respond to, and recover from the emergency.

The application must clearly demonstrate how the sectors link to the purpose(s) and how all purpose(s) contribute to the overall goal. Examples of activity designs and further guidance are on the BHA Emergency Application Guidelines page.

6.3.3.2.   NEEDS ASSESSMENT AND ACTIVITY JUSTIFICATION

You must submit a Needs Assessment Summary Report with all applications for BHA funding as an annex. See Section 10, Supporting Documents, for detailed requirements.

Based on your needs assessment and analysis, you should prepare a compelling justification for your activity design, addressing the following:

- Problem Statement
  - Describe the nature of the emergency or problem you plan to address.
  - The major causes of the problem(s) you plan to address;
- Who is affected and how (e.g., people adopting negative coping strategies)? Include source and date of this information.
- How many people are vulnerable or affected? Why are they vulnerable?
- Why provide this intervention now?
- Why are BHA resources needed?

Provide brief contextual information for the proposed activity, not a comprehensive history of the country, region, or problems not related to the proposed activity.

When applying for modifications and extensions to existing activities, BHA expects you to provide updated information on the context and background data, as well as to use evaluation findings and recommendations as part of your justification statements.

You must:

- Consult the justification sections of the relevant SRs in Annex A for detailed guidance on information to include, without repeating information that you provide under each sector further in the application (e.g., provide broader justification in this section with more detailed information and justification under each sector) ; and
- Group justification information to align with how you organize information by purpose(s).

This section must also:

- Introduce your organization, including specific organizational capacity and experience in the proposed sector(s) and sub-sector(s) in the affected country, with the proposed target population, and the intervention area, as applicable. If you already know that you will be requesting Title II commodities following discussions with BHA staff, provide information on your experience in managing these resources.

The proposed activity must clearly respond to one or more of the assessed needs. The justification for intervention must illuminate why:

- The current situation demands a humanitarian response (inclusive of a DRR intervention, if applicable);
- The purpose(s) of the proposed activity are appropriate and that specific proposed interventions are the most appropriate;
- The identified beneficiaries, sector(s), and sub-sector(s) have current priority over other needs; and
- Why your organization is best suited to respond.

You may summarize information in the activity justification, with details included as part of your assessment report.

6.3.3.3. DETAILED TECHNICAL DESCRIPTION

You must organize information by your purpose(s) and sub-purpose(s) (if applicable), ensuring its alignment with your proposed Indicator Tracking Table (ITT). See Section 10.7.1 for guidance. You must use approved sectors, sub-sectors, indicators, and keywords in designing proposed interventions. You must include required indicators according to the sub-sector or keyword chosen (see Monitoring and Evaluation Plan and Annex B). All corresponding indicators must be measurable.

You should apply the Sphere standards whenever possible and appropriate to all proposed activities for which there are Sphere standards. Applicants must strongly justify non-adherence to the standards.

Proposed interventions must fall under one or more of the sectors in the SRs in Annex A. You should contact the appropriate BHA field staff or Washington, D.C.-based staff if planned interventions do not correspond to a sector and sub-sector delineated in Annex A, or if you have questions about which sector(s) and sub-sector(s) are the most appropriate. You must organize your technical narrative by purpose and in line with the technical requirements stated in Annex A. You must explain your proposed set of interventions per sub-sector in compliance with the requirements in Annex A, and must place your sub-sector interventions within the appropriate level of result within the ITT.

If a sub-sector intervention will contribute to the achievement of more than one purpose, you must write the full technical description of the sub-sector intervention within one purpose. BHA recognizes that interventions under one sub-sector may support multiple purposes; however, you should organize the sector information based on the purpose under which it will have the greatest impact. You may use your own discretion in making this decision.

Within all subsequent purposes to which the intervention will contribute, you must explain how the previously described sub-sector interventions will contribute to the achievement of the purpose but must not repeat the full technical description. Specific information required for each purpose includes

the total number of beneficiaries and dollar amount requested at the beginning. Sector-specific information will include much more detailed information as described below.

PURPOSE AND SECTOR NAMES

Multiple sectors may fall under the same purpose if they support the purpose (e.g., food security) or a sector may have a stand-alone purpose. Each proposed sector should fall under only one purpose.

For example:

Applicant's Purpose:	Improve the food security of the IDP population
BHA Sector name:	Food Assistance
BHA Sector name:	Nutrition

Or:

Applicant's Purpose:	Improve the health of the IDP population
BHA Sector name:	Health

Provide information relevant to understanding the relationship(s) and integrated nature of the sectors under a multi-sectoral purpose. Include targeting of beneficiaries, how the various components of the activity will address the identified needs, and assistance gaps beyond the sector-specific interventions.

Following the purpose overview, you should provide information for each sector associated with the purpose. Provide all the information below for each sector before moving to the next sector description.

SECTOR NAME AND DOLLAR AMOUNT REQUESTED

Indicate the dollar amount requested for interventions in this sector.

BENEFICIARY NUMBERS BY SECTOR AND BY SEX

If the proposed intervention includes only one sector, these numbers will be the same as those listed at the activity level in the Activity Summary Table. Include details on the beneficiaries, identifying who they are and selection criteria, at the sub-sector level below.

For overall purpose or activity-level beneficiaries, you should not count individuals twice; however, an individual may count in multiple sectors.

State how many individuals the activity will target for assistance within the sector:

- Number of People Targeted by Sex (e.g., 2,600 women, 2,400 men);
- Of the above total, number of IDPs Targeted (e.g., 250); and/or
- Of the above total, number of Refugees Targeted (e.g., 500).

You must provide the number of direct beneficiaries; organizations also including a figure for indirect beneficiaries must define how these individuals indirectly benefit from proposed activities.

GEOGRAPHIC AREAS BY SECTOR

For global activities, provide the regions and countries of planned activities.

Global	Regions	Countries
Global	West Africa, Latin America	Niger, Guatemala

For regional activities, provide the countries of planned activities.

Region	Countries
South Asia	Bangladesh, India

Provide the second administrative level for the geographic area(s) where the planned work for this sector will occur. You may include additional levels as available and applicable. Examples of administrative levels include:

Country	Admin. Level 1	Admin. Level 2	Admin. Level 3
Haiti	Departments	Arrondissements	Communes
Ethiopia	Regions	Zones	Woredas
Pakistan	Provinces	Districts	Tehsils
Indonesia	Provinces	Regencies	Districts

BHA also encourages you to submit a map, either as part of the application narrative in this section, or as an additional annex.

BHA recognizes that activity implementation is not tied to the geographic location defined here but rather to the activity purpose(s). For any additional guidance, contact BHA program staff.

SECTOR-LEVEL COORDINATION

For the proposed sector, describe how you will coordinate, share information, and collaborate with UN agencies, other NGOs, other U.S. Government agencies, other donors, local groups, and local and national government agencies in the activity design and implementation of activities, including:

- A list of other international organizations and NGOs working in the same sector in proximity to the proposed activities. Identify any links between activities and explain how the proposed work will complement these activities, if applicable; and
- The coordination approach for this sector, including the frequency of cluster meetings, how you collectively identify and address problems, how you gather and share information, and how you set and monitor standards.

KEYWORDS PER SECTOR

A keyword is a specific approach, focus, or target population that proposed interventions for any sub-sector may reflect. Keywords correspond to subject matter that BHA systematically tracks and monitors across all activities for reporting and other purposes.

You must list every applicable keyword for each sector. BHA uses the keywords during review for issues that are not sector-specific. Descriptions of each keyword, along with relevant guidance, are available in Annex A. You must include a description of the selected keywords' relevance in the technical description portion of the application narrative.

You should specify how these keywords apply to proposed activities for each sector, and how assessed needs justify this design. All keywords are available for all sectors.

In lieu of repeating information, if you outline the relationship in the technical design, use references; i.e., "see technical design." If one or more keywords and their relationship to the activity are the same from one sector to another, include this information in the first instance, and use references; i.e., "see previous sector," in the subsequent sector descriptions.

SECTOR-SPECIFIC TECHNICAL DESIGN

For the first sector named above, describe the overall technical design of proposed interventions in this sector, noting how the interventions will meet the sector-wide requirements detailed in Annex A. Address any cross-cutting elements that are applicable to the overall sector. After addressing sector-wide design, proceed to sub-sector technical descriptions (below) applicable to this sector, prior to moving on to additional sectors. You should not include very detailed technical descriptions under the general sector technical design description, as you will include details in the sub-sector technical descriptions noted below. Rather, you should focus in this section on the overall sector design and how applicable sub-sector interventions will work together to meet the activity purpose(s).

SUB-SECTOR TECHNICAL DESCRIPTION

The information provided in this section should represent the bulk of the information provided for the sub-sector. You may find guidance on information you should include in the Technical Description under the appropriate sub-sector in the SRs. You must review the relevant sub-sector guidance in its entirety and address all applicable questions and information requirements; failure to do so may lead to rejection of the application.

Within the technical description, you must explain how the sub-sectoral interventions will contribute to achieving the purpose of the activity. You should clearly explain how the proposed interventions will address demonstrated needs. In general, technical descriptions should include methodologies, processes, or steps you will undertake to implement each proposed intervention within the requested time frame. You should also discuss any contingency plans to manage changes in critical assumptions. You may include timelines, charts, or other graphics for illustrative purposes.

As noted in Annex A, technical descriptions must also address cross-cutting requirements.

BHA encourages, but does not require, the submission of detailed implementation plans which could include information such as the sequencing of activity operations and interventions as well as core implementation processes such as the participant selection processes, staff and participant capacity building, stakeholder consultations or counseling, receipt and distribution of in-kind commodities, or other key milestones. If you do not submit a detailed implementation plan, it will not affect the evaluation of your application.

6.3.3.4. TRANSITION OR EXIT STRATEGY

You must include a transition or exit strategy describing the desired end-state of the activity or milestone. Describe what conditions will ensure the sustainability of activity achievements, mark the end of humanitarian needs, or indicate a transition (e.g., to early recovery following an initial response), or what measurable progress you will make toward future sustainability. If more appropriate, specify an exit strategy if the completion of BHA-funded activities will mark the end of the activity.

Exit plans and transition strategies must describe:

- Contextual analysis regarding possibility of transition and any potential for change in current operational context;
- Planned transition of activities;
- How the transition will incorporate a "do no harm" approach;
- Beneficiary involvement, as applicable;
- Further actions required to ensure sustainability of the activity, within what timeframe, and by whom;
- Steps planned to communicate transition to all relevant stakeholders; and
- Steps planned, if any, to continue the activity after BHA funding ends.

In some instances, particularly in prolonged complex emergencies or chronic crises, it may be challenging to transition to early recovery or longer-term development programming. In these instances, in addition to the points above, you should also articulate:

- Any current factors preventing transitioning away from humanitarian assistance, as well as any potential for change in the current operational context;
- Measures you will take, including outreach to other financial donors beyond BHA, to prepare for transition of your activity to early recovery or more development- oriented programming should conditions warrant; and
- Any possibility of transitioning from BHA resources to alternate sources of emergency funding.

6.4.   FUNDED AND UNFUNDED MODIFICATIONS

BHA requires applicants to submit applications for funded and unfunded modifications electronically via the AAMP. To extend the period of an award or increase the total estimated amount, you should apply for a modification with at least 45 calendar days remaining in the award.

A funded modification increases the total estimated amount obligating additional funds under an existing award. To apply for a funded modification, your application should include only the proposed interventions to be funded. The justification should include an explanation of how the new interventions fit within the context of the overall award. You must include the following application elements with the submission:

- ❏ Technical Narrative
    - ❏ Revised activity description with new information in boldface typed font.
    - ❏ Cost Information for the prime and any proposed sub-awardees.
    - ❏ Pipeline analysis (see Cost and Budget Guidelines for further information).
    - ❏ Revised budget showing only the budget information for the modification.
    - ❏ Revised budget narrative including only the budget information for the modification.
    - ❏ Commodity Calculator (for Title II commodities) if additional commodity is being requested.
    - ❏ Completed and Signed SF-424 package.
- ❏ Supporting Documents as Annexes:
    - ❏ Signed Certifications and Assurances if the modification increases the total estimated award amount.
    - ❏ A revised BSMP if the modification includes new activities or will be implemented in new locations not covered in the original BSMP.
    - ❏ A revised Needs Assessment Analysis and Report if the modification includes new activities or will be implemented in new locations.
    - ❏ An updated safety and security plan that reflects any relevant changes in the programmatic operating environment.
    - ❏ An updated risk assessment and management plan.
    - ❏ An updated Monitoring and Evaluation Plan for any new sectors, interventions, indicators, or locations; Evaluation Plan with Abbreviated Scope of Work (for activities extended to 18 months or more).

❏ An abbreviated Statement of Work and Report for baseline data, if the funded modification adds time to the period of performance pushing it past six months.

❏ An adaptive management plan (for activities extended to 12 months or more).

❏ Updated past performance references per the Structure and Performance. Documentation.

