OFFICE OF U.S. FOREIGN DISASTER ASSISTANCE

GUIDELINES *FOR* PROPOSALS AND REPORTING

U.S. AGENCY FOR INTERNATIONAL DEVELOPMENT

BUREAU FOR DEMOCRACY, CONFLICT, AND HUMANITARIAN ASSISTANCE

OFFICE OF U.S. FOREIGN DISASTER ASSISTANCE

July 2004

NOTICES

- USAID/OFDA does not desire or require elaborate covers or bindings for proposal submissions.

- These Guidelines do not supercede instructions contained in a "Request for Applications (RFA)" or an "Annual Program Statement (APS)." Grantees should read and follow specific instructions contained in an RFA or APS to ensure consideration of their proposal in these competitive situations.

- Any examples presented in these guidelines are illustrative and should be used as a guide in developing proposals. Examples should not be viewed literally for format or content.

- Use of couriers or express mail is not encouraged as this may actually delay receipt of a proposal. If the submission is time-sensitive, an electronic submission is encouraged with a subsequent hard copy by regular mail. Per the guidelines, it must be clear that all submissions originate from the organization's headquarters.

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GLOSSARY OF TERMS

Annual Program Statement A form of solicitation used to generate competition for new awards where USAID/OFDA intends to support a variety of approaches by NGOs that are in keeping with USAID/OFDA's objectives.

Assessment (Needs assessment) The process of determining the impact or potential impact of a crisis or event prior to, during, and/or after the crisis or event. An assessment determines the need for immediate emergency measures to save and sustain lives and reduce suffering of affected populations, and calculates the possibilities for expediting recovery. It also evaluates the capacity of local populations to cope with the crisis. The assessment process can range from formal and scientific to anecdotal and impressionistic and should continue via monitoring and adjustment throughout the duration of the program.

Beneficiaries The members of an affected population who receive humanitarian assistance.

Context-Specific Programming An approach to programming that reflects the combination of variables that distinguish the context of a disaster, such as gender roles, the environment, and social and political networks. (See Annex H: Context-Specific Programming)

Complex Humanitarian Emergencies Humanitarian emergencies that are caused or complicated by civil strife.

Coping Mechanisms The set of behaviors or activities that people engage in to survive a crisis, such as consuming wild foods or selling assets such as livestock, property, jewelry, tools, and household furnishings.

Cost Sharing In appropriate instances, USAID may require that a specified percentage of a program's funding come from non-federal sources. For types of contributions that may be considered for the purposes of cost sharing, see 22 CFR 226.23 (See Annex C: References)

Critical Assumptions General conditions that are outside the control or influence of an organization but, if changed, may affect the ability to successfully implement a program.

Disaster A foreign disaster, as defined by USAID/OFDA, is an act of

	nature or man-made that is, or threatens to be, of sufficient severity or magnitude to warrant U.S. emergency relief assistance.
Expected Result	A measurable outcome of a program's objective.
Goal	The overall purpose of the program. The big picture.
Hazard	The potential for a natural or man-made event to occur with negative consequences.
Indicator	A measurement used to demonstrate change resulting from a particular intervention. Indicators are used to monitor progress toward achieving expected results.
Indirect Beneficiaries	Members of an affected population who do not receive direct assistance but who nonetheless benefit from assistance being given to their relatives, neighbors, friends, or community.
International Standard	An accepted measure for a humanitarian assistance commodity or service delivery recommended by relevant international organizations.
In-kind Contribution	The value of non-cash contributions to a program provided by any third party, including counterpart contributions from host country institutions. In-kind contributions may be in the form of space, equipment, supplies, expendable property, and the value of goods and services directly benefiting and specifically identifiable by an organization.
Livelihoods	The means by which an individual or a part of a society sustains its existence.
Measurable	Describes an outcome that can be determined and reported quantitatively or qualitatively, and used as a basis for comparison.
Mitigation	Measures taken to reduce the loss of life, livelihoods, and property by reducing vulnerability.
Objective	A subset of the goal that more specifically categorizes program activities according to needs to be addressed. Please refer to the list of USAID/OFDA's reporting objectives on page 17.
Performance Baseline Data	Description of the prevailing conditions at the onset of the applicant's proposed intervention. Performance baseline data

	should be both quantitative and qualitative. It is imperative to have a realistic picture of the starting point for any program in order to measure progress accurately.
Preparedness	Actions taken to reduce the loss of human lives and the economic impact of disasters by strengthening local capacities to respond.
Prevention	Measures taken to prevent a natural phenomenon or potential hazard from having harmful effects on either persons or economic assets.
Qualitative Data	Descriptive observations often expressed in reference to behavior, attitudes, beliefs, and personal experiences.
Quantitative Data	Data expressed numerically that may include qualitative information.
Risk	The probability that a loss will occur as the result of an adverse event. The level of risk is a factor of hazard and vulnerability.
Shared Costs	A budget term for those costs that cannot be logically attributed to any individual objective, being grouped and presented in a budget together instead of allocated across program objectives. (See Sample Budget on page 24)
Sphere Project	A broad collaborative effort initiated in 1997. Its aim is to reach common minimum standards for emergency activities on the basis of humanitarian principles covering essential "life saving"sectors: water, sanitation, and hygiene promotion; food security, nutrition, and food aid; shelter, settlement, and relief commodities; and health services. (See Annex C: References)
Targeted Population	Intended beneficiaries chosen for assistance based on anthropometric or socioeconomic criteria.
Time Line	The set of planned actions from the beginning to the end of an intervention that includes preparatory and post-program planning and evaluation.
USAID Regulation 26	"Administration of Assistance Awards for U.S. Non-Governmental Organizations." (See Annex C: References)
Vulnerability	The extent to which a community is at risk from disasters.

USAID/OFDA ACRONYMS

APS	Annual Program Statement
CTO	Cognizant Technical Officer. The CTO is an USAID/OFDA staff member authorized to carry out certain aspects of contract or grant administration by the Agreement Officer, policy, or regulation.
DART	Disaster Assistance Response Team. A DART may include members from FFP, OTI, State/PRM, and other USAID bureaus and U.S. Government agencies.
DCHA	USAID's Bureau for Democracy, Conflict, and Humanitarian Assistance. DCHA was formerly the Bureau for Humanitarian Response (BHR).
DOS	Disaster Operations Specialist. The DOS is responsible for the day-to-day management of one or more specific activities and is the point of contact for proposal and report submissions. The DOS serves as USAID/OFDA's CTO for grant administration, and may have responsibility for multiple countries.
ECARO	USAID/OFDA East and Central Africa Regional Office
EDRC	Emergency Disaster Response Coordinator. The EDRC is an USAID/OFDA field representative based in an affected country.
FFP	USAID's Office of Food for Peace
FOG	USAID/OFDA's Field Operations Guide for Disaster Assessment and Response
IDP	Internally Displaced Person
MDRO	Mission Disaster Relief Officer. The MDRO is a staff member of the USAID Mission or the U.S. Embassy who is the U.S. Government's in-country point of contact for disaster response.
NGO	Non-Governmental Organization
OTI	USAID's Office of Transition Initiatives
PAL	Pre-award letter. The PAL communicates any agreements, such as start dates, that may be reached with applicants prior to grant award.

PML	Pre-modification letter. The PML communicates any agreements, such as start dates, that may be reached with applicants prior to the modification of an existing award.
PRA	Principal Regional Advisor
PRM	U.S. Department of State Bureau of Population, Refugees, and Migration
PVO	Private Voluntary Organization. For more details see: http://www.usaid.gov/our_work/cross-cutting_programs/private_voluntary_cooperation/
RA	Regional Advisor
SARO	USAID/OFDA Southern Africa Regional Office
USAID/OFDA/W	Office of U.S. Foreign Disaster Assistance headquarters in Washington, D.C.
WARO	USAID/OFDA West Africa Regional Office

INTRODUCTION

In order to fulfill its mandate, the Office of U.S. Foreign Disaster Assistance (OFDA) has developed these guidelines to assist in the preparation of proposals for new grants and grant modifications for submission to USAID/OFDA. They provide information relevant to the grant proposal review and award process, outline the main components of a grant proposal, and present reporting requirements. Annexes provide additional information, as well as administrative and financial forms. If your organization has never previously received USAID/OFDA funding, please contact the USAID/OFDA regional representative for additional guidance. To obtain this information, please consult the USAID website at: http://www.usaid.gov/our_work/humanitarian_assistance/disaster_assistance/directory/regional teams-dir.html

USAID/OFDA's Mandate and Role in Humanitarian Assistance

USAID/OFDA is part of the U. S. Agency for International Development's (USAID) Bureau for Democracy, Conflict, and Humanitarian Assistance (DCHA). USAID/OFDA's mandate is to save lives, alleviate suffering, and reduce the economic impact of disasters. USAID/OFDA coordinates the U.S. Government response to disasters in foreign countries, and has primary responsibility for meeting the needs of internally displaced persons (IDPs) in emergency situations. USAID/OFDA's humanitarian assistance is largely provided through grants to Private Voluntary Organizations, Non-Governmental Organizations, and International Organizations.

USAID/OFDA funds are authorized for the following activities:

- **Disaster relief**: Assistance provided for affected populations in natural or man-made disasters that will sustain life or reduce human suffering.

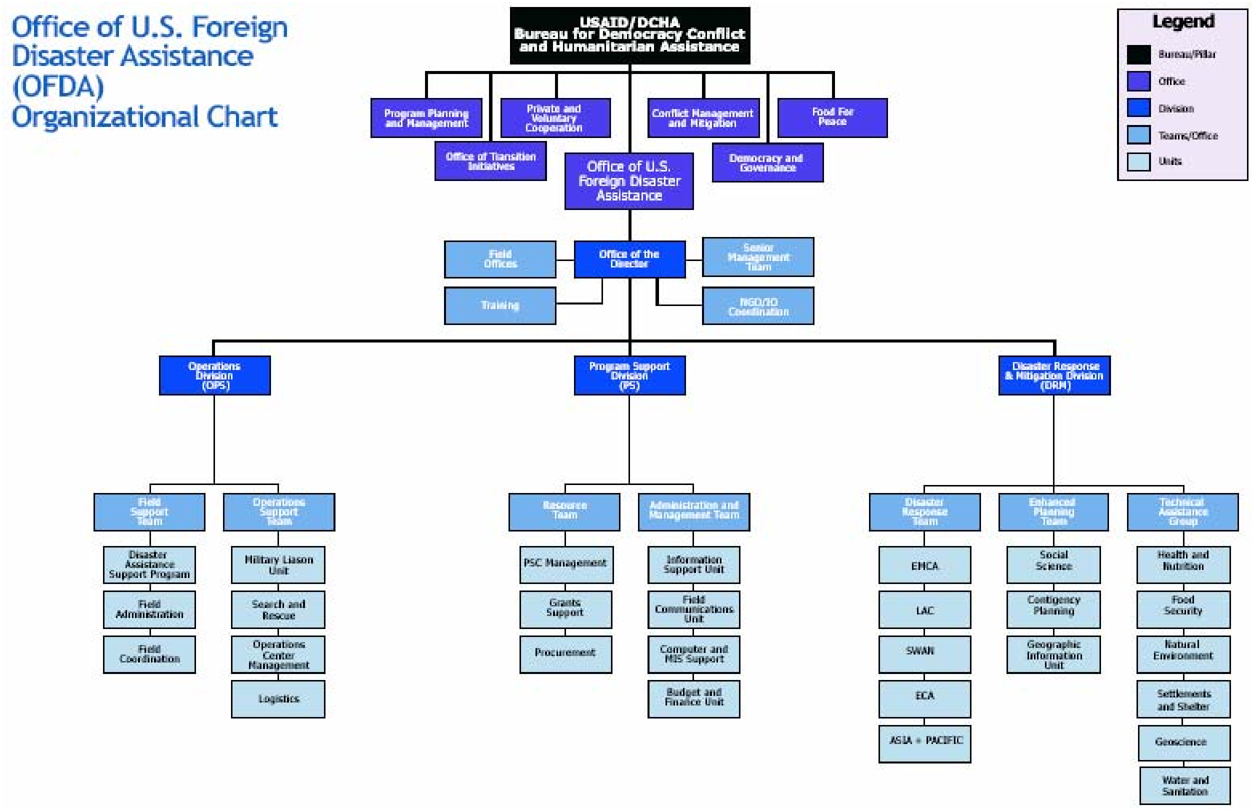
- **Rehabilitation**: Assistance to restore the self-sufficiency and livelihoods of disaster-affected populations.