Partners can request an unfunded modification to extend an award's end date or to change the scope without requesting additional funds. You should consult with BHA staff prior to submitting any modification request.

7. COST APPLICATION AND BUDGET GUIDELINES

You must submit cost applications as a separate section, which is not subject to the page limitation of the application. The basic elements of a cost application include a detailed budget, a budget narrative, a completed and signed SF-424 (Application for Federal Assistance), the applicant's financial documents/indirect cost rates, and other administrative business documents as required. If available, provide the DUNS number for any subawards/subcontracts. You must present all costs in terms of U.S. dollars (USD), rounded to the nearest dollar ([2 CFR 200 Subpart E](#)).

You should clearly explain the computation and basis of estimates for indirect costs in applications including the use of a *de minimis* rate of 10 percent and fixed amounts. BHA recognizes that responsibility for the negotiation of indirect cost rates for sub-awardees rests entirely with prime recipients. However, to determine reasonableness of overall costs under an award, BHA requires you to submit detailed indirect cost computation for sub-awards. See additional information on indirect costs in Section 7.2.2.

TITLE II FUNDS

Be aware that Title II resources are predominantly U.S. commodities purchased on the commercial market and shipped overseas. U.S. commodities can be programmed under the food assistance and nutrition sectors. Title II Section 202(e) funds generally cover the administrative costs of programming U.S. food. You may also use a portion of Title II resources to supplement in-kind programs[3] including cash transfers, food vouchers, and LRIP, as well as other interventions linked to the provision of food assistance in support of Title II objectives. The use of Internal Transportation, Storage, and Handling (ITSH) funding covers in-country costs directly associated with getting Title II commodities to the final distribution point, including the transportation, storage, and distribution of Title II food aid. See the BHA functional policy 20-01 on eligible uses of Title II funding including the differences in 202(e), enhanced 202(e) and ITSH funding uses. For purposes of an application under these Guidelines, you can budget using 202(e), enhanced 202(e) and ITSH under the food assistance and nutrition sectors while budgeting with enhanced 202(e) for all other sectors when requesting Title II resources.

7.1. COST APPLICATION

BHA will review the cost application in conjunction with the activity application for purposes of cost realism analysis. Cost realism analysis is the process of independently reviewing and evaluating specific elements of the proposed costs to determine whether:

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[3] A program is defined as a coherent collection of activities, typically grants or cooperative agreements, with implementing organizations that collectively contribute to addressing the USAID objectives in a country or region. When relying on this specific authority, Title II commodities provided under Sections 202(a) or (b) of the FFP Act must be an integral component of the program.

- The proposed cost elements are realistic for the work described in the activity application;
- Reflect a clear understanding of the needs; and
- Are consistent with the methods of performance and materials described in the activity application.

Further information is available on the [BHA EAG page](#).

In addition to cost realism, BHA will conduct cost analysis by applying the following criteria to the cost application:

- Are costs allowable?
  - A cost is allowable when it is: a) necessary and reasonable for the performance of the Federal award; b) conform to any limitations or exclusions set forth in these principles or in the Federal award as to types or amount of cost items; c) Be consistent with policies and procedures that apply uniformly to both federally-financed and other activities of the non-Federal entity; d) Be accorded consistent treatment.
- Are costs necessary?
  - A cost is necessary to carry out activities or an initiative that is necessary for the successful operation of the award.
- Are costs allocable?
  - A cost is allocable to a particular Federal award or other cost objective if the goods or services involved are chargeable or assignable to that Federal award or cost objective in accordance with relative benefits received.
- Are costs reasonable and justified?
  - A cost is reasonable if, in its nature and amount, it does not exceed that which a prudent person would incur under the circumstances prevailing at the time they decided to incur the cost.
- Are there other donor contributions?
- Is there program income?
- Are there sufficient justifications for all costs in the budget?
- Is the procurement of restricted goods (if any) necessary?

Cost Analysis is the review and evaluation of the separate elements of cost, including profit or fee, in the application to determine:

- If the projected price is fair and reasonable based on the applicant's assumptions;
- The levels of cost sharing or in-kind contributions; and
- Whether the proposed costs represent what the cost of the award should be, assuming reasonable economy and efficiency.

For further information on costs considered allowable, allocable, and reasonable, refer to [2 CFR 200.403 - 2 CFR 200.405](#) for non-profit organizations and [FAR Part 31.2](#) for profit organizations.

For further information on cost sharing and program income, refer to [2 CFR 200.306](#) and Cost Sharing or Matching.

7.2. REQUIRED DOCUMENTS

7.2.1. DETAILED OR ITEMIZED BUDGET

The detailed or itemized budget must list and account for individual line items within each object class category for each purpose/sector ([2 CFR 200](#), [ADS Chapter 201](#), and the Foreign Assistance Act (FAA)

of 1961, as amended, §611(a)) for the prime applicant and all proposed sub-awardees and contractors.[4] Object class categories are logical groupings of costs, such as staff salaries, fringe benefits, travel, capital equipment, supplies, and indirect costs. Samples of budgets are available on the BHA EAG page under Sample Detailed or Itemized Budget for Prime Recipient and Sample Detailed or Itemized Budget for Sub-Partner Recipient. These sample budgets are strictly illustrative; you must use your own dollar figures, rates, and cost allocation methodologies. All budgets submitted as part of an application should be in the same format.

You must submit detailed budgets in Excel or a compatible equivalent. You must include formulas to support your calculations for each detailed budget line item. All proposed costs, including cost sharing, must comply with 2 CFR 200, 2 CFR 700, Office of Management and Budget (OMB), and USAID policies. You must express cost sharing as an amount in USD. You must justify in advance the proposed costs for each element of the activity. If you expect to earn program income during the award period, the application must specifically state how you will apply the income. The definition of program income is located in 2 CFR 200.80, and income application suggestions can be found in 2 CFR 200.307.

You must support indirect costs with a NICRA or audited financial statements and indirect cost calculations for your organization as well as any proposed sub-recipients.

Alternatively, you may elect to charge a *de minimis* rate of 10 percent of modified total direct costs (MTDC) in accordance with 2 CFR 200.414(f). MTDC, as defined in 2 CFR 200.68, includes:

- Direct salaries and wages;
- Applicable fringe benefits;
- Materials and supplies;
- Services;
- Travel; and
- Up to the first $25,000 of each sub-award, regardless of the period of performance of the sub-awards under the award.

MTDC excludes:

- Equipment;
- Capital expenditures;
- Charges for patient care;
- Rental costs;
- Tuition remission;
- Scholarships and fellowships;
- Beneficiary support costs; and
- The portion of each sub-award more than $25,000.

You may only exclude other items from MTDC when necessary to avoid a serious inequity in the distribution of indirect costs and with the approval of the cognizant agency for indirect costs (2 CFR 200.19). You cannot double-charge costs and must also consistently charge costs as either indirect or direct costs. If you elect to use the *de minimis* rate, you must use it consistently for all Federal awards until you choose to apply for a NICRA. You may apply to negotiate for a rate at any time.

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[4] Contractor means an entity that receives a contract as defined in 2 CFR 200.22 Contract.

Alternatively, non-U.S. applicants may propose a fixed amount to cover indirect costs. Cost applications must include:

- A detailed itemized list of specific indirect costs;
- A base that measures the benefits of each cost to each program or activity to which the cost applies; and
- The proposed payment schedule based on the standard provision for non-U.S. organizations entitled, "Indirect Costs – Charged as a Fixed Amount (nonprofit)" available at [ADS Reference 303mab](#).

FUNDED MODIFICATIONS

Submit a new budget and budget narrative reflecting only the funds requested through the proposed modification as per instructions provided in Section 6.4. If the pipeline shows an unexpended balance from a prior obligation, the budget for the funded modification needs to either account for the unexpended balance or it will be deducted from the total funds requested. The Detailed/Itemized Budget Guidelines above apply to budgets for funded modifications. Do not send the original budget with updates. BHA also requires a pipeline analysis. If the pipeline shows unused funds from prior obligations, the budget must account for projected expenditures utilizing the new funds requested and unused funds from prior obligations.

TITLE II RESOURCES APPLICATIONS

You need to submit one cost application if you are only requesting Title II U.S. resources.

If you request both Title II and IDA resources, you should submit two separate cost applications. The cost application for Title II in-kind resources should pull from the commodity calculator and include applicable ITSH and Section 202(e) funding requests disaggregated by sector. The commodity calculator should be submitted with the cost application.

7.2.2. BUDGET NARRATIVE

The budget narrative justifies the costs proposed in the detailed budget and describes the methodology and assumptions used to develop your cost estimates. It must demonstrate that all costs are reasonable, allowable, and allocable. You must provide sufficient information and details to explain how individual costs were calculated, including sources used to determine the cost basis or "Unit Cost," such as published salary tables, internal policies and/or local labor laws, local market rates, actual costs incurred, historical costs, cost estimates obtained through tenders or bids, or catalog prices, in support of the proposed budgets for the prime applicant and proposed sub-awardees and contractors.[5] A thorough budget narrative will expedite the cost application review and prevent your staff from having to revisit the application and provide additional information following application submission. For ease of review, budget narratives should follow the order of line items in the detailed budget (top to bottom), rather than by purpose(s)/sectors (left to right). Sample budget narratives for prime and sub-partner funding awardees are available on the [BHA EAG page](#). These narratives are strictly illustrative and are based on the sample detailed budgets. You must use your own rationale based on their proposed activity design, associated inputs, and detailed budget. Submit budget narratives as a Microsoft Word document or compatible equivalent. Do not submit your budget narrative in Microsoft Excel.

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[5] This requirement does not include contracts for the acquisition of supplies, material, equipment, or general support services.

7.2.3.   SF-424

OMB requires submission of a signed SF-424 Application for Federal Assistance with all applications ([2 CFR 200.206](#), [ADS Chapter 303](#)). This includes:

- SF-424, Application for Federal Assistance,
- SF-424a, Budget Information—Non-construction Programs, and
- SF-424b, Assurances—Non-construction Programs.

These documents are located on www.grants.gov.

7.3.   OTHER FINANCIAL DOCUMENTATION

7.3.1.   COST SHARING AND IN-KIND NON-FEDERAL CONTRIBUTIONS

BHA does not require applicants to provide cost share. However, if you decide to include cost share, you should provide specifics on details, including the amount of matching funds and in-kind contributions, in USD and not percentages ([2 CFR 200.306](#), [2 CFR 700.10](#), [ADS Chapter 303](#)). If you do choose to include cost share, BHA will incorporate into the grant agreement and hold you accountable for the amount specified in the application.

7.3.2.   SUB-AWARD AND CONTRACTUAL ARRANGEMENTS

In accordance with [2 CFR 200.308](#), we require you to get USAID approval prior to outsourcing of any work under an assistance award, except for the acquisition of supplies, material, equipment, or general support services. It is your responsibility, pursuant to [2 CFR 200.330](#), to decide whether the appropriate type of subordinate agreement for such outsourcing is a sub-award[6] or a contract. You must make case-by-case determinations whether each subordinate agreement under your prime agreement casts the party receiving the funds in the role of a subrecipient (which creates an assistance relationship) or a contractor (which creates an acquisition relationship).

Therefore, you must describe details of planned sub-awards and contracts to the extent they are known at the time of application development ([2 CFR 200.330](#), [ADS Chapter 303.3](#)). The details shall, at a minimum, include the following:

- Name of the sub-awardee(s) and/or contractor(s);
- Separate detailed budget and budget narrative broken out by sector;
- Scope of work of the sub-awardee and/or contractor;
- Confirmation that sub-agreements and/or contracts will comply with Subpart D of 2 CFR 200, including Procurement Standards set forth in 2 CFR 200 and Sub-award Monitoring and Management (2 CFR 200.317 - 2 CFR 200.332);
- Confirmation that you conducted a risk assessment for all proposed subrecipient(s) and contractor(s) by name, including verification that they:

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[6] Sub-award means an award provided by a prime recipient to a subrecipient to carry out part of a Federal award received by the pass-through entity. It does not include payments to a contractor or payments to an individual that is a beneficiary of a Federal program. It also means federal financial assistance in the form of a grant, cooperative agreement, or non-cash (in-kind) contribution that you provide to a first-tier subrecipient, or that a subrecipient provides to a lower-tier subrecipient, for the subrecipient to carry out part of the program financed under an assistance agreement or the higher-tier sub-award. "Contract" means a legal instrument by which the recipient or a subrecipient acquires (by purchase, lease, or barter) property or services from a contractor which are needed to carry-out the project or program.

- Do not have active exclusions in the System for Award Management (SAM) (www.sam.gov);
- Do not appear on the Specially Designated Nationals (SDN) and Blocked Persons List maintained by the U.S. Treasury for the Office of Foreign Assets Control, sometimes referred to as the "OFAC List"; and
- Do not appear on the United Nations Security Council Consolidated Sanctions List.