- **Prevention, mitigation, and preparedness**: Assistance to reduce the impacts of natural and man-made disasters in at-risk areas.

PRE-AWARD REVIEW

USAID/OFDA must conduct a pre-award qualification review on organizations that have not previously had U.S. Government-funded awards, and such review may take 60-90 days. Applicants should take this into account and plan their proposal submissions and program performance periods accordingly.

USAID/OFDA/W ORGANIZATIONAL CHART



USAID/OFDA is organized into three divisions under the management of the Office of the Director. The Office of the Director includes a training supervisor who oversees the formulation of all training required to meet USAID/OFDA staff needs and a coordinator for external relations responsible for providing strategic guidance on how USAID/OFDA works with NGOs, the United Nations, other International Organizations, and other donors. The Disaster Response and Mitigation (DRM) division is responsible for coordinating with other organizations for the provision of relief supplies and humanitarian assistance. DRM also monitors and evaluates USAID/OFDA programs and develops, coordinates, and implements program strategies, and prevention and preparedness initiatives for a variety of natural and man-made disaster situations. The Operations division (OPS) develops and manages logistical, operational, and technical support for disaster responses. OPS maintains readiness to respond to emergencies through a number of mechanisms, including managing several Search and Rescue Teams, the Ground Operations Team, field Disaster Assistance Response Teams (DARTs), and Washington-based Response Management Teams (RMTs). The Program Support (PS) division provides programmatic and administrative support, including budget/financial services, procurement planning, contract and grant administration, general administrative support, training, and communication support for USAID/OFDA in Washington, D.C. and in its field offices.

PROGRAMMING PRINCIPLES OF DEVELOPMENTAL RELIEF

Developmental relief is a framework under which relief programs should be implemented. Although linking traditional relief activities to development activities is critical, this exercise is a transition strategy and not developmental relief. Developmental relief accounts for normal and longer term coping strategies and the community structures through which these strategies are implemented and seeks to support and strengthen these resources. Developmental relief is a process as much as it is a goal.

- **Collaboration/coordination**: USAID/OFDA expects implementing organizations to work together to avoid overlap, gaps in relief assistance, and confusion among local communities regarding assistance programs and availability of services. Implementing partners should regularly share information with other organizations in the area, particularly in accord with established information centers, and work to standardize data collection methodologies and minimize security risks.

- **Context-specific conditions**: USAID/OFDA-funded programs should strive to avoid disrupting social organizations and networks by recognizing existing social relationships such as community and gender roles and responsibilities, the natural and political environments, local economies, and cultural beliefs and practices. Programs should be appropriate and relevant to these conditions and should consider both immediate and possible long-term impacts. USAID/OFDA acknowledges that some local practices must change during disasters and encourages programs to include training and local community participation in order to ensure that new behaviors or temporary technologies are adopted safely. See Annex H for details on information that must be reflected in proposals.

- **Livelihoods**: The resumption of income or food-generating activities plays a crucial role in helping disaster-affected populations recover from disasters. USAID/OFDA favors programs that support and encourage the maintenance or rehabilitation of livelihood assets and skills where possible, recognizing that the introduction of new livelihood initiatives will require consideration of economic dynamics and other context-specific conditions.

- **Most vulnerable groups:** In every disaster, there are some groups of people who are more negatively affected than others and who require proportionately more assistance. These most vulnerable groups can include—but are not exclusive to--pregnant women, children under five, the elderly, marginalized adolescent girls and boys, child soldiers, the internally displaced, HIV-affected groups, or the handicapped, for example. The categories of people most needing assistance vary from one disaster context to the next, and must be determined anew for each disaster, and reassessed regularly as the characteristics of long-term disasters can change radically over time. Accurate identification of the most vulnerable individuals as well as timely and appropriate assistance to these populations can mitigate potential social, economic, and health problems that inevitably will emerge if not addressed in the early phases of a disaster.

- **Prevention, mitigation, and preparedness**: Programs that operate at the regional, national and community levels to help prepare for or lessen the impact of disasters are critical to reducing a country's dependence on external relief assistance. USAID/OFDA promotes disaster prevention, mitigation, and preparedness activities both in the course of implementing a disaster response and as a pre-disaster strategy to reduce disaster impacts in areas at risk. USAID/OFDA's *Disaster Reduction: A Practitioner's Guide* is available for additional guidance at the following website: http://www.usaid.gov/our_work/humanitarian_assistance/disaster_assistance/resources/pdf/disaster_reduction_2002.pdf

USAID/OFDA's Field Operations Guide (FOG) provides detailed information on disaster assessment and response, and is available at: http://www.usaid.gov/our_work/humanitarian_assistance/disaster_assistance/resources/pdf/fog_v3.pdf

- **Promotion of international standards**: USAID/OFDA supports the use of international standards in all disaster response programs. While recognizing that reaching the minimum standards (such as those detailed in the Sphere Handbook) is not always possible, USAID/OFDA encourages their use as a guideline when designing disaster response and mitigation activities.

- **Protection:** USAID/OFDA encourages implementing partners, wherever possible and appropriate, to incorporate a protection mindset into the design and implementation of their assistance programs in order to help protect populations from violence, abuse, harassment, or exploitation. Humanitarian programs funded by USAID/OFDA should be designed, implemented and monitored to ensure that they do not harm or endanger beneficiary populations because of negative unintended consequences, nor should programs aggravate local tensions or inadvertently empower those who are responsible for conflict or abuse. Provided that this does not pose a risk to beneficiaries and implementing staff, partners should regularly share information on these and related matters.

- **Systematic information collection**: Organizations should provide for the systematic collection of information in their areas of implementation. Systematic information collection is defined as using a methodology that is established, or can be replicated by others, and whose results are comparable. This is vital in designing appropriate strategies and programs, targeting the most urgent needs, and for sharing information with other stakeholders.

- **Training/capacity building**: Where appropriate, USAID/OFDA supports programs that include methods and activities that serve to train local staff, NGOs, community groups, and other organizations, building their capacities both to function as organizations as well as to enhance technical skills of individuals. USAID/OFDA encourages the use of appropriate technologies, whether local or introduced.

- **Use of existing local capacity/local community interaction**: USAID/OFDA-funded programs should actively solicit and incorporate the views, opinions, and experiences of local affected communities and officials in planning, designing, implementing, monitoring, and evaluating programs, wherever possible.

USAID/OFDA PROPOSAL REVIEW AND GRANT AWARD PROCESS

USAID/OFDA/W must receive proposals from an organization's headquarters, not field representatives, in order to be considered for review. Proposals should be directed to the appropriate point of contact in USAID/OFDA/W. Please consult the USAID website at: http://www.usaid.gov/our_work/humanitarian_assistance/disaster_assistance/directory/regionalteams-dir.html for the current list of regional responsibilities.

These guidelines apply to new grants as well as to cost extensions of existing grants. In the event that USAID/OFDA decides to make exceptions to these guidelines, you will be notified you.

Proposals must include the following essential criteria:

- Justification of the need for the proposed program
- Explanation for selecting/targeting beneficiaries
- Technical elements of the proposal (including objectives, expected results, and measurable indicators)
- Appropriateness of the proposed program to USAID/OFDA's mandate and the emergency situation
- Incorporation of relevant principles of developmental relief in program design
- Demonstration of coordination and collaboration
- Realistic and measurable expected results
- Successful past performance
- Responsiveness to the security environment
- Cost realism (See Guidelines for Cost/Management Proposal on page 22)

In addition, all proposals must meet the following standards to be considered acceptable for review:

- Include date of submission
- Conform to the 20-page limit for program proposals (excluding the cost proposal)
- Request a realistic start date (request a start date that allows sufficient time for review and processing of the proposal; a minimum of 45 days prior to the desired start date)
- Provide a complete cost proposal
- Include signed certifications and representations (See Annex F: Certifications)
- Provide the number of targeted beneficiaries (number of individuals), as well as the total number of internally displaced persons (IDPs) from within that population for each objective[*]

The paragraphs below outline USAID/OFDA's procedures for reviewing proposals. However, applicants should note that USAID/OFDA maintains flexibility when responding to emergency

[*] For some programs (e.g., a coordination or evaluation program), it may be impossible to report on numbers of targeted beneficiaries. In this case, proposals should state that the total number of targeted beneficiaries is not applicable, and provide an explanation.

situations. USAID/OFDA/W staff will keep applicants informed with regular communication throughout the process. Electronic communication is preferred.

1. USAID/OFDA/W will inform the point of contact designated in the proposal to acknowledge receipt of the proposal. At this time, USAID/OFDA/W, in coordination with USAID/OFDA field staff, will determine the acceptability of the proposal according to the standards detailed above. USAID/OFDA/W will **reject** proposals that do not meet these standards. USAID/OFDA may also reject a proposal if funds are not currently available for the program, or if the proposal does not fall within USAID/OFDA's mandate.

2. If the proposal is acceptable, USAID/OFDA/W will conduct a formal review. The review will consider programmatic, technical, and cost issues according to the essential criteria described above.

3. Generally, the formal proposal review raises issues that will be communicated to the applicants' headquarters. Pending resolution of the issues, USAID/OFDA will consider the proposal to be **on hold.**

4. When USAID/OFDA/W determines that the issues are satisfactorily resolved, USAID/OFDA/W will notify the applicant that the proposal has been **recommended** for funding. USAID/OFDA/W will process the documentation and will forward it to USAID's Office of Procurement.

   Upon approval of the proposal by USAID/OFDA/W, and at the request of the applicant, USAID may elect to provide the applicant with a pre-award letter (PAL) that communicates USAID/OFDA's expectations about the grant award. Typically, a PAL will set forth the date from which it is anticipated that a grantee will be reimbursed for program costs incurred between the date the proposal is approved and the date of award. USAID/OFDA cautions applicants that any costs incurred prior to award cannot be reimbursed in the event that an award is not made.

5. USAID's Office of Procurement provides final approval of all applications. No communication from USAID/OFDA, written or verbal, constitutes final approval. Once awarded, the Office of Procurement will forward copies of the award document to the applicant's point of contact. It is the responsibility of the organization to ensure that copies are made available to its field staff and all appropriate headquarters offices.