You must:

- Ensure the sub-awardee has a DUNS number, and
- Ensure the sub-awardee is not on the list of excluded parties at www.sam.gov.
- *Note: Sub-awardees do not need SAM registration.*

For any sub-award or contract not covered in the original application, you must obtain the AO's post-award approval before you may execute sub-awards and contracts.

7.3.3. U.S. GOVERNMENT NEGOTIATED INDIRECT COST RATE AGREEMENT

Include a copy of the organization's U.S. Government Negotiated Indirect Cost Rate Agreement (NICRA), if applicable (ADS Chapter 303.3.21). See USAID's Indirect Cost Rate Guide for Non-Profit Organizations for additional information.

7.3.4. PROGRAM INCOME

Program income refers to recovered costs or other revenues generated under the award, except for interest earned on USAID advances. If you anticipate program income, you must reflect the estimated amount in the budget. The budget narrative must describe if you will treat the program income as additive program funding, cost-sharing, deductive, or a combination thereof (see 2 CFR 200.307 Program Income).

7.3.5. PIPELINE ANALYSIS (AWARD MODIFICATIONS ONLY)

Request for award modifications must have a pipeline analysis that shows:

- Actual costs incurred through the end of the most recent financial reporting period;
- Estimated costs through the end of the current award period; and
- The balance of funds that will not be expended by the end of the current award period (ADS Chapter 201, ADS Chapter 602, ADS Chapter 621, ADS Chapter 631).

A sample pipeline analysis is available on the BHA EAG page.

No-cost modifications to extend the period of performance by less than three (3) months do not require a pipeline analysis.

If unexpended funds will carry over into the cost extension period, reduce the budget for the extension period by the amount you plan to carry over.

BHA requires a new detailed budget, budget narrative, and SF-424 for all funded modifications and that complement activities in the revised program description. The budget documents should only reflect

the additional amount of funding requested and must adhere with the requirements set forth in Section 7.2.

Given that unexpended funds will carry over into the cost extension period, you should reduce the budget for the extension period by this amount. Modifications that increase the total estimated amount of an award must also include a new detailed budget, budget narrative, and SF-424 reflecting the amount of additional funding in accordance with the requirements set forth in Section 7.2. The new budget and narrative must complement the modified activity description, if any.

8. ADDITIONAL REQUIREMENTS FOR NEW APPLICANTS

If your organization has not previously received funding from the U.S. Government, this section describes additional requirements you must complete prior to submitting an application.   You should contact a BHA staff member regarding completing requirements detailed below. If your organization has previously received U.S. Government funding, you may skip this section.

8.1.   FOR GRANTS AND COOPERATIVE AGREEMENTS

ORGANIZATION HAS NEVER RECEIVED U.S. GOVERNMENT FUNDING

- BHA must conduct a pre-award survey to assess the risk in providing your organization federal funding, which may take up to 60 days to schedule. You should take this into account and plan submissions and activity performance periods accordingly.
- Your organization must provide audited financial statements for the previous three fiscal years, performed by a Certified Public Accountant or other auditor satisfactory to USAID; an organizational chart; and copies of applicable policies and procedures, such as accounting and financial management, purchasing, property management, travel, and personnel (ADS Chapter 303.3.9).
- Your organization must have a unique nine-digit Data Universal Numbering System (DUNS) Number (2 CFR 25, ADS Chapter 303.3). Procedures for obtaining a DUNS number are in the Certifications and Assurances package, which is available on the BHA EAG page.
- Your organization must have a current registration in the System for Award Management (SAM) database. Registration procedures are located on the website.   The USAID Chief Financial Officer receives registrant financial information from www.sam.gov and uses SAM information to make payments to recipients of USAID awards (awardees).
- Non-U.S. registrants must input or update their U.S. banking information (bank routing number, account number, etc.) via the tab titled "Remittance" in SAM to receive payment from USAID. Non-U.S. organizations must also obtain a NATO Commercial and Government Entity (NCAGE) number prior to seeking SAM registration. The BHA Grants Unit will work with new non-U.S. awardees to set up electronic payments into your organization's local bank account.

ORGANIZATION HAS RECEIVED U.S. GOVERNMENT FUNDING BUT NEVER FROM USAID

- You must include information demonstrating that your organization has the ability to meet various award conditions (ADS Chapter 303.3.9), including:
  - Financial and program management systems that comply with 2 CFR 200.300- 2 CFR 200.309;

- Reasonable system of internal controls in accordance with applicable cost principles ([2 CFR 200 Subpart E](#)). This includes the segregation of duties, handling of cash, contracting procedures, and personnel and travel policies;
- Procurement system and contracting procedures that comply with [2 CFR 200.317-326](#);
- Property management system that complies with [2 CFR 200.310-316](#);
- Personnel policy that complies with applicable U.S. Government cost principles and results in reasonable and allocable salary charges;
- Travel policy that complies with the standard provision entitled "Travel and International Air Transportation" and applicable U.S. Government cost principles;
- System of administering and monitoring sub-awards, as required by [2 CFR 200.330-332](#);
- Reports and records that comply with [2 CFR 200.333-337](#); and
- The capacity to manage additional federal funding.

- You must also provide:
    - Evidence that your organization has or can obtain adequate financial resources for performance of the award;
    - Proof that your organization has a satisfactory record of performance, including history of performance references as outlined in Section 10.10.
    - Information showing that your organization has a satisfactory record of integrity and business ethics;
    - Documentation establishing that your organization is otherwise qualified to receive an award under applicable laws and regulations;
    - Contact information for the Contracting or AO at every U.S. Government Agency from which your organization has received an award; and
    - Confirmation that your organization conducted a risk assessment for each proposed subrecipient(s) by name, including verification that the subrecipient(s) does not:
        - Have active exclusions in the [System for Award Management (SAM)](#);
        - Appear on the [Specially Designated Nationals (SDN) and Blocked Persons List](#) maintained by the U.S. Treasury for the Office of Foreign Assets Control, sometimes referred to as the "OFAC List;" or
        - Appear on the [United Nations Security Council Consolidated Sanctions List](#).

- Your organization must have a reputable bank account with a U.S. correspondent bank to receive payments from USAID. For non-U.S. organizations, you must provide the name and banking information for a correspondent U.S. bank that will receive funds on your organization's behalf.

8.2.   FOR FIXED AMOUNT AWARDS TO NGOS

A fixed amount award (FAA) is a type of assistance award where USAID provides a specific level of support and payment is based upon the achievement of milestones. An FAA is appropriate for supporting activities with very specific and defined elements, when USAID can reasonably estimate the actual overall cost associated with the effort and can define accomplishments of the award through milestones. With an FAA, USAID can fund an organization that has never received U.S. Government funding. However, there is additional due diligence involved for FAAs. For FAAs, you must include information demonstrating that your organization has the ability to meet various award conditions by

addressing all pre-award risk assessment determination criteria listed under the Fixed Amount Award Entity Eligibility Checklist. Contact BHA staff prior to submitting a Concept Paper or application if your organization is interested in an FAA.

Under FAAs, USAID pays your organization a set amount when it accomplishes a proposed milestone. Milestones are verifiable products, tasks, deliverables, or goals completed by your organization. You must propose milestones that BHA can objectively verify regarding completion and quantity and that are within your organization's span of management control to successfully complete as designed. The milestones will generally have three parts:

- Description of the product, task, deliverable, or goal your organization plans to accomplish;
- Description of how your organization will document the completion of the product, task, deliverable, or goal; and
- The amount that USAID will pay your organization for the deliverable.

9. INELIGIBLE AND RESTRICTED GOODS, SERVICES, AND COUNTRIES

You should be familiar with the rules and requirements in ADS Chapter 310, ADS Chapter 312, ADS Chapter 313, 22 CFR 228, and 22 CFR 211, as they may affect the activity design, budget, timing of award, or timely activity implementation and post-award administration.

9.1. INELIGIBLE GOODS AND SERVICES

BHA cannot fund:

- Military equipment;
- Surveillance equipment;
- Abortion equipment and services;
- Luxury goods and gambling equipment;
- Weather modification equipment; or
- Commodities and services for support of police or other law enforcement activities.

9.2. INELIGIBLE SUPPLIERS

Some entities are ineligible as suppliers of USAID-financed goods and services. It is your responsibility to make this determination prior to transferring any U.S. Government funds. BHA forbids you to use supplies or services, including proposed sub-awardees and contractors, that:

- Have active exclusions in the System for Award Management (SAM);
- Appear on the Specially Designated Nationals (SDN) and Blocked Persons List maintained by the U.S. Department of the Treasury's Office of Foreign Assets Control (OFAC), sometimes referred to as the "OFAC List"; or
- Appear on the United Nations Security Council Consolidated Sanctions List.

9.3. RESTRICTED GOODS

You need approval in the initial award or prior to procurement of the following items (ADS Chapter 201, ADS Chapter 303, ADS Chapter 312):

- Certain agricultural commodities, including livestock and seeds;
- Fertilizers;
- Pesticides (e.g., for agriculture, health, construction, warehouse commodity storage, including for transboundary pest outbreaks) and pesticide-containing materials (e.g., long-lasting insecticide-treated nets [LLINs], curtains and insecticide-treated plastic sheeting [ITPS], pesticide-embedded grain sacks for commodity storage);
- Pharmaceuticals, both veterinary and human as defined in the USAID Glossary of ADS Terms, including oral rehydration salts (ORS);
- Motor vehicles manufactured outside of the United States, including leasing longer than 180 days per year;
- Used equipment; and
- U.S. Government-owned excess property.

To facilitate award and program implementation and to reduce administrative burdens, BHA requires the following additional information at the time of application. You must also include budget line items and justifications.

9.3.1.   AGRICULTURAL COMMODITIES

ADS Chapter 312.3 outlines procedures applicable to the procurement or financing of agricultural commodities under the authority of the FAA, except for emergency humanitarian assistance provided with IDA resources. ADS Chapter 204.3.10.a outlines emergency activities that are funded with a non-IDA account (e.g., Title II), when they meet the exemption criteria outlined in ADS Chapter 204.3.10.c. This exemption is not applicable to assistance for the procurement or use of pesticides, per 22 CFR 216.2.(e). Concerning pesticide activities of fumigation, integrated vector control, and transboundary pests, refer to the Pesticide Management section of the USAID Food Assistance Environmental Safeguard Guidance on the BHA EAG page, per USAID pesticide procedures 22 CFR 216.3(b).

For IDA and Title II emergency funded activities, you are not subject to the agricultural commodities procurement requirements of ADS Chapter 312.3.3.1. However, BHA applies its own technical review and inspection to procurement of agricultural commodities to ensure best practices for input quality and appropriateness. The information required for technical review and approval of controlled agricultural commodities is below and in Annex A. Please note that it is not sufficient to include controlled agricultural commodities as part of the application budget or Activity Summary Table (Annex C) for technical review and additional documentation as described below is required for approval. BHA requires technical review and approval prior to procurement of livestock, seed and seedlings, and fertilizer.

9.3.1.1.   REQUIRED PRACTICES FOR PURCHASE OF LIVESTOCK

When requesting financing for livestock, your request must affirm that:

- The suppliers or agents providing the animals have provided, or will provide prior to purchase, at least one verifiable reference of supplying healthy and productive livestock.
- The supplying farms or their agents have provided, or will provide prior to purchase, documentation that verifies parentage, health status, and compliance with required vaccination standards.
- You may not purchase livestock from areas within a country identified as having current outbreaks of World Organization for Animal Health (OIE) priority diseases. For livestock

purchased from another country, you must comply with procedures and regulations defined by the competent national animal health authority, usually the director of the Central Veterinary Office in the Ministry of Agriculture Livestock Development (or an equivalent office).

- Imported animals will have permanent identification that cannot be altered between inspection at purchase and arrival in the importing country. If practicable, cattle must have freeze brands on the lower leg or hot brands, where necessary, supplemented with ear tags; sheep and goats must have ear tattoos and/or tail web tattoos. The animal's identification numbers must correspond to birth and vaccination records provided at the time of purchase.

You must also submit the Livestock Supplier Certification letter and its supporting documentation (available on the BHA EAG page) to the AOR prior to procurement.

If possible, and especially for purchases of large numbers of animals, you should verify at the supplier farms that the physical conditions of animals in the herd or flock are adequate, that suppliers keep records, and that the facilities are sanitary. You must transport purchased animals in a safe, humane manner in a properly ventilated vehicle to assure that they arrive at distribution points in good physical condition without bodily injury. If traveling over long distances, there must be rest stops spaced every 8 to 12 hours to allow animals to disembark, rest, feed, and watered. Imported livestock must arrive at border crossings or airports accompanied by required documents verifying compliance with regulations. Receiving farms and organizations must have enough training from activity technical staff and have infrastructure in place to assure that the animals can be productive and generate the activity outcomes expected.