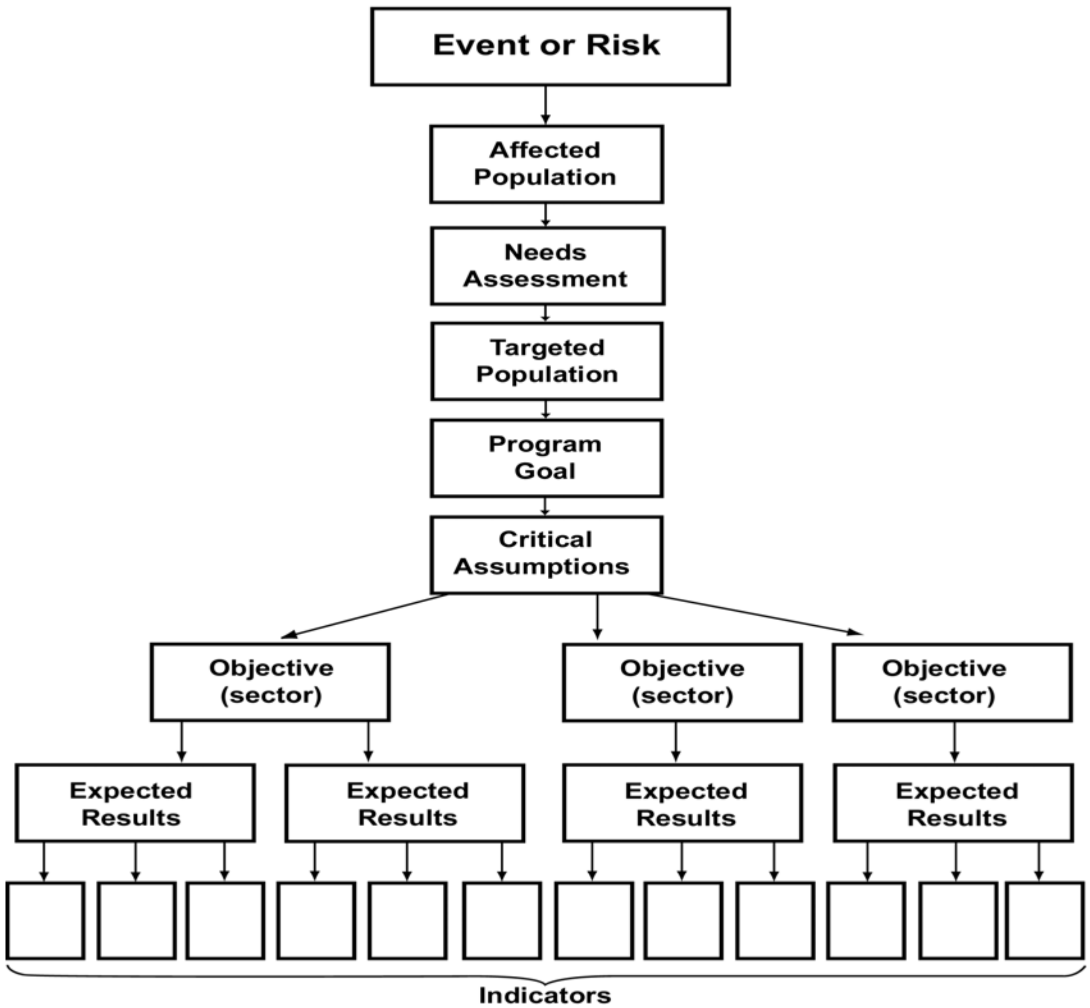
CONCEPT PAPERS

Concept papers may be submitted to USAID/OFDA/W and/or to USAID/OFDA field staff. USAID/OFDA encourages prospective applicants to provide a concept paper prior to submission of a full proposal because concept papers can provide a quick answer to the question, "Is USAID/OFDA interested in this program?" without requiring the applicant to prepare a full proposal. Once USAID/OFDA has determined that it is interested in the concept, applicants will be requested to submit a full proposal for formal review in accordance with these Guidelines. Concept papers should outline objectives and expected results, and include a preliminary cost estimate. A concept paper should not exceed five pages in length. Acceptance of a concept paper does not guarantee that USAID/OFDA will fund an applicant's proposal.

GUIDELINES FOR THE PROGRAM PROPOSAL

These Guidelines attempt to construct a logical process that will accommodate USAID/OFDA's information needs while helping the applicant convey the strength of the proposed program. USAID/OFDA emphasizes the need for clear implementation plans, expected results, and both qualitative and quantitative data collection for all proposed programs. In addition, the proposal should address developmental relief principles, coordination, information sharing, and security.

Process of Program Development



The following outline provides the recommended proposal format and explains the type of information USAID/OFDA needs for decision-making. Narratives, tables, and log frames are all acceptable. **Proposals are limited to 20 pages (excluding the cost proposal), and must include a footer on each page with the page number and submission date.**

I. Executive Summary

Provide a brief overview of the proposed program goal, objectives, and expected results. Requested information is listed in the sample on page 30.

II. Program Rationale

Provide background and current information on the situation leading up to, and supporting the justification for, the proposed program.

PROGRAM DURATION

USAID/OFDA provides funds for emergency interventions for up to **one year** at a time. Although agencies are encouraged to discuss any long-term planning needs within program proposals, funding will only be awarded for a maximum of twelve months. With multi-year prevention, mitigation and preparedness awards, funding will be provided in annual installments.

A. Background

Describe the disaster or hazard, beginning with the numbers of affected or vulnerable people and additional information such as the disaster's history, magnitude, impact, level of risk, duration, and location. USAID/OFDA encourages the inclusion of maps when available.

B. Needs assessment — Description of the Service Area and Target Population

Use information from surveys, assessments, and other documents to describe the service area and the conditions of the targeted beneficiary population(s), including the IDPs within that population. When appropriate, this information should include the health status, demographic characteristics – such as gender and age groups – and other factors that identify the needs and provide justification for the proposed program. (Refer to the *Minimal Technical Information Requirements* (MTIR) at http://www.usaid.gov/our_work/humanitarian_assistance/disaster_assistance/resources/pdf/mtir-11-27-2002.pdf for sector-specific information that needs to be included.) Information on the relationships between direct and indirect beneficiaries should also be included where appropriate.

Wasting and Crude Mortality Data for Health and Nutrition Programs
For projects with health and nutrition components, USAID/OFDA now requires that representative data on baseline wasting and crude mortality rates by gender and age be gathered. USAID/OFDA will use this data to better target its relief intervention in crisis-stricken areas.

C. Coordination

Indicate whether this program will stand alone or if it is part of a larger country program. It should demonstrate coordination with NGOs, local, regional, and international organizations, and governmental entities to prevent duplication of effort and fill gaps.

> **INFORMATION SHARING**
> USAID/OFDA requires that organizations demonstrate that they are sharing non-financial programmatic data and information with appropriate humanitarian information coordination bodies in the field, such as Humanitarian Information Centers.

D. Developmental Relief

Discuss how the relevant principles of developmental relief have been incorporated into the program. You must provide a justification for any principle you do not address. (Please refer to page 11 for additional information.)

E. Security

Discuss how the security environment is impacting your ability to reach and assist affected populations and how you are managing to promote the security of the affected population and your staff.

III. Proposal Framework

A. Program Goal

The program goal is the overall purpose for responding to a disaster or hazard and represents the impact sought by an organization. An organization's proposed program will logically contribute to this goal, although it will not necessarily accomplish the goal by itself. USAID/OFDA's goal for responding to disasters is to meet the critical needs of targeted, vulnerable populations using best practices and techniques in a timely and effective manner.

B. Critical Assumptions

Critical assumptions are an organization's best estimate of the conditions that will prevail during program implementation. A significant change in a critical assumption can affect results and should be identified and weighed before undertaking implementation. Assumptions are based on factors such as the local context, security, access, staffing, and availability of resources.

C. Objectives and Expected Results

Objectives reflect the goal and primary focus of the program, and also describe which critical needs or vulnerabilities the program proposes to meet. Each objective has its respective program activities and "Expected Results," which are simply measurable activity outcomes.

Organizations should determine which sector (of those listed below) is most appropriate for the overall goal of the objective. For example, an organization proposing an agriculture program must decide whether the primary goal of the program is to increase food production (in which case, the sector chosen would be food security/agriculture) or to improve farmers' livelihoods (in which case, the sector would be livelihoods).

USAID/OFDA prefers objectives that correspond to specific sectors in order to support internal reporting requirements.

- Health*
- Nutrition*
- Shelter
- Coordination
- Information Management
- Logistics
- Water and Sanitation
- Food Security/Agriculture
- Relief Commodities
- Capacity Building
- Risk Management
- Livelihoods

* These sectors require the wasting and crude mortality data referred to on Page 16 under Section B—Needs Assessment.

Implementation in multiple sectors should be expressed through multiple objectives. Stating objectives in terms of sectors also provides flexibility in implementing programs in the event that conditions or urgent needs within the sector change.

If a desired sector is not found on the above list, please consult with the appropriate USAID/OFDA Cognizant Technical Officer (CTO) to come to agreement on the sector that will be used.

USAID/OFDA discourages overly-descriptive details in an objective, such as the location of populations, as this might limit an organization's ability to respond to dynamic conditions such as population movements. Organizations can discuss location and other descriptive details representing the current state of the affected population in other sections of the proposal such as the "Needs assessment – Description of the Service Area and Target Population," the expected results, and/or in the implementation plan.

Separate mitigative or qualitative aspects of an emergency program such as coordination, training, or capacity building should not be disaggregated into separate objectives if they are part of a larger sectoral objective such as health.

D. Indicators and Performance Baseline Data

Expected results identify expected accomplishments, whereas indicators show specifically what will be measured to determine whether the expected results have been achieved. Indicators are measurements that demonstrate a change resulting from a particular intervention and function to systematically monitor progress toward achieving expected results of each objective. (See Annex A: Indicators)

The performance baseline is a description of the prevailing conditions at the onset of the applicant's proposed intervention. Performance baseline data should be both quantitative and qualitative. It is imperative to have a realistic picture of the starting point for any program in order to measure progress accurately.

IV. Program Description

A program description clearly and concisely outlines how the applicant proposes to meet the critical needs identified in the objective(s) and how the applicant will achieve its expected results. A narrative or log frame format is acceptable. The program description consists of the following sections:

A. Implementation Plan

An implementation plan provides a description of the activities necessary to achieve each expected result in the proposed timeframe. It should consist of the methodologies and processes (or steps) the implementing organization will undertake. In addition, the implementation plan should include the following:

- The total number of targeted beneficiaries and where they are located (at the province or equivalent level, as appropriate) by objective. *Please note*: USAID/OFDA reports on *numbers of individuals*, not families. If working with families, proposals should provide both number of families and corresponding number of individuals. Best estimates are encouraged if exact figures are not available. For some programs (e.g., a coordination or evaluation program), it may be impossible to report on numbers of targeted beneficiaries. In this case, proposals should state that the total number of targeted beneficiaries is not applicable, and provide an explanation.

- The goods and services to be provided, such as supplemental feeding, seeds and tools, or shelter rehabilitation, and detailed distribution and logistic plans for providing these goods and services.

- Security conditions necessary and program adaptations required to achieve expected results.

MINIMUM TECHNICAL INFORMATION REQUIREMENTS (MTIR)

MTIRs are available to assist in assuring coverage of key points in proposals that include the following sectors: Agriculture and Food Security; Health; Nutrition; Hydrometeorology; Shelter; Water and Sanitation.