9.3.1.2. QUALITY REQUIREMENTS FOR SEEDS, SEEDLINGS, AND CUTTINGS

Seeds, seedlings, and cuttings for agricultural production require technical approval by BHA. Seeds are subject to quality requirements. Where certified seed is not available and you cannot obtain a Seed Grower's Declaration of Quality (e.g., for seeds procured in a seed fair), your organization assumes responsibility for ensuring seed quality, and you must document what quality assurance practices you followed in lieu of certification. See the USAID Seed Grower's Declaration of Quality available on the BHA EAG page for quality assurance practices that you must implement. Note that there is no waiver for seed quality; you must either use certified seed or follow quality assurance practices. For direct distribution of seed, you must make all efforts to provide certified seed. You must provide strong programmatic justification for provision of anything other than certified seed through a direct distribution. For procurement of seed directly or through use of a voucher, you must indicate the use of agricultural commodities within the application. When using cash or vouchers, you must explain how you determined that sufficient seed of appropriate quality and variety is available. For example, the seed security conceptual framework is useful to diagnose seed security using the parameters of access, availability, and quality. Established methodologies for market and consumer-based seed demand analysis, such as the seed system security assessment, can help you better diagnose and plan emergency seed interventions. When distributing cash transfers to procure agricultural inputs, you must include training for beneficiaries on how to ensure selection and management of quality seed. You must also reiterate to beneficiaries what inputs are not appropriate for purchase with BHA funds.

9.3.1.3. FERTILIZERS

Any purchase of fertilizer, regardless of where you procure it, requires BHA approval. For approval, see the fertilizer procurement format on the BHA EAG page and include the following details: type of

fertilizer, composition, amount of fertilizer, and total cost per type for the activity. For fertilizer type eligibility, refer to the list of fertilizers in Fertilizer Financing Guidance (ADS Reference 312mad).

For the purchase of manure, you must purchase it within 40 kilometers of its intended use location and ensure that a reasonable level of phytosanitary safety exists.

When BHA funds an application that includes fertilizers, a special provision is included authorizing local purchase, making the awardee responsible for compliance with the specifications in the USAID Commodity Eligibility Listing (ADS Chapter 312), to the extent there are requirements for the desired type of fertilizer.

BHA rarely finances the purchase of large quantities of fertilizer for a number of reasons, including the high cost and the challenges for vulnerable farmers to establish a sustainable and technically sound use of fertilizers after an activity ends.

9.3.1.4.   PESTICIDES AND PESTICIDE-CONTAINING MATERIALS

USAID classifies pesticides or pesticide-containing or incorporated materials, such as LLINs, curtains (LLICs), and ITPS as restricted goods. Pesticides or pesticide-containing products used for animal dips or spraying to control ectoparasites must adhere to the USAID Pest Management Guidelines (see Pests and Pesticides sub-sector). BHA usually does not finance the purchase, use, or distribution of pesticides and will only consider such actions in response to agricultural pest outbreaks and public health emergencies where such products are determined to be necessary and vital for the success of the activities.

Exemption, Categorical Exclusions and Exception in relation to pesticides:

As prescribed in 22 CFR 216 – the Agency Environmental Regulations, the Exemption of §216.2(b)(l) and Categorical Exclusions of §216.2(c)(2) are not applicable to assistance for the procurement or use of pesticides as stipulated in section 22 CFR 216.2(e). However, the regulation notes that there may be special circumstances that would invoke the need for an Exception to Pesticide Procedures for "Projects under emergency conditions" per 22 CFR 216.3(b)(2)(i). The Emergency conditions that may invoke an Exception, shall be deemed to exist when it is determined by the USAID Administrator, in writing that: (a) A pest outbreak has occurred or is imminent; and (b) Significant health problems (either human or animal) or significant economic problems will occur without the prompt use of the proposed pesticide; and (c) Insufficient time is available before the pesticide must be used to evaluate the proposed use in accordance with the provisions of this regulation.

Any application requesting funding related to pesticides or pesticide-containing materials must follow USAID Environmental Regulations as described in the Pesticide section of ADS 312 and Pesticide Procedures in 22 CFR 216.3(b). This includes any portion of the following regardless of what entity funds the pesticides:

- Handling;
- Transporting;
- Use;
- Procurement of pesticides, pesticide-containing products, or equipment for applying pesticides;
- Distribution;
- Managing; or
- Disposal of pesticides or pesticide-containing materials, including those procured with non-BHA resources, but for which you plan to use BHA funds to transport, distribute, store, apply, or dispose.

You must consult with BHA and adhere to USAID Pesticide Procedures, 22 CFR 216.3(b), addressing all 12 points listed in 22 CFR 216.3(b) a-l. At a minimum, applicants must also provide a:

- Global Initial Environmental Examination (IEE), or
- Programmatic Environmental Assessment (PEA), or
- Pesticide Evaluation Report and Safer Use Action Plan (PERSUAP).

In consultation with the BHA Bureau Environmental Officer, USAID may provide you such core environmental documentation. Examples of such documentation can be found on the BHA EAG page. In other cases, you will need to demonstrate your expertise in developing site specific PERSUAPs for USAID review and clearance. Note the preparation, USAID approval, and implementation of such highly technical analyses is time consuming, and specialized pesticide experts must oversee it. To the extent possible, BHA encourages you to propose pesticides only when agricultural pest outbreaks threaten food security and undermine the economy of the host-country or for public health concerns (including malaria and other vector-borne diseases).

BHA does not support the use of cash or vouchers for USAID-restricted pest control commodities. When you distribute cash and the main intent is to support procurement of agricultural inputs, you must clearly state to beneficiaries that they cannot use that cash to buy pesticides.

Biological pest control agents are also considered restricted commodities, and must abide by the Pesticide Procedures in 22 CFR 216.3(b). When proposing pest control materials such as botanical agents (e.g., neem, pepper, garlic), biological control, or non-chemical pest control tools (e.g., digging trenches, trapping), you must also adhere to USAID Pest Management Guidelines (see Pests and Pesticides sub-sector) and clearly describe procedures to avoid or minimize any adverse effects that the use of these materials may have on humans, domestic animals, other non-target organisms (e.g., honey bees, wildlife), or the shared environment. You must always promote and encourage integrated pest management as a means to prevent and control pests and diseases. Refer to the Pests and Pesticides sub-sector in Annex A.

9.3.1.4.1.   AGRICULTURAL PESTICIDES

All Agricultural pesticides are USAID-restricted commodities. BHA requires that only skilled and experienced people can:

- Handle;
- Apply;
- Transport;
- Distribute;
- Store; or
- Dispose of pesticides.

BHA also requires you to employ appropriate personal protective equipment (PPE) and tools, including when using natural (e.g., botanical or fungal-based) pesticides (e.g., neem, garlic, pepper).

BHA strictly prohibits use of empty pesticide containers for any other purpose and encourages safe collection and retention of such materials until an authorized body can dispose of them safely. USAID Missions have developed bilateral PERSUAP for agricultural pesticides that should be adhered to, as noted in the section above.

9.3.1.4.2.   LONG LASTING INSECTICIDE TREATED NETS

LLINs are USAID-restricted commodities. You may purchase LLINs with BHA funds; however, you must submit proper approval requests as part of the original application submission.

LLIN acquisitions must adhere to all relevant stipulations in the President's Malaria Initiative (PMI) Programmatic Environmental Assessment for Integrated Vector Management Program for Malaria Vector Control (Version 2017) and Presidential Malaria Initiative Technical Guidance. Additional information on LLINs is provided in USAID's Global Programmatic Initial Environmental Examination and Pesticide Evaluation Report and Safer Use Action Plan.

Any use of BHA funds related to LLIN interventions must follow these Guidelines, and you must submit an LLIN approval request letter, which is available on the BHA EAG page. These requests must accompany appropriate activities within the health or nutrition sectors as part of a health or nutrition activity. You must always use the most recent version of Request for Approval to Purchase, Transport, Distribute, Use, Store, Manage, and Dispose Long-Lasting Insecticide-Treated Nets template on the BHA EAG page.

If you propose to support Indoor Residual Spraying, LLIN, or LLIC interventions under the health sector, you must reference the restricted goods section and properly satisfy applicable USAID environmental regulations requirements.

9.3.1.4.3. INSECTICIDE-TREATED PLASTIC SHEETING

Insecticide-treated plastic sheeting (ITPS) is a relatively new tool and has a limited research and application record. BHA may consider inquiries on possible use under highly specific and controlled conditions. Contact the BHA Shelter and Settlements and Hazard Mitigation Advisors for current information and the Senior Technical Advisor for Pesticides and Pests regarding restrictions related to ITPS. For further details, refer to the President's Malaria Initiative (PMI) Programmatic Environmental Assessment for Integrated Vector Management Program for Malaria Vector Control (Version 2017) and the President's Malaria Initiative Technical Guidance (February 2017).

9.3.2. PHARMACEUTICALS AND MEDICAL COMMODITIES

9.3.2.1. HUMAN PHARMACEUTICALS

Pharmaceuticals include essential medicines, vaccines (biologicals), and specific Rapid Diagnostic Tests (RDTs). Pharmaceuticals are USAID-restricted goods and must meet certain conditions before we approve their purchase using BHA funds.

You must assure BHA that any pharmaceuticals purchased with BHA funds are safe, effective, and provided by vendors who adhere to internationally accepted standards: good distribution practices, good manufacturing practices, and good storage practices. Refer to the Pharmaceuticals and other Medical Commodities sub-sector under the Health sector for complete information and instructions. BHA has provided sample formats to help you address all required conditions (available on the BHA EAG page).

9.3.2.2. VETERINARY PHARMACEUTICALS

Veterinary pharmaceuticals include medicines and vaccines (biologicals). Veterinary pharmaceuticals are USAID-restricted goods and must meet certain conditions before we approve their purchase using BHA funds.

You must assure BHA that any veterinary pharmaceuticals purchased with BHA funds are safe, effective, and provided by vendors who adhere to internationally accepted standards: good distribution practices, good manufacturing practices, and good storage practices. Refer to the Veterinary Pharmaceuticals and other Medical Commodities (VPMC) sub-sector under the Agriculture Sector in Annex A for complete

information and instructions. Pesticides used in dipping for livestock ectoparasite control must adhere to the USAID Pest Management Guidelines (see the Pests and Pesticides sub-sector).

9.3.3.   MOTOR VEHICLES

Applications that include vehicles not manufactured in the United States must include a rationale for their purchase or long-term lease of 180 days or longer.[7] If the AO approves non-U.S. manufactured vehicles, they will be subject to the order of preference and file documentation requirements in paragraph (b) of the standard provision titled "USAID Eligibility Rules for Goods and Services" and a supplemental descending order of preference, as follows:

- U.S.-manufactured vehicles;
- Vehicles assembled in a cooperating country or a Code 937 country using a substantial number of parts and sub-assemblies manufactured in the United States;
- Vehicles manufactured in any Code 935 country by a subsidiary of a U.S. manufacturer; and
- Vehicles manufactured in a Code 935 country by other than subsidiaries of U.S. manufacturers. See ADS Chapter 310.3.

9.3.4.   COVERED TECHNOLOGIES

You must ensure that your proposed costs are in compliance with 2 CFR 200.216, Prohibition on certain telecommunications and video surveillance services or equipment, and USAID policy regarding acquisition and use of "covered technologies". This includes procurement, extension, or renewal of contracts to obtain equipment (e.g., cell phones), services (e.g., local internet service providers) or systems.

9.3.5.   USED EQUIPMENT

BHA does not usually finance the purchase of used equipment. BHA will only approve the purchase of used equipment if you can assure that activity needs will be satisfied if:

- The material purchased is used, rebuilt, or reconditioned;
- That economic considerations justify procurement of used, rebuilt, or reconditioned equipment; and
- That the price is reasonable.

If the equipment is used, the justification must explain why your organization did not purchase rebuilt or reconditioned equipment instead. In addition, you must arrange for inspection and appraisal of the equipment by an inspector approved by USAID with the understanding that this cost will be eligible for reimbursement only if BHA subsequently approves financing for the used equipment. This is a time-consuming process; therefore, applicants should discuss with BHA staff prior to proposing costs for used equipment for BHA funding.

9.3.6.   U.S. GOVERNMENT-OWNED EXCESS PROPERTY

Approval for funding to purchase U.S. Government-owned excess property is time-consuming and applicants should discuss it with BHA staff prior to proposing these costs.

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[7] "Long-term lease" means a single lease of more than 180 calendar days; or repetitive or intermittent leases under an assistance agreement within a one-year period, which cumulatively total more than 180 calendar days. A single lease may consist of a lease of one or more of the same type of vehicles within the same lease term.

9.4. PROHIBITED SOURCE COUNTRIES, U.S. ECONOMIC SANCTIONS, U.S. EXPORT RESTRICTIONS, AND OTHER U.S. LEGAL RESTRICTIONS ON PROVIDING ASSISTANCE TO FOREIGN COUNTRIES

Geographic Code 935 does not include countries that the U.S. Government designates as "Prohibited Sources". Geographic Codes pertain to procurement of goods and services and are described in more detail in the standard provision entitled USAID Eligibility Rules for Goods and Services (22 CFR 228) and ADS Chapter 310. Further information is available on Prohibited Sources and Geographic codes. You cannot use funds provided under BHA awards for the procurement of commodities and services from prohibited sources without specific written approval from the AO.

Prohibited sources means countries to which assistance is prohibited by the annual appropriations acts of Congress or other statutes, or those subject to other executive branch restrictions, such as applicable sanctions administered by OFAC. USAID maintains a list of prohibited sources, available in ADS Chapter 310.

OFAC administers U.S. economic sanctions against certain countries, entities, and individuals. In some cases, it may be necessary for USAID or your organization to obtain an OFAC license. Remember that U.S. executive orders and U.S. laws prohibit transactions with, and provision of resources and support to, individuals and organizations associated with terrorism. It is your organization's legal responsibility to ensure compliance with these executive orders and laws.

Moreover, the U.S. Department of Commerce administers the U.S. Export Administration Regulations found in 15 CFR 730, et seq. Further information about export restrictions may be found on the Commerce Control List and the Export Administration Regulations websites. It is your legal responsibility to ensure compliance with these regulations.

In accordance with 22 CFR 228.13, foreign government-controlled organizations (i.e., firms operated as commercial companies or other organizations or enterprises, including nonprofit organizations, in which foreign governments or their agents or agencies have a controlling interest) are not eligible to be suppliers of goods or services unless otherwise approved in advance by the AO. Government ministries or agencies of the cooperating/recipient country are eligible to be suppliers of commodities and services including those at the regional and local levels, and government educational institutions, health care providers, and other technical entities of the cooperating/recipient country not formed primarily for commercial or business purposes.

Some countries may be subject to legal restrictions under the FAA of 1961, as amended, or under acts appropriating funds for foreign assistance, including:

- A host country's delinquency in loan repayments (FAA Section 620[q] and Brooke Amendment);
- Military coups (FAA Section 508);
- Assistance to military, police, or prison forces (FAA Section 660);
- Countries with severed diplomatic relations between the U.S. and the host government (FAA Section 620[t]);
- Host governments that have repeatedly supported international terrorism (FAA Section 620[a]); or
- Nuclear proliferation (Arms Export Control Act, Sections 101 and 102).

This is not an exhaustive list. However, BHA has statutory "notwithstanding authority," which permits it to waive these restrictions when providing life-saving assistance. You must confirm country eligibility before submitting a full application.

10. SUPPORTING DOCUMENTATION

10.1.   CERTIFICATIONS AND ASSURANCES

All applications must include the complete, current, and signed Certifications and Assurances package (ADS Chapter 303.3), available on the BHA EAG page.

SELF-CERTIFICATION FOR U.S. NGO COMPLIANCE WITH USAID POLICIES AND PROCEDURES

Only U.S. organizations must include a completed copy of the Self-certification for compliance with USAID Policies and Procedures for Personnel, Procurement, Property Management, and Travel, available on the BHA EAG page. For additional information, refer to ADS Chapter 303.5.(l), Additional Help (Procurement Reform Documentation Requirement for Non-Profit Recipients (self-certification)).

10.2.   BRANDING STRATEGY AND MARKING PLAN

Programs, projects, activities, public communications, and commodities funded under the authority of Section 641 of the FAA of 1961, as amended, and the annual appropriations acts must be identified appropriately overseas as "American Aid." To comply with this statutory requirement, USAID requires that all assistance—such as grants, cooperative agreements, or other assistance awards—be "co-branded and co-marked." This includes programs, projects, activities, public communications, studies, reports, activity sites, events, training courses, commodities, and other materials funded by USAID.

ADS Chapter 320 and 2 CFR 700.16 contain the policy and regulations that govern USAID branding and marking. You must use the latest USAID Standard Graphic Identity, which can be found on the USAID Branding page, which also contains information on graphic and style standards, including the USAID logo files you should use.

All applications for new awards must contain a Branding Strategy and Marking Plan (BS/MP). In accordance with 2 CFR 700.1, "branding" means how the program, project, or activity is named and positioned, as well as how it is promoted and communicated to beneficiaries and cooperating country citizens. "Marking" refers to affixing the USAID Identity or approved logos to activity deliverables, such as activity materials, commodity packaging, and public communications that will visibly bear the USAID Identity.

ADS Reference 303mba and ADS Chapter 320 contain requirements and instructions for preparing a BS/MP.

Because USAID's branding and marking requirements have cost implications, you should include such costs in the application budget. This may include press conferences, media, promotional materials, photography, site visits, and all costs associated with marking, such as plaques, banners, signs, stickers, and commodity packaging. Refer to 22 CFR 211.5 (U.S. procured) and Section 202(g) of the Food for Peace Act (7 U.S.C. 1722(g)) (locally, regionally, and internationally procured) for Title II food assistance labelling requirements.

Note: modifications do not need new or updated BS/MPs unless the operating environment has changed or you are proposing new interventions.

WAIVERS AND EXCEPTIONS

In rare circumstances, USAID may approve exceptions and waivers to branding and marking requirements pursuant to the conditions set forth in 2 CFR 700.16(h) and (j), and 22 CFR 211, as applicable.

If you are seeking an exception or a waiver, you must provide strong justification to BHA, either in the field or in Washington, D.C., during the application process. Any approved exception should be incorporated before finalizing an award (ADS Chapter 320.3.1.2 and 320.3.2.5). Waivers are ad hoc and reflect urgent circumstances. USAID will only grant waivers in rare circumstances, after considerable deliberation and analysis. USAID will narrowly target waivers in terms of geography, time, and programmatic application. You should consult BHA staff for further information on exceptions or waivers.

10.3. NEEDS ASSESSMENT SUMMARY REPORT

Assessments form the foundation for BHA programming, and a quality assessment is the critical first step in effective activity design. BHA relies on its partners to conduct assessments and provide the best possible assessment data available as justification for U.S. Government funding. Partner assessment data, combined with BHA assessment data from its own primary and secondary sources, feed into the strategic design and on-going operational analysis.

BHA encourages you to participate in the Humanitarian Program Cycle, including joint needs assessments and analyses as well as the comprehensive appeal, and to incorporate these as references in the application, where appropriate. We also encourage participation in complementary sector-specific assessments and analysis. Improving the joint needs assessments and inter-sectoral analysis that underpin comprehensive, prioritized humanitarian response plans continues to be a BHA priority. Joint assessments do not replace programmatic assessments implemented by individual agencies, which play an important complementary function in providing the granular and detailed information necessary for programmatic interventions.

All applicants must submit a Needs Assessment Summary Report as an annex, containing the information described below. The Needs Assessment Summary Report should be a concise summary of the questions, methods, findings, and recommendations of the needs assessment that you used to inform your activity design.

ASSESSMENT QUESTIONS

A list of the main assessment questions used to guide the assessment data collection process.

ASSESSMENT METHODS USED AND LIMITATIONS

A clear description of the methods used to collect all assessment data along with a list of the main limitations and any underlying assumptions related to the assessment. Include the following topics in this methods section:

- State the data collection methods used in the assessment;
- State the timeframe for the assessment;
- State the geographic scope and locations for the assessment;
- Describe how you designed, planned, and implemented the assessment to give the communities, particularly vulnerable and underserved groups, an active and participatory voice in all stages of the assessment process;
- Describe how you incorporated protection issues;
- Explain how you coordinated assessments across sectors;
- State how you disaggregated the assessment data by geography, sex, and age;

- Describe how you ensured that the data collected were anonymized, did not include personally identifiable information (PII), and stored safely;
- Describe the assessment team without providing any PII for assessment team members;
- Explain how you mitigated any bias in data collection and analysis; and
- Describe how you incorporated Sphere assessment standards and guidance from the Good Enough Guide – Humanitarian Needs Assessment.

ASSESSMENT FINDINGS AND ANALYSIS

You should organize the assessment findings and related analysis in response to the assessment questions. Findings should identify the most severe humanitarian needs, particularly vulnerable populations in need, and the priority response sectors. Findings should be concise and supported by analysis. Vulnerable or marginalized groups should be clearly defined. Your analysis should include a comparison of the assessment data collected with Sphere standards, where appropriate.

RECOMMENDATIONS

Include a description of the programmatic recommendations that the assessment team has for programming interventions based on the assessment findings and analysis. Assessment and analysis recommendations usually take two forms:

- Action that should be taken specifying specific target populations by locations that are particularly vulnerable due to the humanitarian crisis.
- Further assessment information that should be gathered.

BHA understands that in some humanitarian contexts and rapid-onset situations you may not be able to submit primary assessment data. In these situations, use secondary data sources as the basis for your assessment report, making it clear in the methodology section that you only used secondary data along with clear citations of secondary data sources. You may also submit needs assessments conducted by your organization, by the host-government disaster management office, or other internationally recognized sources familiar with the context, such as relevant UN agencies.

If possible, you should coordinate your assessment with other relevant organizations (national and international) and appropriate national entities. BHA encourages you to submit assessment reports that are based on joint or harmonized assessment data collection processes with other humanitarian partners. Organizations should conduct coordinated assessments with other humanitarian entities to avoid duplication and contribute to more comprehensive multi-sector assessments.

If you collect PII, do not submit it to BHA unless specifically requested as part of the assessment data.

BHA encourages written and verbal interaction between BHA representatives and your organization related to assessments and analysis of a humanitarian crisis, with the understanding that this information serves as the basis for programming design and the application for U.S. Government funding. BHA may request additional assessment data and information at any time.

Except in extraordinary circumstances, BHA does not fund individual organizations to conduct needs assessments that only inform the assessing organization's activity design. However, BHA will fund, on a case-by-case basis, specific coordinated needs assessments (see Annex A, Sub-Sector: Coordinated Assessments). BHA is committed to funding initiatives aimed at strengthening the overall capacity of the humanitarian community to conduct rigorous assessments and analysis.

Note that a needs assessment is different from a baseline study. BHA requires a separate baseline study specific to your proposed activity upon award. Refer to Section 10.7, Monitoring and Evaluation Plan,

for additional information on timing and required information for the baseline report. You must upload your assessment and baseline reports through BHA's Award Results Tracking system (ART) post-award (see Section 11, Post-Award Reporting Requirements).

Modification requests should include assessment updates and describe achievements reached during the last award period based on the previous application. This description should include any constraints that hindered achievement of previous purpose(s) and an explanation of how your organization plans to address those constraints in the ongoing activity.

10.4.   SAFETY AND SECURITY PLAN

Among BHA's primary programming concerns is that its implementing partners take all reasonable precautions to minimize risks to all staff and operations funded by BHA. While no one can eliminate risk, BHA expects your organization to be adequately prepared to work in any environment for which you submit an application. You must incorporate operational security management systems, appropriate to your organization and operational area(s), into all activities.

BHA requires you and your sub-awardees to submit location-specific Safety and Security Plans for proposed operational areas for new applications and funded modifications. If a sub-awardee is unable to submit a plan of their own, your organization must explicitly cover the sub-awardee staff and operations in your Safety and Security Plan. Appropriate geographic units for contextual, threat, and vulnerability analyses may be as specific as a village, town, city, or neighborhood where activity interventions will occur. Submission of global security handbooks or policy documents does not satisfy BHA requirements for Safety and Security Plans. You must demonstrably write Safety and Security Plans that apply directly to the areas where you propose interventions. You must cover all personnel and operations funded under your BHA activity, including sub-awardees or other partners with substantive programmatic contributions, with a Safety and Security Plan.

All applicant Safety and Security Plans must include and clearly address the following for each location where you propose activities:

- Contextual analysis;
- Threat analysis;
- Vulnerability analysis;
- Contingency planning for relevant emergency situations such as
    - Abductions or illegal detention;
    - Evacuation;
    - Emergency medical care;
    - Psycho-social support for staff impacted by serious crimes or personal violence;
    - Sexual assault;
    - Armed attack;
    - Reporting and prosecution options; and
- Risk mitigation measures in relation to the above topics, which must address specific needs based on analysis of proposed activity areas.

Check the BHA EAG page routinely for any additional supplementary materials and requirements, including any requirements related to pandemics or other global emergencies.

Definitions of these technical terms can be found in the Overseas Development Institute Humanitarian Practice Network's Good Practice Review 8, Operational Security Management in Violent Environments, December 2010.

You must also pay attention to the unique threats and vulnerabilities faced by national staff and directly address these in Safety and Security Plans.

If the Safety and Security Plan is in a language other than English, you must submit an accompanying summary of the plan in English that demonstrates that it meets the above criteria.

BHA will not explicitly or implicitly evaluate the merit of the content of any Safety and Security Plan(s) submitted.