MTIRs will be periodically updated to incorporate comments from the user community.

MTIR Internet link:
http://www.usaid.gov/our_work/humanitarian_assistance/disaster_assistance/resources/pdf/mtir-11-27-2002.pdf

B. Monitoring and Evaluation

1. Monitoring Plan

A monitoring plan is required and, at a minimum, includes the following:

- Plans for monitoring progress on indicators
- Source, method, and frequency of data collection
- Persons identified to undertake tasks
- Plans for data analysis and use
- A timeline

Monitoring plans are intended to serve as a tool for partners in tracking their programs. It is also USAID/OFDA's experience that strong monitoring plans facilitate prompt and accurate reporting.

2. Evaluations

USAID/OFDA recognizes the importance of evaluation as a means to identify program outcomes and impact, lessons learned and best practices. As such, USAID/OFDA encourages independent evaluations of programs, and will consider funding these on a case-by-case basis. Please submit a justification that details the outcomes to be achieved by the evaluation process along with the budget line-item.

C. Transition or Exit Strategy

Based on achievement of objective(s) and context, applicants should describe a transition or exit strategy, including how the implementing organization will discuss this with all relevant stakeholders. Next steps may include mitigation, preparedness, integration into local systems, transition to development activities, or phase-out. Where applicable, proposals should describe steps to be taken to ensure sustainability of program activities and/or program results.

D. Restricted Goods

Restricted goods are agricultural commodities, motor vehicles, pharmaceuticals, pesticides, fertilizer, used equipment, and U.S. Government-owned excess property. See Annex B: Restricted and Ineligible Goods, Services and Suppliers, for more details.

GUIDELINES FOR THE COST/MANAGEMENT PROPOSAL

Cost proposals must be submitted as a separate section, which is not subject to the page limitation on the program proposal. A cost/management proposal consists of an SF-424 (see Annex E: SF-424 Forms), a detailed/itemized budget, a budget narrative and other administrative documentation as required.

USAID/OFDA will review the cost/management proposal in conjunction with the program proposal for purposes of cost realism. Cost realism is the relationship of the level of resources and their relative cost to the achievement of the expected results. In addition to cost realism, USAID/OFDA will apply the following criteria to the cost/management proposal: allowability of costs, allocability of costs, reasonableness/effectiveness of costs, cost sharing or in-kind contributions, contributions of other donors, program income, and sufficiency of justifications for procurement of restricted (See Annex B: Restricted and Ineligible Goods, Services, and Suppliers), extraordinary, or high-cost items.

I. The Office of Management and Budget requires the SF-424 for all federal grant programs. (See Annex E: SF-424 Forms.)

II. The Detailed/Itemized Budget should list and account for individual line items within each object class category for each objective (sector); see page 18. Object class categories are logical groupings of costs such as staff, travel, capital equipment, supplies, etc. (See example on page 26). In a detailed budget that contains more than one objective, those costs that cannot be logically attributed to an individual objective but are allocable to more than one or all objectives may be divided across objectives by percentages or may be captured in a separate object class category called “shared costs.”

III. The Budget Narrative substantiates and explains how costs were estimated. The budget narrative provides an opportunity for the organization to provide the rationale for cost development such as the methodology and assumptions used to determine individual costs, i.e., engineering cost estimates, actual/current costs incurred, costs obtained through tenders or bids, catalog prices, published salary tables, etc. (See example on page 26). A thorough budget narrative will expedite the cost proposal review and preclude disruption of field staff to revisit cost and provide justifications after proposal submission.

IV. Required Supporting Administrative Documentation:

   a. Organizational Structure. Applicants should explain how their headquarters and field office(s) are organized and explain how this structure is coordinated to achieve expected results.
   b. Security. Discuss how the security environment is impacting your ability to reach and assist affected populations and how you are managing to promote the security of the affected population and your staff.

c. Accountability. Does the organization have a written management plan that provides for systems to ensure that staff adhere to international humanitarian laws, codes of ethics, and standards of practice?
d. Details for all cost sharing proposed. Cost sharing is defined as support provided to the program by sources outside the U.S. Government. USAID/OFDA usually does not require cost sharing but will view cost sharing favorably during the proposal review.
e. Details of in-kind contributions, if applicable. As with cost sharing, USAID/OFDA will view in-kind contributions favorably during the cost proposal review.
f. Details of sub-award arrangements to the extent they are known at the time of proposal development. NOTE: If sub-awards are anticipated and not explained in the original proposal, the agreement officer's approval (after award) is required before the sub-agreement may be executed.
g. Past Performance. Applicants should provide examples of past performance and sector expertise that demonstrate the organization's success in implementing similar programs. Include contact names and telephone numbers for any reference provided.
h. Completed/signed Certifications and Representations (See Annex F: Certifications)
i. For U.S. organizations only, copy of the self-certification for compliance with USAID policies and procedures for personnel, procurement, and travel.
j. A copy of the organization's U.S. Government Negotiated Indirect Cost Rate Agreement (NICRA), if applicable.
k. If program income (i.e., cost recovery or other revenues generated under the award except interest earned on USAID advances) is anticipated, the estimated amount should be reflected in the budget, and the Budget Narrative should describe how the program income is proposed to be treated, i.e., additive, cost-sharing, or deductive, or a combination thereof (See 22 CFR 226.24).
l. If restricted goods are proposed to be purchased, see Annex B: Restricted and Ineligible Goods, Services and Suppliers for additional information. Restricted goods are agricultural commodities (including food and seeds), motor vehicles, pharmaceuticals (including oral rehydration salts), contraceptives, pesticides, used equipment, fertilizers, and U.S. Government-owned excess property.
m. Cost extension proposals must include a "pipeline analysis," i.e., actual and estimated costs incurred through the end of the current grant period, and funds that will not be expended by the end of the current grant period (both delineated by objective). Since unexpended funds will carry over to the cost extension period, the budget (by objective) for the cost extension period should be reduced by the amount of unexpended/carry-over funds.

SAMPLE DETAILED BUDGET

Object Class Category	Unit	Months	Amount (USD)	Objective One (Health)	Objective Two (Wat/San)	Shared Costs*	Total OFDA	Total Other	Total
Expat Personnel									
Program Manager	1	6	$ 2,500.00			$15,000.00	$15,000.00		$15,000.00
Program Officer	1	6	$ 2,000.00			$12,000.00	$12,000.00		$12,000.00
Medical Officer	1	6	$ 2,000.00	$12,000.00			$12,000.00		$12,000.00
Wat/San Officer	1	6	$ 2,000.00		$12,000.00		$12,000.00		$12,000.00
Expat Benefits	4	6	$16,830.00			$16,830.00	$16,830.00		$16,830.00
Local Staff									
Nurses	5	6	$ 300.00	$ 9,000.00			$ 9,000.00		$ 9,000.00
Monitors	10	6	$ 250.00	$15.000.00			$15,000.00		$15,000.00
Wat/San Engineer	4	6	$ 350.00		$ 8,400.00		$ 8,400.00		$ 8,400.00
Laborers	10	2	$ 100.00		$ 2,000.00		$ 2,000.00		$ 2,000.00
Drivers	4	6	$ 100.00			$ 2,400.00	$ 2,400.00		$ 2,400.00
Travel									
Int'l Travel	5			$ 1,500.00		$12,000.00	$12,000.00		$12,000.00
Regional Travel	12		$ 300.00	$ 1,800.00	$ 1,800.00		$ 3,600.00		$ 3,600.00
Equipment									
Vehicles	5	6	$ 1,500.00			$ 3,600.00	$ 3,600.00		$ 3,600.00
Pumps	10		$ 5,000.00	$50,000.00			$50,000.00		$50,000.00
Vehicles	1							$30,000.00	
Supplies									
Construction Materials	10		$ 2,500.00		$25,000.00		$25,000.00		$25,000.00
Medical Supplies		6	$ 1,000.00	$ 6,000.00			$ 6,000.00		$ 6,000.00

Object Class Category	Unit	Months	Amount (USD)	Objective One (Health)	Objective Two (Wat/San)	Shared Costs	Total OFDA	Total Other	Total
Other									
Office Rental	2	6	$ 2,000.00			$ 2,000.00	$ 2,000.00		$ 2,000.00
Housing	4	6	$ 1,500.00			$ 1,500.00	$ 1,500.00		$ 1,500.00
Total Direct Cost				$95,300.00	$49,200.00	$65,330.00	$209,830.00	$30,000.00	$239,830.00
Indirect Cost (10%)				$ 9,530.00	$ 4,920.00	$ 6,533.00	$ 20,983.00	$ 3,000.00	$ 23,983.00
Total Cost				$104,830.00	$ 54,120.00	$71,863.00	$230,813.00	$33,000.00	$263,813.00

***** Costs that are not allocable to a specific objective may be captured in a separate "shared cost" objective. Alternatively, the costs could be spread over each objective as follows:

Object Class Category	Unit	Months	Amount (USD)	Objective One (Health)	Objective Two (Wat/San)	Total OFDA	Total Other	Total
Program Manager	1	6	$2,500.00	$ 7,500.00	$ 7,500.00	$15,000.00		$15,000.00
Program Officer	1	6	$2,000.00	$ 6,000.00	$ 6,000.00	$12,000.00		$12,000.00
Medical Officer	1	6	$2,000.00	$12,000.00		$12,000.00		$12,000.00
Wat/San Officer	1	6	$2,000.00		$12,000.00	$12,000.00		$12,000.00
Expat Benefits	4	6	$16,830.00	$ 8,415.00	$ 8,415.00	$16,830.00		$16,830.00

SAMPLE BUDGET NARRATIVE

Objective 1	
Expat Program Manager	The Program Manager located in Nairobi, Kenya will devote 100% of his/her time to management and oversight of the program. The responsibilities include personnel, procurement, financial management, coordination, and reporting. The salary is in accordance with established expatriate compensation plans. *(Note to preparer: Do not repeat this information when providing narrative for Objective 2 or place in separate objective "shared costs.")*
Expat Program Officer	The Program Officer will devote 100% of his/her time to the management of the program in the field. The responsibilities include on-site management of program activities, supervision of local personnel, logistics coordination, local procurement, and financial management. The salary is in accordance with established expatriate compensation plans. *(Note to preparer: Do not repeat this information when providing narrative for Objective 2 or place in separate objective "shared costs.")*
Medical Officer	The Medical Officer will devote 100% of his/her time to Objective 1 designing and overseeing implementation of the medical activities set forth in the implementation plan. The salary is in accordance with established expatriate compensation plans.
Expat Benefits	Benefits are provided based on a standard compensation package for all expat personnel that include statutory withholdings, health/dental insurance, life insurance, contribution towards retirement, and war risk coverage. These benefits are offered to all expat personnel and are currently 33% of total salary. *(Note to preparer: Do not repeat this information when providing narrative for Objective 2 or place in a separate objective "shared costs.")*
Local Nurses	Local personnel will receive training as nurses and will support the program in that capacity with supervision by the Medical Officer. The salary is based on a local compensation scale developed as part of a consortium of NGOs working in the area.
Monitors	Health Monitors will be used to make home visits and to collect survey data. The salary is based on a local compensation scale developed as part of a consortium of NGOs working in the area.

Drivers	Drivers are necessary to ensure security of expatriate personnel. Drivers are also provided with limited training to perform routine maintenance on all program vehicles. The salary is based on a local compensation scale developed as part of a consortium of NGOs working in the area. *(Note to preparer: Do not repeat this information when providing narrative for Objective 2 or place in a separate objective "shared costs.")*
Travel	International Travel includes round trip airfare between ___________ and ____________ for positioning and repatriation of all expat personnel. Round trip airfares have been estimated at $3,000.00 per person. There is an additional international trip to London proposed for the Medical Officer to attend a conference on best practices. *(Note to preparer: To the extent that travel is known and can be identified at the proposal stage, when approved with the grant award, no additional approvals will be required for international travel.)* *(Note to preparer: Do not repeat this information when providing narrative for Objective 2 or place in a separate objective "shared costs.")*
Regional Travel	Regional travel at an average cost of $300.00 per trip from Nairobi to program site is estimated as follows: Six trips (two/month) for necessary oversight and consultations with staff in Nairobi.
Vehicle Rental	Five vehicles will be rented in support of the program as this was determined to be more cost-effective than purchase. Two vehicles will be required for the Medical Objective to cover the two clinic sites. Three vehicles will be needed for the wat/san objective to support the three well-drilling teams. The cost for vehicle rental at $1,500.00 was established through a market survey and includes the cost of tires and spare parts for routine maintenance. (*Note to preparer*: *Do not repeat this information when providing narrative for Objective 2 or place in a separate objective "shared costs.")* *(Note to preparer: If non-U.S. vehicles are proposed, a justification should be included in accordance with guidance provided in Annex D: Restricted and Ineligible Goods, Services, and Suppliers.)*
Vehicles	One vehicle for use in Nairobi will be provided in-kind to the program. The cost of the new vehicle purchased for this program is $30,000.
Medical Supplies	Medical supplies include gloves, bandages, syringes, and other disposable medical supplies. The cost of the medical supplies was established through competitive bid for a medical supply kit that would service the two clinics for approximately 10,000 persons/month.
Office Rental	The office/housing will be contained in the same building. The total cost of the building has been allocated between office and housing

	based on square footage. The housing was sought in the local market and a market survey indicates that the rental price is fair and reasonable.
Housing	The office/housing will be contained in the same building. The total cost of the building has been allocated between office and housing based on square footage. The housing was sought in the local market and a market survey indicates that the rental price is fair and reasonable.
Indirect Cost	Indirect cost has been established through a NICRA with USAID dated 11/30/02 and provides for 10% of the base of application (total direct cost) for the period beginning 11/30/01 until amended.
Objective 2	
Wat/San Officer	The water/sanitation Officer will devote 100% of his/her time to Objective 2 designing and overseeing implementation of the well rehabilitation activities set forth in the implementation plan. The salary is in accordance with established expatriate compensation plans.
Wat/San Engineers	Local water/sanitation engineers will be employed to oversee and supervise the well rehabilitation and to establish and train water committees to maintain pumps and make minor repairs. The salary is based on a local compensation scale developed as part of a consortium of NGOs working in the area.
Laborers	Local laborers will be employed to undertake manual labor associated with the well rehabilitation. The salary is based on a local compensation scale developed as part of a consortium of NGOs working in the area.
Pumps	The water/sanitation Officer has identified the monolith pump as an appropriate pump for the program. The price for the pumps was obtained through competitive bid and includes transport to the program site.
Construction Materials	The water/sanitation engineers have estimated the materials necessary to rehabilitate each well site based on prices in the local market. (For a listing of materials, please see Annex A: Indicators.)

General Budget Notes

1. The following categories of items require prior written approval before purchases can be made:

- Capital Equipment (defined as any article of tangible, non-expendable personal property having a useful life of more than one year and a per-unit acquisition cost of $5,000.00 or more)

- International Travel

When sufficient information is provided in the detailed budget and budget narrative, prior approval will be provided in the grant document.

RECOMMENDED PROPOSAL FORMAT

COVER SHEET

Request for a New Grant *or* Grant Modification (if modification, include USAID/OFDA grant number)

Organization: Headquarters Mailing Address:	Date: HQ/Field Contact Persons: Telephone: Fax: Email:

Program Title:
Country/Region:
Type of Disaster/Hazard:
Period of the Program (number of months):
Total Number of Targeted Beneficiaries:*
Total Number of targeted IDPs within the beneficiary population:

Dollar Amount Requested from USAID/OFDA $______________________________

Dollar Amount from Other Sources $______________________________
Dollar Amount of In-Kind Contributions $______________________________
Total Dollar Amount of Program $______________________________

PROGRAM PROPOSAL

I. Executive Summary

State the goal of the program.

Then, for each objective, summarize the following:

Geographic areas of activity (administrative/political division such as a province):
Number/type (must include IDP numbers) of beneficiaries (individuals) targeted:
Period of activity (if less than the overall period of the program):
Amount requested (for this objective):
Expected results**:**

* For some programs (e.g., a coordination or evaluation program), it may be impossible to report on numbers of targeted beneficiaries. In this case, proposals should state that the total number of targeted beneficiaries is not applicable, and provide an explanation.

II. Program Rationale

A. Background
B. Needs assessment – Description of the Service Area and Target Population
C. Coordination
D. Developmental Relief

III. Proposal Framework

A. Program Goal
B. Critical Assumptions
C. Objectives and Expected Results
D. Indicators and Performance Baseline Data

IV. Program Description

A. Implementation Plan
B. Monitoring and Evaluation Plan
C. Transition or Exit Strategy
D. Restricted Goods

COST PROPOSAL

A. SF-424
B. Itemized Detailed Budget
C. Budget Narrative
E. Supportive Administrative Documentation

GUIDELINES FOR REPORTING

The following guidance reflects USAID/OFDA's information needs and was designed to accommodate implementing partners' internal reporting practices. USAID/OFDA prefers frequent information sharing to facilitate monitoring, in lieu of less frequent in-depth reporting. To that end, USAID/OFDA has implemented a system to acquire regular "program updates," "program performance reports," and "annual and/or final results reports," as differentiated below.

Types of Reporting

Program Updates are brief, timely, informal updates that provide information such as progress toward accomplishing the objective(s) and achieving expected results, constraints, and changes in context. These updates can be made through verbal or written communication (e.g., phone calls, email or informal meetings with field or Washington staff). USAID/OFDA uses this valuable information to maintain oversight of program implementation and to keep apprised of the ground situation. Please note that there is no established format for this informal reporting. (See Annex G: Program Update Example.)

"THE SCHEDULE"

Reporting requirements and instructions, as well as other important grant administration information, are communicated in Attachment One, "The Schedule," of the grant documents.

Program Performance Reports are widely viewed as helpful monitoring tools for both USAID/OFDA and the implementing partner. Please refer to the grant "Schedule" to determine submission frequency. USAID/OFDA asks that these reports be **concise** and include cumulative achievements and a comparison of actual accomplishments against the objectives and expected results. It is preferred that this data (both qualitative and quantitative) be presented using established indicators, and that it be supported by a brief narrative. In areas where health and nutrition programs are being implemented, USAID/OFDA now requires that representative data on wasting and crude mortality rates by age and gender be gathered. USAID/OFDA will use this data to look at the overall health and nutrition profile in the affected area.

ORGANIZATIONAL RESPONSIBILITY

Recipients should immediately notify USAID/OFDA of developments that have a significant impact on OFDA-supported activities.

Annual and/or Final Results Reports are required to be submitted 90 days after the end of the program, or annually if the program exceeds or is extended beyond one year. They emphasize quantitative as well as qualitative data and measure impact using indicators. Keep in mind the starting point for results reporting should be the performance baseline. Please refer to the next section for guidance on content for this reporting.

Financial Reporting requirements are outlined in the USAID grant agreement. However, USAID/OFDA may request information about pipelines and availability of funds during the course of program implementation and when budget changes are requested.

CONTENT FOR RESULTS REPORTS

The following information is required in the results report:

COVER SHEET

Organization:	Date:
Mailing Address:	HQ/Field Contact Persons:
	Telephone:
	Fax:
	Email Address:

Program Title:
USAID/OFDA Grant No.:
Country/Region:
Type of Disaster/Hazard:
Time Period Covered by the Report:

PROGRAM OVERVIEW AND PERFORMANCE

For each objective provide the following:

- Areas of activity—restate objectives
- A description of assessments and surveillance data used to measure results
- Demographic profile of the targeted and reached population
- Number of beneficiaries (must specify number of IDPs within the population) **targeted AND reached**, by objective, during the reporting period*
- **Cumulative** figures for both targeted and reached beneficiaries for all objectives. (Please indicate where there may be beneficiary overlap in services rendered.)
- Quantitative and qualitative data
- Achievements, constraints encountered, adjustments made to any objective
- Success stories
- Overall performance of the project
- Summary of cost effectiveness

* For some programs (e.g., a coordination or evaluation program), it may be impossible to report on numbers of targeted beneficiaries. In this case, proposals should state that the total number of targeted beneficiaries is not applicable, and provide an explanation.

BUDGET AND PROGRAM PLAN REVISIONS REQUIRING PRIOR APPROVAL

When a proposal successfully completes the review process and is approved, assistance funding is obligated through a grant or cooperative agreement. It is important to read the agreement and become familiar with the terms and conditions associated with use of USAID humanitarian assistance funding. Recipients are required to report all deviations from budget and program plans and request approvals in writing for certain budget and program plan revisions. In addition to other terms that might be set forth in individual agreements, the following are revisions that would require prior written approval under 22 CFR 226.25(c)(1) (for U.S. NGOs) or the standard provision entitled "Revision of Award Budget" (for non-U.S. NGOs).

- A change in the scope or the objective(s) of the program, including extension of the grant duration (even if there is no associated budget revision requiring prior written approval) and, for non-U.S. NGOs, revision of funding allocated among objectives.
- The departure or replacement of key program staff who are personally identified in the application or award document.
- The absence of the approved program director for more than three months, or a 25 percent reduction in the time that the approved program director devotes to the program.
- The need for additional U.S. Government funding.
- The transfer of amounts budgeted for indirect costs to absorb increases in direct costs, or vice versa.
- The inclusion of costs that require prior approval in accordance with OMB Circular A-122 "Cost Principles for Non-Profit Organizations," unless this requirement is specifically waived in the USAID grant agreement. Note: The two most commonly encountered types of costs that require prior approval are equipment purchases (defined as an article of tangible nonexpendable personal property having a useful life of one year or more and a per-unit purchase price of $5,000 or more) and international travel. However, to the extent that equipment purchases and international travel are identified in the proposal and/or budget and incorporated into the award, prior approval is deemed to have been provided.
- The transfer of funds allotted for training allowances (direct payment to trainees) to other categories of expense.
- The sub-award, transfer, or subcontracting of any work under an award, unless this activity is described in the application and funded in the approved budget of the award. This provision does not apply to the purchase of supplies, material, equipment or general support services.

Although such approvals must be provided by the Agreement Officer (except to the extent that an agreement may explicitly delegate such approval authority to the CTO), requests for prior written approval should be addressed to the CTO named in the agreement. Requests should describe the purpose of the change and should detail the impact that change will have on the program as originally proposed. Requests should be submitted separately from other routine correspondence such as program updates or reports.

Requests should be made as soon as a change is required. USAID/OFDA will require time to provide prior written approval and, therefore, USAID/OFDA encourages organizations to allow a minimum of ten days for unfunded changes and a minimum of 45 days for funded changes.

Approvals may be provided by letter, or through formal modification to the agreement. Additional funding will always be through a formal modification to the agreement.