10.5. CODE OF CONDUCT AND PROTECTION FROM SEXUAL EXPLOITATION AND ABUSE

USAID requires organizations receiving IDA funds to adopt a Code of Conduct providing for the protection from sexual exploitation and abuse (PSEA) in humanitarian relief operations, and, as a policy, BHA applies this same requirement to Title II resources. Among BHA's primary programming concerns is that beneficiaries are adequately protected from sexual exploitation and abuse in humanitarian relief operations. BHA is equally concerned with discrimination, sexual harassment, and sexual abuse perpetrated against aid workers. The USAID Agency PSEA Policy outlines further Agency-wide commitments. You must submit the following as annexes to your application:

10.5.1. PSEA POLICY/CODE OF CONDUCT

- You must submit a copy of your organization's Code of Conduct, ideally with a dedicated section on PSEA or PSEA Policy, as an annex. Additionally, sub-awardees receiving BHA funds must adopt a Code of Conduct. Awardees will be responsible for ensuring that sub-awardees have a Code of Conduct.
- Your organization's Code of Conduct must be consistent with IASC Task Force on PSEA in Humanitarian Crises, which includes the following core principles:
    - Sexual exploitation and abuse by humanitarian workers constitute acts of gross misconduct and are therefore grounds for termination of employment;
    - Sexual activity with children (persons under the age of 18) is prohibited regardless of the age of majority or age of consent locally. Mistaken belief in the age of a child is not a defense;
    - Exchange of money, employment, goods, or services for sex, including sexual favors or other forms of humiliating, degrading, or exploitative behavior is prohibited. This includes exchange of assistance that is due to beneficiaries;
    - Any sexual relationship between those providing humanitarian assistance and protection and a person benefiting from such humanitarian assistance and protection that involves improper use of rank or position is prohibited. Such relationships undermine the credibility and integrity of humanitarian aid work;
    - Where a humanitarian worker develops concerns or suspicions regarding sexual abuse or exploitation by a fellow worker, whether in the same aid agency or not, he or she must report such concerns via established agency reporting mechanisms; and
    - Humanitarian workers must create and maintain an environment that prevents sexual exploitation and abuse and promotes the implementation of their Code of Conduct. Managers at all levels have a responsibility to support and develop systems that maintain this environment.

If the Code of Conduct is in a language other than English, you must submit an accompanying summary in English. BHA will not evaluate or approve the content of any Code of Conduct documents submitted.

You are not required to submit copies of the Code of Conduct for any planned sub-awardees; however, you should be aware that award agreements will require your organization to ensure that sub-awardees have adopted a Code of Conduct consistent with the IASC Task Force on Protection from Sexual Exploitation and Abuse in Humanitarian Crises.

BHA encourages partners to consider budgeting for PSEA to ensure systematic implementation across the organization.   While you must have pre-existing PSEA protocols in place as part of their organizational costs, BHA will consider supporting additional activities related to contextualizing or amplifying existing PSEA efforts to address specific vulnerabilities or circumstances of the crisis.

For more information on Protection from Sexual Exploitation and Abuse, and sample codes of conduct see the following resources:

- The IASC Results Group on Accountability and Inclusion
- The IASC PSEA Task Force
- InterAction PSEA Training Guide

10.5.2.   IMPLEMENTATION DETAILS

You must also submit implementation details for the Code of Conduct specific to the country or region of the application. You should submit these details as an annex, not to exceed one page, describing:

- How you train or make employees aware of the Code of Conduct;
- How you make beneficiaries aware of the Code of Conduct and mechanisms to report any violations;
- Describe what systems are in place to prevent, detect, and respond to allegations and instances of sexual exploitation and abuse, and who in the country is responsible for ensuring an appropriate and accountable response; and
- Describe how these systems are safe, accessible, confidential, and survivor-centered.[8]

10.6.   ACCOUNTABILITY TO AFFECTED POPULATIONS

Accountability to Affected Populations (AAP) involves placing affected communities, especially the most vulnerable individuals, at the center of humanitarian action. Humanitarians hold themselves accountable

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[8] Survivor-Centered Approach: A survivor centered-approach is one for which the survivor's dignity, experiences, considerations, needs, and resiliencies are placed at the center of the process, from the initial activity design to investigating and responding to potential incidents, with appropriate accountability for perpetrators of abuse. Consistent with the UN Protocol on Allegations of SEA Involving Implementing Partners, the survivor should be informed, participate in the decision-making process, and provide consent on the possible use and disclosure of their information. Those interacting with the survivor and/or handling information regarding the allegation must maintain confidentiality, ensure safety of the survivor, and apply survivor-centered principles without discrimination. When the survivor is a child, the approach must consider the best interests of the child and engage with the family/caregivers as appropriate. USAID staff and partners should comply with host country and local child welfare and protection legislation and international standards, whichever gives greater protection, and with U.S. law as applicable, per the USAID Child Safeguarding Policy.

by providing accessible information to people receiving assistance, establishing an effective process for participation and feedback, and making decisions that are responsive to the views of affected people.

It is critical to ensure that you design activities and approaches to reach and include the voices of the most vulnerable groups, considering gender, age, ethnicity, language, and special needs. You are encouraged to refer to the IASC's Four Commitments to AAP and accompanying guidance note for further explanation of the AAP concept, as well as the Core Humanitarian Standard on Quality and Accountability.

BHA requires evidence that you are addressing AAP throughout the program cycle by submitting an AAP plan or framework that is specific to the interventions included in the application. You must submit the plan or framework as an annex, not to exceed two pages, and describe:

- How the affected population, including marginalized or vulnerable groups, will participate in and play an active role in decisions related to the activity design and implementation;
- What specific mechanisms are in place to provide timely and accessible information, and to receive and respond to beneficiary feedback throughout the duration of the activity;
- How you will track feedback and respond in a timely manner;
- How you will incorporate beneficiary feedback into activity implementation, monitoring and evaluation of progress, and designing course corrections as needed;
- How you will ensure that feedback and information mechanisms are safe, accessible, and the preferred mechanism for beneficiaries, especially marginalized or vulnerable populations; and
- How you will ensure confidentiality and respond to any critical or sensitive program irregularity or protection issues that arise.

We encourage you to align your AAP plan or framework with the IASC's Four Commitments to AAP. BHA will consider funding activities aimed at contextualizing organizational AAP practices and incorporating beneficiary feedback as part of overall activity budgets.

10.7. MONITORING AND EVALUATION PLAN

BHA supports robust monitoring and evaluation (M&E) consistent with the best practices of ADS Chapter 201 and the USAID Evaluation Policy. For detailed guidance, refer to BHA Emergency M&E Policy and Guidance. Monitoring—the ongoing, systematic collection, analysis and use of data that occurs during the activity's life cycle—determines whether you are implementing an activity as designed and on track to achieve the intended results. Sound monitoring facilitates adaptive management, activity performance, enhances accountability, and is the basis of quality reporting. Evaluation is the systematic collection and analysis of information about strategies and interventions to determine the performance or outcome of an activity and to improve or inform decisions about programming and policies. Evaluation has a twofold purpose: ensuring accountability to stakeholders and to facilitate learning to improve humanitarian outcomes.

Every application must contain an M&E Plan, submitted as an annex to the application. The M&E Plan should consist of two components:

- Component 1 - Indicator Tracking Table
- Component 2 - M&E Plan Narrative

10.7.1.   INDICATOR TRACKING TABLE

The Indicator Tracking Table (ITT) must include all indicators that you will use to track progress against activity results. All awards must have an ITT regardless of duration. Organize the ITT by the purpose and sub-purpose(s), and at a minimum should consist of the following components:

- Results Statements;
- Indicators;
- Data Sources/Methods;
- Targets; and
- Assumptions.

A suggested ITT format is on the [BHA EAG page](#), and may be adapted to match the activity's design.

RESULTS STATEMENTS

Organize the ITT using the following results hierarchy, and align with the Activity Design section of the application. BHA requires that you include the goal, purpose, and output levels for all activities; the sub-purpose and intermediate outcome are optional depending on the complexity of the proposed activity. You should decide whether the additional levels are necessary to effectively communicate the activity's design and monitor implementation. Place sub-sector interventions at the appropriate level within the ITT based on the design of the activity.

Goal. State the goal of the activity, which is the long-term result to which the activity seeks to contribute. Describe how the goal aligns with BHA's mission and the goal of the humanitarian response in which you are proposing to work.

Purpose(s). State the purpose(s) of the activity, which are the highest-level result(s) that the activity is accountable to achieve. The activity is responsible for measuring progress toward and achievement of the purpose(s) through indicators. The purpose statement(s) must be specific, measurable, achievable, realistic, and time-bound (SMART).

Sub-Purpose(s). The sub-purpose(s) of an activity is the result that one component of the activity must achieve to reach the purpose(s). The activity is accountable for achieving the sub-purpose(s), and responsible for measuring the achievement of the sub-purpose(s) through indicators. The sub-purpose statement(s) must be SMART. Partners must use sub-purposes for applications with integrated and multi-sector purposes. Sub-purposes are optional for single-sector activity or activities that have multiple single-sector purposes not integrated in design, depending on the complexity of the award.

Intermediate Outcome(s). The intermediate outcome(s) of an activity are the result(s) that are the immediate result(s) of an intervention. The activity is accountable for achieving the intermediate outcome(s) of the proposed activity and responsible for measuring achievement of the intermediate outcome(s) through indicators. The intermediate outcome(s) must be SMART. The use of an intermediate outcome(s) is optional.

Output. An output is a tangible, immediate product of an intervention under the activity's control or influence.

INDICATORS

An indicator is a quantifiable measure of a characteristic or condition of people, institutions, systems, or processes that may change over time. Except for the goal level, which does not require an indicator, every

results level must include at least one indicator. You must include all required indicators and they should correspond to the appropriate sector(s) and subsector(s) for the proposed interventions. The indicator list is in Annex B.

DATA COLLECTION DETAILS

Provide a short summary of the data source, data collection methods, and frequency that you will use to measure each indicator. Identify which position in your organization will be responsible for data collection. The information provided in these columns must align with the BHA performance indicator reference sheets (PIRS).

TARGETS AND ACTUALS

A target is a measurable value that represents a specific, planned level of achievement you intend to accomplish (output) or a change that should occur (outcome) within a specific timeframe. Typically, indicators for emergency activities will be for the life of the award. You should include estimated targets for both output and outcome indicators. You should report actual values for each indicator at baseline, semi-annually, and annually in the ITT throughout implementation.

ASSUMPTIONS

Describe the conditions that will prevail during the activity and affect activity implementation. BHA defines assumptions as conditions that are critical to the success of an activity, or some portion of it, but are outside of an activity's control. You may base your assumptions on local context, security, access, resource availability, and other dynamics.

10.7.2.   INDICATORS

You must include all indicators for the proposed activity in the ITT. You must select all required, required select 2 or 3 and required if applicable (RiA) indicators to measure the results articulated in the Activity Design section of your application. You must use the exact indicator title as listed in the Performance Indicator Reference Sheets (PIRS), and may contextualize methods/sources in the ITT columns if needed. The PIRS can be found in the BHA Indicator Handbook. If any of the required indicators are not relevant to your proposed activity, you must provide a clear justification for omitting the required indicators in the Monitoring Approach under Monitoring Limitations and Mitigation Measures. In the event BHA lacks a relevant metric to measure a result, you may include an appropriately designed custom indicator.

Within 90 days of award approval, the ITT will be resubmitted with all updated actual baseline values and targets. You must submit PIRS for all custom indicators within 90 days of award. BHA recommends but does not require that you submit PIRS for all contextualized standard BHA indicators.

10.7.3.   MONITORING AND EVALUATION PLAN NARRATIVE

The M&E Plan narrative is composed of the following:

- Monitoring Approach, including an Abbreviated Statement of Work (SOW) for baseline and endline, as applicable; and
- Evaluation Approach, including abbreviated SOW, as applicable.

MONITORING APPROACH REQUIREMENTS

The Monitoring Approach must address the following areas:

Specific Data Collection Methods. Describe the methods that you will use for monitoring at the output and outcome levels. This includes routine monitoring, which refers to data collected on an ongoing

basis by staff throughout the course of implementation, and any other data collection methods that you will use. Activities should only collect data that will be necessary and useful to track performance or understand context. Discuss methods for obtaining required sex-disaggregated data, as well as identifying vulnerable populations and how you will assist the vulnerable and those with unique needs (e.g., older people, one-adult households, persons with disabilities, and any relevant marginalized groups).

- Post Distribution Monitoring (PDM), if applicable. PDM is a performance monitoring tool primarily used to monitor distributions and transfers (i.e., food, non- food items, in-kind, cash, and vouchers). If an activity will conduct PDM, include the following components in the description: indicators you will collect; survey design (if you will use a survey); sampling design, including defined sampling frame; sample size calculation; sample selection; and data analysis plan. The timing and frequency of PDM depends on the design of the activity. You should clearly communicate your justification for the proposed timing and frequency in this section.

Remote Management and Monitoring, if applicable. If your organization proposes to implement an activity in a restrictive or non-permissive environment (NPE), describe how you and your partners will conduct monitoring remotely and/or how you will manage remotely located offices/staff, how you will ensure data quality, and how you will protect, store, and transfer data. Additionally, you must describe any plans for third-party monitoring. This may include approaches such as phone interviews, peer-to-peer monitoring, and participatory monitoring, as applicable.