ANNEX A: INDICATORS

Indicators are used to reflect baseline data, describe current conditions, and demonstrate change based on program interventions. USAID/OFDA indicators are a means to systematically track progress of a program and to maintain a focus on achieving the expected results of each objective. Advice on selecting strong indicators is available at the following link: http://www.dec.org/pdf_docs/pnaby214.pdf

Indicators should be:

- **Measurable**: Quantifiable or explainable
- **Direct**: Measures the intended outcome
- **Objective**: Easily understood
- **Practical**: Based on data that is easily and economically gathered
- **Sensitive**: Reflects change
- **Reliable**: Verifiable and replicable
- **Adequate**: Provides sufficient information but is not excessive

USAID/OFDA primarily relies on output, process, and impact indicators. Output indicators reflect services rendered or goods given, such as the number of persons trained or plastic sheeting rolls distributed. Process indicators demonstrate how a program is evolving and may report on factors that impact an activity's execution, such as availability of qualified staff. Impact indicators are often the most useful indicators for measuring results. For example, they may reflect changes in behavior, measure an improvement of the health status in a complex emergency, or show a decrease in economic losses due to seasonal flooding. It may be difficult to obtain impact data for short-term interventions. For long-term programs, however, USAID/OFDA prefers that partners put an emphasis on impact indicators.

SOURCES OF PERFORMANCE BASELINE DATA

In order to measure progress, it is imperative to establish a performance baseline for all of the above indicators. This data may be obtained from a variety of internationally recognized sources, such as UNDP, WHO or other U.N. survey data. In the absence of such reports, an implementing partner's in-depth assessment of a current situation at the time of intervention is acceptable.

Please note that, while quantitative indicators are commonly used, USAID/OFDA also encourages the use of qualitative reporting to complement quantitative data. Qualitative indicators are descriptions that reflect changes in attitudes, perceptions, behavioral practices, or cultural norms. This data is usually presented in some narrative form, but it may also be quantified, as when a number value is given to a scaled survey response (*e.g.*, 1= strongly agree … 5=strongly disagree). This sort of data may be useful in gauging the appropriateness of a program approach, its effectiveness, and its potential for sustainability. Qualitative data should not rely solely on anecdotes; the data can and should be collected systematically, such as through surveys, using standard and replicable research methodologies.

ANNEX B: RESTRICTED AND INELIGIBLE GOODS, SERVICES AND SUPPLIERS

For more information, please see the USAID Automated Directive System (ADS) Chapter 312 at the following link: http://www.usaid.gov/policy/ads/300/312.pdf.

Ineligible Goods and Services: the grant recipient may NOT procure the following items:

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

Ineligible Suppliers: The grant recipient may not procure goods or services furnished by any firm or individual whose name appears on the "List of Parties Excluded From Federal Procurement and Non-procurement Programs," the website for which is listed in Annex C: References. Applicants should also consult the Office of Foreign Assets Control in the Department of Treasury to review the lists of specially designated nationals (SDN) and blocked persons. (See Annex C: References).

Restricted Goods: The grant recipient must obtain prior approval for procurement of the following items:

- Agricultural commodities
- Motor vehicles that are not manufactured in the U.S. (includes vehicle leases of six months or more)
- Pharmaceuticals (including oral rehydration salts)
- Pesticides
- Fertilizer
- Used Equipment
- U.S. Government-owned excess property

If such items are of U.S. source and origin, are identified in the budget, and are incorporated into the award, they are deemed to be approved. Otherwise, they must be approved (after award) prior to purchase. To facilitate award and program implementation and to reduce administrative burdens, the following additional guidance is provided:

Agricultural Commodities: Food (other than for nutritional and health purposes) is generally not financed by USAID/OFDA, and seeds will be subject to special seed grower's certification requirements.

Motor Vehicles: Proposals that include non-U.S. vehicles should include a rationale for purchasing non-U.S. vehicles, and, if non-U.S. vehicles are approved, all vehicles will be subject to the order of preference and file documentation requirements in paragraph (b)(1) of the standard provision entitled "USAID Eligibility Rules for Goods and Services" (see Annex C for website) and a supplemental descending order of preference, as follows: U.S.-manufactured vehicles, vehicles assembled in the cooperating country or a Code 941 country using a substantial number of parts and sub-assemblies manufactured in the U.S., 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.

Pharmaceuticals: Proposals that include pharmaceutical products should include (in the technical proposal) a "drug list" which provides the following information: the generic and brand name(s), strength(s)/concentration(s), dosage form(s), quantity(ies), unit package size(s), intended therapeutic use(s) of the identified pharmaceuticals, and, to the extent feasible, the anticipated source(s). Purchases of all approved pharmaceutical products will be subject to a special provision for the procurement of medicines and pharmaceutical products which, inter alia, limits such purchases to FDA-approved products/sources or from UNICEF unless otherwise approved, requires the grant recipient to assume the risk of purchases of non-FDA approved products/sources or from sources other than UNICEF, and requires submission of safety and efficacy information.

Pesticides: USAID/OFDA will generally not finance the purchase of pesticides and will generally only consider such purchases in response to public health emergencies. Obtaining internal USAID approval for pesticide purchases is extremely problematic; hence pesticides should not be proposed for USAID/OFDA funding if at all possible.

Used Equipment: USAID/OFDA will generally not finance the purchase of used equipment, and any approval to purchase used equipment will normally require applicant's assurance that the requirements of the program will be satisfied if the material purchased is used, rebuilt, or reconditioned; that economic considerations justify procurement of used, rebuilt or reconditioned equipment; that the price is reasonable; and if the equipment is used, the justification shall explain why it is not to be rebuilt or reconditioned. In addition, the applicant must arrange for the inspection and appraisal of the equipment by an inspector approved by USAID with the understanding that the cost will be eligible for USAID financing only if the used equipment is subsequently approved for USAID/OFDA financing. This is a time-consuming and risky process; hence, used equipment should not be proposed for USAID/OFDA funding is at all possible.

Fertilizers: Fertilizers may be purchased locally to the extent that either local procurement is authorized pursuant to the standard provision entitled "Local Procurement" (see Annex C for website), or (subject to the order or preference and file documentation requirements in paragraph [b][1] of the standard provision entitled "USAID Eligibility Rules for Goods and Services") the host country is authorized for general source, origin, and supplier nationality purposes. Obtaining internal USAID approval for non-local purchases of fertilizer is extremely problematic; hence non-local fertilizer purchases should not be proposed for USAID/OFDA funding if at all possible. Depending on the type to be purchased, fertilizers may be subject to additional requirements regarding concentrations, application, etc.

U.S. Government-Owned Excess Property: It is not anticipated that any U.S. Government-owned excess property will be purchased.

Foreign Policy Restricted Countries: A full listing can be viewed at http://www.access.gpo.gov/nara/cfr/waisidx_03/22cfr228_03.html under Section 228.03.

ANNEX C: REFERENCES

WEB SITES

USAID/OFDA

USAID/OFDA Home page
http://www.usaid.gov/our_work/humanitarian_assistance/disaster_assistance/

USAID/OFDA Field Operations Guide (FOG)
http://www.usaid.gov/policy/ads/200/fog_v3.pdf

Disaster Reduction: A Practitioner's Guide
http://www.usaid.gov/our_work/humanitarian_assistance/disaster_assistance/resources/pdf/disaster_reduction_2002.pdf

Performance Monitoring Plan (PMP) based on general USAID guidance
http://www.dec.org/pdf_docs/pnaby215.pdf
http://cdie.usaid.gov/pme/htm_docs/sec7/pmptbl.htm

OTHER OFFICES OF USAID AND THE U.S. GOVERNMENT

USAID Policy and Procedures: the Automated Directives System (ADS)
http://www.usaid.gov/policy/ads/

Results-Oriented Assistance: A USAID Source Book
http://www.usaid.gov/pubs/sourcebook/usgov/

22 CFR 226: (Regulation 26)
http://www.access.gpo.gov/nara/cfr/waisidx_03/22cfr226_03.html

U.S. Office of Management and Budget (OMB) Circulars
http://www.whitehouse.gov/omb/circulars/index.html

OMB Standard Forms (SF424, *et al.*)
http://www.whitehouse.gov/omb/grants/grants_forms.html

Annual Program Statements (APSs)
http://www.fedgrants.gov/Applicants/

Requests for Applications (RFAs)
http://www.fedgrants.gov/Applicants/

Federal Acquisition Regulation (FAR)
http://www.arnet.gov/far/

USAID Acquisition Regulation (AIDAR)
    http://www.usaid.gov/policy/ads/300/aidar.pdf

Contract Information Bulletins (CIBs)/A&A Policy Directives (AAPDs)
    http://www.usaid.gov/procurement_bus_opp/procurement/cib/

22 CFR 228: (Source/Origin/Supplier Nationality)
    http://www.access.gpo.gov/nara/cfr/waisidx_03/22cfr228_03.html

USAID Commodity Eligibility Listing
    http://www.usaid.gov/policy/ads/300/31251m.pdf

Restricted Goods (ADS-312)
    http://www.usaid.gov/policy/ads/300/312.pdf

NGO Grants/Cooperative Agreements (ADS-303)
    http://www.usaid.gov/policy/ads/300/303.pdf

Public International Organization (PIO) Grants (ADS-308)
    http://www.usaid.gov/policy/ads/300/308.pdf

Guidelines for Financial Audits Contracted By Foreign Recipients
    http://www.usaid.gov/oig/legal/audauth/rcapguid.pdf

Standard Provisions for U.S. Recipients
    http://www.usaid.gov/policy/ads/300/303maa.pdf

Standard Provisions for Non-U.S. Recipients
    http://www.usaid.gov/policy/ads/300/303mab.pdf

Domestic (U.S.) Per Diem Rates
    http://www.policyworks.gov/org/main/mt/homepage/mtt/perdiem/download04.html

Foreign Per Diem Rates
    http://www.state.gov/m/a/als/prdm/

Overseas Allowances
    http://www.state.gov/m/a/als/920/

List of Parties Excluded from Federal Procurement and Non-procurement Programs
    http://epls.arnet.gov/

Specially Designated Nationals and Blocked Persons (OFAC)
    http://www.ustreas.gov/ofac

INTERNATIONAL

The Geneva Conventions (International Red Cross and Red Crescent Movement)
http://www.icrc.org/eng/party_gc

The Sphere Project
http://www.sphereproject.org/

Disaster Grant-Making: A Practical Guide for Foundations and Corporations
http://www.efc.be/ftp/public/IC/DisasterGrantMaking.pdf

World Watch Institute
http://www.worldwatch.org/

United Nations Centre for Human Settlements (Habitat)
http://www.unchs.org/

Global Economic Prospects and the Developing Countries - World Bank
http://www.worldbank.org/poverty/data/trends/income.htm

U.S. National Weather Service
http://www.nws.noaa.gov/

National Hurricane Center
http://www.nhc.noaa.gov/

Joint Typhoon Center
http://www.npmoc.navy.mil/jtwc.html

International Research Institute for Climate Prediction
http://iri.columbia.edu/

Climates of the World - National Oceanic and Atmospheric Administration
http://www.ncdc.noaa.gov/documentlibrary/pdf/climatesoftheworld.pdf

Geographic Information Support Team
http://gist.itos.uga.edu/

Worldwide Disaster Database - Center for Research on the Epidemiology of Disasters
http://www.cred.be/

Climate Information Project
http://www.cip.ogp.noaa.gov/

Famine Early Warning System Network
http://www.fews.net/

PUBLICATIONS

Operational Security Management in Violent Environments, Koenraad Van Brabant, Humanitarian Practice Network, Good Practice Review #8, June 2000.

ANNEX D: GUIDELINES FOR NEW APPLICANTS

In addition to the guidelines provided in this book, please also submit the following if you are a new organization applying for funding for the first time.

1. If the organization has not previously received funding from the U.S. Government, applicants should provide audited financial statements for its previous three fiscal years, an organization chart, copies of all registration documents, and copies of applicable policies and procedures (e.g. accounting, purchasing, property management, travel, personnel).

2. For organizations that have not previously received USAID/OFDA funding, the cost proposal should include information demonstrating that the applicant:

   - Has the Ability to Comply with Award Conditions:

     i. Financial and program management systems that comply with 22 CFR 226.20-28.
     ii. Purchasing system/contracting procedures that complies with 22 CFR 226.40-49.
     iii. Property management system that complies with 22 CFR 226.30-37.
     iv. Personnel policy which complies with applicable USG cost principles and results in reasonable and allocable salary charges.
     v. Travel policy that complies with the standard provision entitled "International Air Travel and Transportation" and applicable USG cost principles.
     vi. System of administering and monitoring sub-awards as required by OMB Circular A-133 (for U.S. organizations) or the USAID Inspector-General's "Guidelines for Financial Audits Contracted by Foreign Recipients" (for non-U.S. organizations).
     vii. Reports and records that comply with 22 CFR 226.50-53.
     viii. Absorptive Capacity.

   - Has Adequate Financial Resources, or the Ability to Obtain Same, for Performance of the Award.

   - Has a Satisfactory Record of Performance.

   - Has a Satisfactory Record of Integrity and Business Ethics.

   - Is Otherwise Qualified to Receive an Award under Applicable Laws and Regulations.

ANNEX E: SF-424 FORMS AND INSTRUCTIONS

On SF-424, please enter "N/A" in the blocks entitled "Applicant Identifier," "Date Received by State," "State Application Identifier," "Date Received by Federal Agency," and "Federal Identifier" in Items 2, 3, and 4. In Block 10, "Catalog of Federal Domestic Assistance Number," please enter the number 98-001 and the title "USAID Foreign Assistance for Programs Overseas." (Note: As of the date of publication of these Guidelines, USAID/OFDA did not have its own separate Catalog of Federal Domestic Assistance [CFDA] number. However, it is anticipated that USAID/OFDA may begin to use its own CFDA number in the future, in which case, the CFDA number and title for USAID/OFDA should be entered in Block 10. CFDA numbers and titles may be found at: http://www.cfda.gov.)

On the first page of SF-424A, "Grant Program, Function, or Activity" (Column [a] of Section A, Budget Summary, and Lines 6[1], 6[2], 6[3], and 6[4] of Section B, Budget Categories) and, on the second page, "Grant Program" (Column [a] of Section C, Non-Federal Resources) refer to objectives or sectors (see paragraph II in the Cost Proposal Guidelines on page 21), including shared costs if such costs are not subsumed within sectoral objectives.

On the first page of SF-424A, please enter the number 98-001 in the block entitled "Catalog of Federal Domestic Assistance Number" (Column [b] of Section A, Budget Summary). However, see the note under the first bullet above.

On the second page of SF-424A, in Section C, Non-Federal Resources, use Column (c) for other U.S. Government (USG) contributions, and use Column (d) for other non-USG contributions.

SF-424A should be supplemented by additional cost breakdowns/details, as described in paragraph II in the Cost Proposal Guidelines on page 21.

APPLICATION FOR FEDERAL ASSISTANCE

OMB Approval No. 0348-0043

	2. DATE SUBMITTED	Applicant Identifier
1. TYPE OF SUBMISSION: Application ☐ **Construction** ☐ **Non-Construction** Preapplication ☐ **Construction** ☐ **Non-Construction**	**3. DATE RECEIVED BY STATE**	State Application Identifier
	4. DATE RECEIVED BY FEDERAL AGENCY	Federal Identifier

5. APPLICANT INFORMATION

Legal Name:	Organizational Unit:
Address *(give city, county, State, and zip code):*	Name and telephone number of person to be contacted on matters involving this application *(give area code)*

6. EMPLOYER IDENTIFICATION NUMBER *(EIN):*

☐☐ — ☐☐☐☐☐☐☐

7. TYPE OF APPLICANT: *(enter appropriate letter in box)* ☐

A. State	H. Independent School Dist.
B. County	I. State Controlled Institution of Higher Learning
C. Municipal	J. Private University
D. Township	K. Indian Tribe
E. Interstate	L. Individual
F. Intermunicipal	M. Profit Organization
G. Special District	N. Other (Specify) ____________________

8. TYPE OF APPLICATION:

☐ **New** ☐ **Continuation** ☐ **Revision**

If Revision, enter appropriate letter(s) in box(es) ☐ ☐

A. Increase Award B. Decrease Award C. Increase Duration
D. Decrease Duration Other*(specify):*

____

9. NAME OF FEDERAL AGENCY:

10. CATALOG OF FEDERAL DOMESTIC ASSISTANCE NUMBER: ☐☐ — ☐☐☐

TITLE:

11. DESCRIPTIVE TITLE OF APPLICANT'S PROJECT:

12. AREAS AFFECTED BY PROJECT *(Cities, Counties, States, etc.):*

13. PROPOSED PROJECT		**14. CONGRESSIONAL DISTRICTS OF:**	
Start Date	Ending Date	a. Applicant	b. Project

15. ESTIMATED FUNDING:

a. Federal	$ .00
b. Applicant	$ .00
c. State	$ .00
d. Local	$ .00
e. Other	$ .00
f. Program Income	$ .00
g. TOTAL	$ .00

16. IS APPLICATION SUBJECT TO REVIEW BY STATE EXECUTIVE ORDER 12372 PROCESS?

a. YES. THIS PREAPPLICATION/APPLICATION WAS MADE AVAILABLE TO THE STATE EXECUTIVE ORDER 12372 PROCESS FOR REVIEW ON:

DATE ____________________

b. No. ☐ PROGRAM IS NOT COVERED BY E. O. 12372
☐ OR PROGRAM HAS NOT BEEN SELECTED BY STATE FOR REVIEW

17. IS THE APPLICANT DELINQUENT ON ANY FEDERAL DEBT?

☐ **Yes** **If "Yes," attach an explanation.** ☐ **No**

18. TO THE BEST OF MY KNOWLEDGE AND BELIEF, ALL DATA IN THIS APPLICATION/PREAPPLICATION ARE TRUE AND CORRECT, THE DOCUMENT HAS BEEN DULY AUTHORIZED BY THE GOVERNING BODY OF THE APPLICANT AND THE APPLICANT WILL COMPLY WITH THE ATTACHED ASSURANCES IF THE ASSISTANCE IS AWARDED.

a. Type Name of Authorized Representative	b. Title	c. Telephone Number
d. Signature of Authorized Representative		e. Date Signed

INSTRUCTIONS FOR THE SF-424

Public reporting burden for this collection of information is estimated to average 45 minutes per response, including time for reviewing instructions, searching existing data sources, gathering and maintaining the data needed, and completing and reviewing the collection of information. Send comments regarding the burden estimate or any other aspect of this collection of information, including suggestions for reducing this burden, to the Office of Management and Budget, Paperwork Reduction Project (0348-0043), Washington, DC 20503.

PLEASE DO NOT RETURN YOUR COMPLETED FORM TO THE OFFICE OF MANAGEMENT AND BUDGET. SEND IT TO THE ADDRESS PROVIDED BY THE SPONSORING AGENCY.

This is a standard form used by applicants as a required facesheet for preapplications and applications submitted for Federal assistance. It will be used by Federal agencies to obtain applicant certification that States which have established a review and comment procedure in response to Executive Order 12372 and have selected the program to be included in their process, have been given an opportunity to review the applicant's submission.

Item:	Entry:
1.	Self-explanatory.
2.	Date application submitted to Federal agency (or State if applicable) and applicant's control number (if applicable).
3.	State use only (if applicable).
4.	If this application is to continue or revise an existing award, enter present Federal identifier number. If for a new project, leave blank.
5.	Legal name of applicant, name of primary organizational unit which will undertake the assistance activity, complete address of the applicant, and name and telephone number of the person to contact on matters related to this application.
6.	Enter Employer Identification Number (EIN) as assigned by the Internal Revenue Service.
7.	Enter the appropriate letter in the space provided.
8.	Check appropriate box and enter appropriate letter(s) in the space(s) provided: -- "New" means a new assistance award. -- "Continuation" means an extension for an additional funding/budget period for a project with a projected completion date. -- "Revision" means any change in the Federal Government's financial obligation or contingent liability from an existing obligation.
9.	Name of Federal agency from which assistance is being requested with this application.
10.	Use the Catalog of Federal Domestic Assistance number and title of the program under which assistance is requested.
11.	Enter a brief descriptive title of the project. If more than one program is involved, you should append an explanation on a separate sheet. If appropriate (e.g., construction or real property projects), attach a map showing project location. For preapplications, use a separate sheet to provide a summary description of this project.

Item:	Entry:
12.	List only the largest political entities affected (e.g., State, counties, cities).
13.	Self-explanatory.
14.	List the applicant's Congressional District and any District(s) affected by the program or project.
15.	Amount requested or to be contributed during the first funding/budget period by each contributor. Value of in-kind contributions should be included on appropriate lines as applicable. If the action will result in a dollar change to an existing award, indicate *only* the amount of the change. For decreases, enclose the amounts in parentheses. If both basic and supplemental amounts are included, show breakdown on an attached sheet. For multiple program funding, use totals and show breakdown using same categories as item 15.
16.	Applicants should contact the State Single Point of Contact (SPOC) for Federal Executive Order 12372 to determine whether the application is subject to the State intergovernmental review process.
17.	This question applies to the applicant organization, not the person who signs as the authorized representative. Categories of debt include delinquent audit disallowances, loans and taxes.
18.	To be signed by the authorized representative of the applicant. A copy of the governing body's authorization for you to sign this application as official representative must be on file in the applicant's office. (Certain Federal agencies may require that this authorization be submitted as part of the application.)