Context Monitoring. You must describe how your organization will monitor conditions and external factors that may affect the activity performance. This includes information about local conditions (such as other activities operating in the same sector or geographic area), markets, or external factors that may affect implementation (macroeconomic, social, security, or political conditions).

- *Market Monitoring*. For activities that propose to distribute food or non-food items, and/or transfer cash or vouchers for food or non-food items, you must describe how you will monitor the price and availability of commodities in the primary market areas where operations are occurring. For guidance on market monitoring and analysis, refer to the following resources: MARKit: Price Monitoring, Analysis and Response Kit, ICRC Market Analysis Guidance: Chapter 3, and WFP Price Monitoring.

Monitoring Limitations and Mitigating Measures. State any limitations or programmatic risks that exist within the Monitoring Approach that may influence the ability to collect and manage data or the achievement of activity results, including limitations related to remote management. For every limitation or risk, provide a mitigating measure to overcome the limitation.

Data Utilization Plan. You must use monitoring data to inform programmatic decisions. Explain how you plan to routinely review and use monitoring data to manage the proposed activity and inform the response strategy. What specific decisions will the data collected inform?

AAP Requirement. Include an explanation of how you will collect, monitor, address, and incorporate beneficiary feedback throughout the activity to improve the quality of programming, with specific plans to share monitoring results with beneficiaries (address any linkages to your AAP Plan). Describe how you will integrate the system for managing feedback (e.g., tracking, responding to, and resolving issues) into performance monitoring.

Data Management. Describe how you will manage data for the proposed indicators, from collection, to reporting, to storage, to ensure consistent handling, quality standards, and the privacy and protection of

beneficiary data. Describe how you will mitigate double counting of activity beneficiaries. In addition, for consortium or partnership activities, describe how you will coordinate data management across partners for indicator collection.

- *Data Quality Assurance Procedures.* Describe strategies used to reduce bias and errors in measurement, transcription, and processing of data, as well as documentation of methods and protocols for data collection, data entry and cleaning, coding, aggregation, and analysis. This section must also describe data quality assurance processes for sub-awardees and remotely located offices, as applicable. Procedures for verifying and validating the data collected by the monitoring system may include:
  - Site visits by activity staff to beneficiaries who were respondents to surveys or another means of data collection to verify responses;
  - Inclusion of photographs, video or audio recordings, or other evidence to verify observations, transcriptions, and interpretations by the data collector (See Data Security and Privacy); and
  - Data Quality Assessments (DQAs) to assess how effective the data quality assurance processes have been at meeting the five key data quality attributes: validity, reliability, timeliness, precision, and integrity. (See USAID's How-to Note on conducting a DQA.) BHA encourages partners to complete at least one DQA during an award and to share DQA findings with BHA.

- *Data Protection and Security.* You must describe your organization's plan for protecting performance monitoring data from unrestricted access, unintended change, misuse, loss, or destruction as you collect information and flows between and through the various sites of processing to the final storage location. You must describe methods for safeguarding beneficiary confidentiality.

Staffing and Budget. BHA encourages applicants to budget at least three percent of the total budget to M&E. This may vary slightly by award size, with larger-budget activities spending a smaller percentage, and smaller-budget activities spending a higher percentage. BHA encourages you to include an M&E Specialist or equivalent position, as well as costs associated with data collection and resources, in the staffing plan and budget. Include an explanation of the M&E staffing plan and associated costs, including for Information and Communication Technology (ICT).

BASELINE AND ENDLINE

Baseline data are initial values for all indicators collected ideally before implementation begins. However, the emergency context and timing may require data collection to take place concurrent with the start of the intervention. BHA requires baseline reports for activities of six months and longer within 90 days of award approval. Baseline reports should also include non-indicator information used to describe the prevailing conditions of the target communities or population (see suggested report format on the BHA EAG page).

Partners collect endline data at the end of the activity to measure the final values of all indicators. You must submit endline data for all indicators as part of the final performance report, within 90 days of the end of the award. If you plan to do a final evaluation, you may include endline data in the final evaluation report.

Baseline and endline data collection can employ a variety of quantitative and qualitative methods, depending on what PIRS prescribes for the proposed indicators, and as appropriate for the activity

duration. BHA prefers primary data, although secondary data are permissible where operational context may not allow for primary data collection. Illustrative methods include, but not limited to: a census during activity implementation, review of service facility-based registers, pre- and post-tests with beneficiaries, and surveys.

You must provide an abbreviated statement of work for baseline and endline reports in the application as part of the M&E plan narrative, which includes:

- *Methods.* Describe the baseline and endline data collection method(s). For each indicator, data collection methods must adhere to those presented in the PIRS and be appropriate to the activity.
  - For output indicators with a baseline value of 0, reference the monitoring approaches that you will use to collect data for that indicator throughout the duration of the activity.
  - For quantitative methods, include the sampling strategy, sample size calculation, and sampling frame.
  - Note: A subset of BHA indicators require a baseline and endline survey using probability sampling as prescribed by the PIRS. For these indicators, you must design the survey with adequate sample size to be statistically comparable to the endline. The endline survey data analysis must perform inferential statistics using the test of differences between baseline and endline indicator estimates to detect a change in the activity beneficiaries or the population. You must utilize the same data collection instruments, level of statistical precision, and statistical power for both surveys. Please follow the BHA Guidance for an Abbreviated SOW for Baseline and Endline.
  - For qualitative methods, describe data collection methods (e.g., Key Information Interview, focus groups, observation), sampling methods and key attributes to select sample sites and respondents, and estimated number of sample communities, groups, and/or individuals.
  - Partners may use endline data from a previous BHA award for baseline values for the new activity only if the same interventions will continue in the same area with the same target population.
- *Analysis Plan.* Explain how you will analyze and compare baseline and endline data. If reporting on indicators that require baseline survey data to be statistically comparable to the endline values, describe how you will statistically compare the baseline and endline data. Describe any key analyses that will inform activity targeting and /or implementation.
- *Timeframe.* Describe the planned timing for collecting baseline and endline data. Baseline data collection may coincide with initial implementation, such as during beneficiary registration, or through a discrete data collection process.
- *Data sources.* From whom will you collect data? Specify if you will collect data at the population-level of the implementation area or limited to direct beneficiaries. Specify and describe any secondary data that you will use.
- *Locations.* Where will you gather data?

- *People responsible.* Which position(s) or team(s) will be responsible for gathering the data? Will you conduct data collection internally or by an external consultant? If an external consultant, please provide a summary of the qualifications.
- *Limitations and mitigating measures.* What limitations do you foresee and what are the plans to overcome them?

Baseline Report Requirements. You must submit baseline reports, including an updated ITT with actual baseline values and updated targets, into ART within 90 days of the award. BHA encourages partners to be as concise as possible (maximum length 10 pages). The baseline report should be appropriate to the scope and complexity of the award, and adhere to the baseline report guidance on the [BHA EAG page](#). For longer awards or those using more complex baseline methodologies, partners may submit written justification to the AOR to request an extension on the baseline report deadline.

EVALUATION APPROACH REQUIREMENTS

BHA encourages partners to critically examine the effectiveness, efficiency, coverage, and relevance of activities through targeted, feasible, and useful performance evaluations. You must conduct final evaluations by an internal team led by an experienced team leader, who is external to the organization, or by an external firm. Partner staff who are not substantially engaged in the design or implementation of the activity under evaluation may participate in the evaluation. USAID staff may also participate in the evaluation.

If your organization meets any of the following criteria, you must include an Evaluation Approach with an abbreviated SOW as a component of your M&E Plan annex:

- If the original period of performance for the activity is 18 months or longer; or
- If your organization has implemented at least one BHA-funded award (of any duration, in any sector) in the past three years in a given country and your organization has not completed an evaluation of any BHA-funded awards in that given country in the past three years. Partners must complete at least one evaluation of any BHA-funded award(s) at least once every three years in a given country.

Note: BHA reserves the right to require an evaluation of the proposed activity even if it does not meet one of the above criteria.

If the proposed activity meets any of the above criteria and you believe an evaluation is not feasible or appropriate, you must provide written justification for the omission of an evaluation. Include a short explanation under the Evaluation Approach section stating why you will not evaluate the activity.

Activities that do not meet the criteria listed above, BHA encourages you to conduct evaluations but does not require it. If you request funding to support an evaluation, you must include those evaluation costs within the application budget. BHA expects partners to use evaluation findings and recommendations as part of their justification statements when you continue activities in the same sector and location.

If you propose to conduct an evaluation in your application, you must include an Evaluation Approach, which includes an abbreviated evaluation SOW as follows:

- *Evaluation purpose.* State what your organization aims to learn from this evaluation and how you will use and share the results. You do not need to evaluate the entire activity. Focus on

evaluating aspects or components of the activity that are possible to evaluate within the timeframe of the activity and feasible with the resources available.

- *Evaluation type*. BHA supports real-time, formative, and summative evaluations at any point during the life of the activity. BHA may support impact evaluations if you provide a detailed justification of the need for this type of evaluation, which specifically explains how you will satisfactorily address the logistical and ethical challenges that come with implementing an impact evaluation in a humanitarian context.
- *Evaluation questions*. Provide a maximum of five evaluation questions that the evaluation will answer. BHA encourages a focus on questions you can directly use to manage or improve the activity. See BHA Emergency M&E Policy and Guidance for an Abbreviated SOW for A Baseline Study and Final Evaluation for Emergency Programs for example questions.
- *Evaluation methods*. State what methods you plan to use to answer the evaluation questions. BHA supports evaluations that use qualitative, quantitative, or mixed methods. Ensure that the methods proposed are appropriate for the questions.
- *Evaluation timeline*. Describe when you will conduct the evaluation during the activity performance period.
- *Evaluation findings dissemination*. Describe the plan for sharing the findings from the evaluation with impacted communities and other stakeholders.
- *Evaluator profile*. Describe the competencies of the evaluator(s). BHA expects its partners to conduct objective evaluations and report results in a transparent manner. A high-quality evaluations usually find strengths and weaknesses in an activity. BHA strongly encourages partners to report both strengths and weaknesses of their activities in their evaluation reports.

The Evaluation Approach in the application should be a draft outlining the best estimate of what you will evaluate at the time of application. However, this plan may evolve with time. You must submit a full SOW six months prior to the start of the evaluation which must comply with the BHA Guidance for an Abbreviated SOW for a Baseline Study and Final Evaluation for Emergency Programs. Refer also to the USAID How-To Note for guidance on developing an evaluation SOW. You must submit the evaluation report within 90 days after the end of the period of performance.

10.7.4.   COST MODIFICATIONS

Submit an updated M&E plan, including ITT with updated indicator targets and M&E narrative, for cost modifications that expand the scope of the award (e.g. new sectors or target populations). In addition, if you are adding new sectors, interventions, indicators, or locations, BHA requires an update to the baseline report for applications requesting a cost modification. You must collect baseline data for new interventions and submit an annex to the original baseline report. In the case where a cost modification extends the length of award to 18 months or longer, the awardee should propose whether adding a final evaluation is appropriate in the modification application.

10.8.   ADAPTIVE MANAGEMENT APPROACH AND PLAN

Adaptive management is an intentional approach to making decisions and adjustments in response to new information and changes in context. Building adaptive management into the design and implementation of activities ensures continued fit to context, the application of lessons learned, anticipation of emerging challenges, and maximum efficiency and effectiveness.

Successful adaptive management approaches complement and build on M&E data utilization efforts to actively identify emerging knowledge, opportunities, and unintended consequences—and provide the systems, processes, and resources necessary to adjust design and implementation accordingly. Adaptive activities will:

- Support feedback cycles that foster experiential learning and application of data from assessments, surveys, research, and routine monitoring;
- Actively engage stakeholders through participatory approaches to determine needs and opportunities, respond to demand, and prioritize action;
- Engage in reflection activities to capture and apply lessons learned from ongoing work, while also practicing scenario planning around potential responses to anticipated shocks or changes in the political, social, environmental, or market context; and
- Explore technical, management and operational dimensions adaptations to ensure a continued fit to context.

The approaches and practices that support adaptive management should also link to and complement risk management strategies and efforts to ensure accountability to affected populations.

While all applications should strive to address adaptive management as a fundamental principle of good programming, applications for activities for 12 months or more must submit an Adaptive Management Plan as an annex. This plan should describe a holistic, integrated, and adaptive management approach that embeds analysis and adaptive management principles into program management. Rather than an outline of organization-level adaptive management policies and practices, it should articulate activity-level processes and practices appropriate for the context and feasible with available resources. The plan (one page maximum) should describe:

- How the adaptive management approach will contribute to technical program quality, performance efficiency, and effectiveness;
- How the staffing structure will support adaptive management with appropriate roles, responsibilities, knowledge, and skills;
- Processes and practices that will enable the capture, sharing and application of relevant data and learning in adjustments to design and implementation; and
- Dynamic factors in the specific operating environment where adaptations are most likely and how the adaptive management approach will support this.

Budget and program revisions during implementation will require prior approval as specified in Section 11.5, regardless of information provided in the Adaptive Management Plan.

10.9.   VOLUNTARY SURVEY ON FAITH-BASED AND COMMUNITY ORGANIZATIONS

Executive Order 13279 of December 12, 2002, Equal Protection of the Laws for Faith-Based and Community Organizations, requires select federal agencies, including USAID, to collect data regarding the participation of faith-based and community organizations in social service programs that receive federal financial assistance (AAPD 04-08). Your completion of the survey for BHA funding is voluntary and does not affect the application process.

A sample survey on Ensuring Equal Opportunity for Faith-Based and Community Organizations, approved by OMB for this purpose, is on the BHA EAG page.

10.10.   STRUCTURE AND PERFORMANCE DOCUMENTATION

You should submit a brief annex detailing the elements listed in this section below.

ORGANIZATIONAL STRUCTURE

This section must articulate the capabilities and capacities of your organization and any sub-awardees to execute the proposed activity. Include justification for proposed sub-awardees, including rationale for selection and synergies gained. In addition to describing how the proposed management structure, staffing and staff training plans, operational infrastructure, and logistical plans will contribute to activity outcomes, include an explanation of how you organize your headquarters and field office(s), and how you coordinate this structure to achieve performance targets. Include information on responsibilities for coordination with local governments and within the cluster system as appropriate.

PAST PERFORMANCE REFERENCES

Provide examples of past performance over the last three years and sector expertise that demonstrate your organization's success in implementing similar activities. This includes any experience with Title II or IDA resources, LRIP procurement, cash transfers, food vouchers, commodity management, proposed sector specific activities, or experience with emergency programming. This information must include the location and award numbers, if applicable, and a brief description of work performed, name of donor entity, and points of contact for donor(s) with current phone numbers and email addresses. List all information in reverse-chronological order, starting with the most recent. Include contact names, phone numbers, and email addresses for any references provided.

10.11.   LIST OR MAP OF TARGETED GEOGRAPHIC AREAS

As detailed in Section 6, you must submit a list or map clearly identifying targeted geographic areas, either as part of the technical narrative or as a separate annex.

10.12.   RISK ASSESSMENT AND MANAGEMENT PLAN

You must complete an assessment of risk for fraud, waste, and abuse associated with the proposed activity, as well as describe how your organization proposes to reduce and manage such risks within proposed interventions. The application must address internal risks within the organization, as well as external risks attributable to the broader context and engagement with other parties. Submit this risk assessment as an annex to the application and address sub-awards (if planned), vendor selection, and management of interventions. For certain contexts deemed high-risk by BHA, your organization must submit additional information. For further requirements and guidance, see Annex D - Risk Assessment and Management Plan.

Note: it is your organization's responsibility to understand vetting requirements for the geographic location you are proposing.

10.13.   SUPPLY CHAIN REQUIREMENTS

All partners managing commodities in any sector must submit an annex regarding logistics operations. Even in fluid disaster contexts, BHA partners must plan to the extent practicable for supply chain management, including procurement, transport, and warehousing of commodities. BHA recognizes that in rapid-onset emergencies, several aspects of supply chain planning may not be fully known at the time of application submission. In these cases, BHA requires you to provide as many details as available

during the application submission, and to clearly note what information is unknown. Your organization must provide this information as part of the application.

Note: For more information on Title II in-kind commodities, including issues such as commodity specifications and the timeframe from procurement to arrival in country, you should consult the food assistance sector in [Annex A](#).

BHA recognizes that partners develop documents addressing logistics and procurement plans in varying formats. BHA does not require a specific format for any of the requirements below, if they include the information requested. However, you must include specific elements in the submission, based on the type of activity, as detailed below.

For the guidance in this section, BHA defines commodities and services as any materials, services, or equipment purchased and directly benefiting or distributed to beneficiaries, as part of the activity implementation, as well as materials, services, and equipment critical to support the activity implementation, including procuring financial services. The below requirements are applicable to applications submitted under all sectors that include procurement, warehousing, or transport of commodities or procurement of services. Procurement, transport, storage, and distribution of USAID-restricted goods and pharmaceuticals must follow the applicable USAID regulations, described in the respective sections of the BHA Application Guidelines. Storage, transport, and handling of food should be in line with requirements as defined in the Supply Chain Resources in the section on USAID Expectations for Food Aid Storage and Warehouse Good Management Practice, available on the [BHA EAG page](#).

1. If you plan to use BHA funds for procurement, storage, or transport of commodities, provide a brief description of logistics and operational structures. Include logistics teams, offices, warehouses, and transport relevant to achieving goals of this activity.

2. If you plan to use BHA funds more than $50,000 for procurement, combined, provide:
   - A procurement plan including:
     - List of commodities, services (including those for warehousing and transport), and equipment planned for procurement, including unit description and cost per unit; if included, list warehousing and transport of food separately from other transport and warehousing services;
     - Planned source and origin of procurement (international, regional, or local);
     - Timeframe when ready for distribution;
     - Quality control processes and concerns, specifying whether third-party inspection or other methods of quality control you will use to ensure that the commodities/services received match the original specifications;
     - If you import commodities, steps taken to facilitate import and anticipated issues with importation; and
     - Measures taken to implement sustainable procurement practices through reducing the social, environmental, and economic impacts of procurement (e.g., responsible sourcing, packaging).
     - *Note: if food procurement is involved, you need prior approval for purchase location changes.*
   - A current procurement policy that is applicable in the country of operation. This includes the bidding policy, selection of vendors, basic details for vendor selection, and the process for approving any deviations from such policies. If your organization intends to deviate from

its standard organizational procurement practices for procurements under the proposed award, the application package must outline the procurement policies that you will apply.
- A transport plan detailing how you will transport the commodities from vendor to warehouse and distribution sites. The transport plan must include a risk mitigation statement to detail how risks, such as how you will mitigate accidents, damage, diversion, and theft of goods.

If you propose USAID-financed ocean shipment of commodities, you must comply with the U.S. Government Cargo Preference Act as described in ADS Chapter 315. USAID complies with the Cargo Preference Act at an Agency level and coordinated by the Bureau for Management, Office of Acquisition and Assistance, Transportation Division (M/OAA/T). Please contact M/OAA/T prior to contracting for ocean transportation to ship goods purchased or financed with USAID funds under this Agreement to determine the flag and class of vessel used for shipment.

BHA must approve all air charters covering full or part cargo in advance and in writing by M/OAA/T. This includes charter parties, booking notes, and booking agreements when those forms of freight contracts incorporate provisions which are in addition to, or which deviate from, the terms of the carrier's standard bill of lading and tariff. The cost of commodities will be ineligible for reimbursement under this Agreement if a) shipped under any air charter which has not received prior written approval from M/OAA/T, and b) you did not include it in your cost application.

3. If you plan to store commodities in support of BHA funded project(s):
    - Submit a storage plan (number of warehouses, storage space required) detailing the adequacy and capacity of storage facilities.
    - Demonstrate that inventory oversight measures are in place to keep commodities accounted for and secure until you distribute them.
    - Specify sustainable warehouse practices (e.g., rainwater catchment, solar panels) and a waste management plan targeted at reducing your environmental impact.
    - Refer to Annex A, Section 3.4, Sub-sector: Pests and Pesticides for guidance on pesticide use in warehousing.
    - Confirm the presence of a warehouse management policy applicable in the country of operation. BHA requires you to submit your current warehouse management policy.

4. You must provide details of all fleet vehicles—including cars, trucks, scooters, motorcycles, boats, and aircraft—or generators, demonstrating they are sufficient to support the activity. You must demonstrate capacity to manage a vehicle fleet funded by BHA. Provide:
    - A list of vehicles and generators (type, make, and model) that you own or plan to rent or purchase to support the activity.
    - A management plan that includes the service/maintenance of vehicles and generators used for this activity.
    - Measures taken to reduce the environmental impact of the fleet and generators through reduction in emissions and responsible waste management.
    - The organization's current fleet management policy that is applicable in the country of operation.

For a description of the capacities BHA Supply Chain team can provide partners, see the Supply Chain/Logistics Resources section of the BHA EAG page.

11. POST-AWARD REPORTING REQUIREMENTS AND DOCUMENTATION

11.1. DEVELOPMENT EXPERIENCE CLEARINGHOUSE AND DEVELOPMENT DATA LIBRARY

ADS Chapter 540 requires awardees (except PIOs) to submit documentation created during a USAID award to the Development Experience Clearinghouse (DEC), such as assessments, analyses, studies, articles, performance reports, evaluations, and appropriate components of the Annual Performance Report. Prior to submitting materials, you should ensure that the AOR agrees to your submission of the final and cleared materials to the DEC, if required by the terms of the award. You should upload all documents through the DEC and forward the URL to the AOR before the end of the award.

You must submit any quantitative dataset created or collected with USAID funding to the Development Data Library (DDL). For dataset submission guidance refer to ADS Chapter 579.

11.2. PERFORMANCE REPORTS

BHA requires completion and submission of the following:

- Semi-annual performance reports;
- Annual performance report in lieu of the last semi-annual performance report; and
- Final performance report (required 90 days from the end of the award).
- *Note: You must submit endline data for all indicators as part of the final performance report.*

Note: Your award document will have further details on these types of reports, timing and frequency, and instructions for submission. Suggested formats are available on the BHA EAG page.

11.3. MONITORING AND EVALUATION PLAN

UPDATED ITT AND PIRS

As previously described, within 90 days of the award, you must re-submit an ITT with updated baseline values, targets, data sources, data collection methods, and data collection frequency. You must also contextualize and submit a PIRS for each indicator.

Note: BHA provides PIRSs for all required indicators (see BHA EAG page) and you must create a PIRS for any custom indicators included in the ITT.

BASELINE REPORT

You must submit a baseline report into ART within 90 days of the award. BHA encourages you to be as concise as possible in your baseline reports, with a maximum length of 10 pages. See BHA EAG page for a baseline report sample format.

EVALUATION

If you plan to conduct an evaluation, you must submit a full SOW six months prior to the start of the evaluation. See BHA EAG page for a sample Evaluation SOW format. You must submit the evaluation report within 90 days after award closeout.

11.4. INTERNATIONAL AID TRANSPARENCY INITIATIVE AND THE FINANCIAL TRACKING SERVICE

BHA encourages you to increase financial transparency through timely reporting to the International Aid Transparency Initiative (IATI) and the Financial Tracking Service (FTS), including information on sub-awards, aiming for monthly reports. You should also specify whether your activities are part of a coordinated appeal (e.g., Humanitarian Response Plan or equivalent).

11.5. BUDGET AND PROGRAM REVISIONS REQUIRING PRIOR APPROVAL

Some activities require prior approval by the AO. You can request approval of these activities as part of the application submission, reducing the need for administrative follow-up during post-award implementation. Refer to 2 CFR 200.308 and 2 CFR 200.407 for instances when an AO approval is needed. BHA allows you to include common expenditures requiring prior approval or consent that in an application such as:

- The sub-award, transfer, or sub-contracting of any work under an award, unless the application describes the activity and funds it in the approved budget of the award
    - o *Note: this provision does not apply to the purchase of equipment, materials, supplies, or general support services*; and
- Equipment, defined as tangible personal property (including information technology systems) having a useful life of more than one year and a per-unit acquisition cost which equals or exceeds the lesser of the capitalization level established by you for financial statement purposes, or $5,000.

The complete list of costs that require prior approval is detailed in 2 CFR 200.308 and 2 CFR 200.407. The AO may give prior approval to these items by incorporating them into the signed award. You must identify the items in the application and budget at the time of submission for the AO to approve them at the time of award signature.

When an application successfully completes the review process and BHA approves it, BHA obligates funding through an award or a modification. **It is important that you read the agreement and become familiar with the terms and conditions associated with the use of USAID funding.**

Although the AO must provide prior written approval for these budget and program revisions, except to the extent that an award may explicitly delegate such authority to the AOR, you must address your requests to the AOR named in the AOR designation letter. You must submit your requests separately from other routine correspondence, such as activity updates or reports.

Post-award requests, such as for AO or AOR approval, should describe the purpose of the change and detail the impact that change will have on the activity as originally proposed. You should send requests for modifications through the AAMP while you should submit other requests for approval by the AOR or AO, on your organization's letterhead, via email to BHA in Washington, D.C. You should submit requests as soon you need a change, as BHA will require time to provide written approval. BHA requires a minimum of 45 calendar days for unfunded or funded changes. BHA may confer approvals by letter or through formal modification to the award. BHA will always confirm additional funding through a formal modification.

12. ANNEXES AND MANDATORY REFERENCE DOCUMENTS

12.1. ANNEX A - TECHNICAL INFORMATION AND SECTOR REQUIREMENTS

12.2. ANNEX B - LIST OF BHA EMERGENCY PERFORMANCE INDICATORS

12.3. ANNEX C - ACTIVITY SUMMARY TABLE

12.4. ANNEX D - RISK ASSESSMENT AND MANAGEMENT PLAN

See [BHA EAG page](#) for sample formats, additional guidance, and other reference materials.