BUDGET INFORMATION - Non-Construction Programs

OMB Approval No. 0348-0044

SECTION A - BUDGET SUMMARY

Grant Program Function or Activity (a)	Catalog of Federal Domestic Assistance Number (b)	Estimated Unobligated Funds		New or Revised Budget		
		Federal (c)	Non-Federal (d)	Federal (e)	Non-Federal (f)	Total (g)
1.		$	$	$	$	$ 0.00
2.						0.00
3.						0.00
4.						0.00
5. Totals		$ 0.00	$ 0.00	$ 0.00	$ 0.00	$ 0.00

SECTION B - BUDGET CATEGORIES

6. Object Class Categories	GRANT PROGRAM, FUNCTION OR ACTIVITY				Total
	(1)	(2)	(3)	(4)	(5)
a. Personnel	$	$	$	$	$ 0.00
b. Fringe Benefits					0.00
c. Travel					0.00
d. Equipment					0.00
e. Supplies					0.00
f. Contractual					0.00
g. Construction					0.00
h. Other					0.00
i. Total Direct Charges *(sum of 6a-6h)*	0.00	0.00	0.00	0.00	0.00
j. Indirect Charges					0.00
k. TOTALS *(sum of 6i and 6j)*	$ 0.00	$ 0.00	$ 0.00	$ 0.00	$ 0.00
7. Program Income	$	$	$	$	$ 0.00

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Previous Edition Usable

Standard Form 424A (Rev. 7-97)
Prescribed by OMB Circular A-102

SECTION C - NON-FEDERAL RESOURCES				
(a) Grant Program	(b) Applicant	(c) State	(d) Other Sources	(e) TOTALS
8.	$	$	$	$ 0.00
9.				0.00
10.				0.00
11.				0.00
12. TOTAL *(sum of lines 8-11)*	$ 0.00	$ 0.00	$ 0.00	$ 0.00

SECTION D - FORECASTED CASH NEEDS					
	Total for 1st Year	**1st Quarter**	**2nd Quarter**	**3rd Quarter**	**4th Quarter**
13. Federal	$ 0.00	$	$	$	$
14. Non-Federal	0.00				
15. TOTAL *(sum of lines 13 and 14)*	$ 0.00	$ 0.00	$ 0.00	$ 0.00	$ 0.00

SECTION E - BUDGET ESTIMATES OF FEDERAL FUNDS NEEDED FOR BALANCE OF THE PROJECT				
(a) Grant Program	FUTURE FUNDING PERIODS (Years)			
	(b) First	(c) Second	(d) Third	(e) Fourth
16.	$	$	$	$
17.				
18.				
19.				
20. TOTAL *(sum of lines 16-19)*	$ 0.00	$ 0.00	$ 0.00	$ 0.00

SECTION F - OTHER BUDGET INFORMATION	
21. Direct Charges:	22. Indirect Charges:
23. Remarks:	

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INSTRUCTIONS FOR THE SF-424A

PLEASE DO NOT RETURN YOUR COMPLETED FORM TO THE OFFICE OF MANAGEMENT AND BUDGET. SEND IT TO THE ADDRESS PROVIDED BY THE SPONSORING AGENCY.

General Instructions

This form is designed so that application can be made for funds from one or more grant programs. In preparing the budget, adhere to any existing Federal grantor agency guidelines which prescribe how and whether budgeted amounts should be separately shown for different functions or activities within the program. For some programs, grantor agencies may require budgets to be separately shown by function or activity. For other programs, grantor agencies may require a breakdown by function or activity. Sections A, B, C, and D should include budget estimates for the whole project except when applying for assistance which requires Federal authorization in annual or other funding period increments. In the latter case, Sections A, B, C, and D should provide the budget for the first budget period (usually a year) and Section E should present the need for Federal assistance in the subsequent budget periods. All applications should contain a breakdown by the object class categories shown in Lines a-k of Section B.

Section A. Budget Summary Lines 1-4 Columns (a) and (b)

For applications pertaining to a *single* Federal grant program (Federal Domestic Assistance Catalog number) and *not requiring* a functional or activity breakdown, enter on Line 1 under Column (a) the Catalog program title and the Catalog number in Column (b).

For applications pertaining to a *single* program *requiring* budget amounts by multiple functions or activities, enter the name of each activity or function on each line in Column (a), and enter the Catalog number in Column (b). For applications pertaining to multiple programs where none of the programs require a breakdown by function or activity, enter the Catalog program title on each line in *Column* (a) and the respective Catalog number on each line in Column (b).

For applications pertaining to *multiple* programs where one or more programs *require* a breakdown by function or activity, prepare a separate sheet for each program requiring the breakdown. Additional sheets should be used when one form does not provide adequate space for all breakdown of data required. However, when more than one sheet is used, the first page should provide the summary totals by programs.

Lines 1-4, Columns (c) through (g)

For new applications, leave Column (c) and (d) blank. For each line entry in Columns (a) and (b), enter in Columns (e), (f), and (g) the appropriate amounts of funds needed to support the project for the first funding period (usually a year).

For continuing grant program applications, submit these forms before the end of each funding period as required by the grantor agency. Enter in Columns (c) and (d) the estimated amounts of funds which will remain unobligated at the end of the grant funding period only if the Federal grantor agency instructions provide for this. Otherwise, leave these columns blank. Enter in columns (e) and (f) the amounts of funds needed for the upcoming period. The amount(s) in Column (g) should be the sum of amounts in Columns (e) and (f).

For supplemental grants and changes to existing grants, do not use Columns (c) and (d). Enter in Column (e) the amount of the increase or decrease of Federal funds and enter in Column (f) the amount of the increase or decrease of non-Federal funds. In Column (g) enter the new total budgeted amount (Federal and non-Federal) which includes the total previous authorized budgeted amounts plus or minus, as appropriate, the amounts shown in Columns (e) and (f). The amount(s) in Column (g) should not equal the sum of amounts in Columns (e) and (f).

Line 5 - Show the totals for all columns used.

Section B Budget Categories

In the column headings (1) through (4), enter the titles of the same programs, functions, and activities shown on Lines 1-4, Column (a), Section A. When additional sheets are prepared for Section A, provide similar column headings on each sheet. For each program, function or activity, fill in the total requirements for funds (both Federal and non-Federal) by object class categories.

Line 6a-i - Show the totals of Lines 6a to 6h in each column.

Line 6j - Show the amount of indirect cost.

Line 6k - Enter the total of amounts on Lines 6i and 6j. For all applications for new grants and continuation grants the total amount in column (5), Line 6k, should be the same as the total amount shown in Section A, Column (g), Line 5. For supplemental grants and changes to grants, the total amount of the increase or decrease as shown in Columns (1)-(4), Line 6k should be the same as the sum of the amounts in Section A, Columns (e) and (f) on Line 5.

Line 7 - Enter the estimated amount of income, if any, expected to be generated from this project. Do not add or subtract this amount from the total project amount, Show under the program narrative statement the nature and source of income. The estimated amount of program income may be considered by the Federal grantor agency in determining the total amount of the grant.

Section C. Non-Federal Resources

Lines 8-11 Enter amounts of non-Federal resources that will be used on the grant. If in-kind contributions are included, provide a brief explanation on a separate sheet.

Column (a) - Enter the program titles identical to Column (a), Section A. A breakdown by function or activity is not necessary.

Column (b) - Enter the contribution to be made by the applicant.

Column (c) - Enter the amount of the State's cash and in-kind contribution if the applicant is not a State or State agency. Applicants which are a State or State agencies should leave this column blank.

Column (d) - Enter the amount of cash and in-kind contributions to be made from all other sources.

Column (e) - Enter totals of Columns (b), (c), and (d).

Line 12 - Enter the total for each of Columns (b)-(e). The amount in Column (e) should be equal to the amount on Line 5, Column (f), Section A.

Section D. Forecasted Cash Needs

Line 13 - Enter the amount of cash needed by quarter from the grantor agency during the first year.

Line 14 - Enter the amount of cash from all other sources needed by quarter during the first year.

Line 15 - Enter the totals of amounts on Lines 13 and 14.

Section E. Budget Estimates of Federal Funds Needed for Balance of the Project

Lines 16-19 - Enter in Column (a) the same grant program titles shown in Column (a), Section A. A breakdown by function or activity is not necessary. For new applications and continuation grant applications, enter in the proper columns amounts of Federal funds which will be needed to complete the program or project over the succeeding funding periods (usually in years). This section need not be completed for revisions (amendments, changes, or supplements) to funds for the current year of existing grants.

If more than four lines are needed to list the program titles, submit additional schedules as necessary.

Line 20 - Enter the total for each of the Columns (b)-(e). When additional schedules are prepared for this Section, annotate accordingly and show the overall totals on this line.

Section F. Other Budget Information

Line 21 - Use this space to explain amounts for individual direct object class cost categories that may appear to be out of the ordinary or to explain the details as required by the Federal grantor agency.

Line 22 - Enter the type of indirect rate (provisional, predetermined, final or fixed) that will be in effect during the funding period, the estimated amount of the base to which the rate is applied, and the total indirect expense.

Line 23 - Provide any other explanations or comments deemed necessary.

OMB Approval No. 0348-0040

ASSURANCES - NON-CONSTRUCTION PROGRAMS

Public reporting burden for this collection of information is estimated to average 15 minutes per response, including time for reviewing instructions, searching existing data sources, gathering and maintaining the data needed, and completing and reviewing the collection of information. Send comments regarding the burden estimate or any other aspect of this collection of information, including suggestions for reducing this burden, to the Office of Management and Budget, Paperwork Reduction Project (0348-0040), Washington, DC 20503.

PLEASE DO NOT RETURN YOUR COMPLETED FORM TO THE OFFICE OF MANAGEMENT AND BUDGET. SEND IT TO THE ADDRESS PROVIDED BY THE SPONSORING AGENCY.

NOTE: Certain of these assurances may not be applicable to your project or program. If you have questions, please contact the awarding agency. Further, certain Federal awarding agencies may require applicants to certify to additional assurances. If such is the case, you will be notified.

As the duly authorized representative of the applicant, I certify that the applicant:

1. Has the legal authority to apply for Federal assistance and the institutional, managerial and financial capability (including funds sufficient to pay the non-Federal share of project cost) to ensure proper planning, management and completion of the project described in this application.

2. Will give the awarding agency, the Comptroller General of the United States and, if appropriate, the State, through any authorized representative, access to and the right to examine all records, books, papers, or documents related to the award; and will establish a proper accounting system in accordance with generally accepted accounting standards or agency directives.

3. Will establish safeguards to prohibit employees from using their positions for a purpose that constitutes or presents the appearance of personal or organizational conflict of interest, or personal gain.

4. Will initiate and complete the work within the applicable time frame after receipt of approval of the awarding agency.

5. Will comply with the Intergovernmental Personnel Act of 1970 (42 U.S.C. §§4728-4763) relating to prescribed standards for merit systems for programs funded under one of the 19 statutes or regulations specified in Appendix A of OPM's Standards for a Merit System of Personnel Administration (5 C.F.R. 900, Subpart F).

6. Will comply with all Federal statutes relating to nondiscrimination. These include but are not limited to: (a) Title VI of the Civil Rights Act of 1964 (P.L. 88-352) which prohibits discrimination on the basis of race, color or national origin; (b) Title IX of the Education Amendments of 1972, as amended (20 U.S.C. §§1681-1683, and 1685-1686), which prohibits discrimination on the basis of sex; (c) Section 504 of the Rehabilitation Act of 1973, as amended (29 U.S.C. §794), which prohibits discrimination on the basis of handicaps; (d) the Age Discrimination Act of 1975, as amended (42 U.S.C. §§6101-6107), which prohibits discrimination on the basis of age; (e) the Drug Abuse Office and Treatment Act of 1972 (P.L. 92-255), as amended, relating to nondiscrimination on the basis of drug abuse; (f) the Comprehensive Alcohol Abuse and Alcoholism Prevention, Treatment and Rehabilitation Act of 1970 (P.L. 91-616), as amended, relating to nondiscrimination on the basis of alcohol abuse or alcoholism; (g) §§523 and 527 of the Public Health Service Act of 1912 (42 U.S.C. §§290 dd-3 and 290 ee 3), as amended, relating to confidentiality of alcohol and drug abuse patient records; (h) Title VIII of the Civil Rights Act of 1968 (42 U.S.C. §§3601 et seq.), as amended, relating to nondiscrimination in the sale, rental or financing of housing; (i) any other nondiscrimination provisions in the specific statute(s) under which application for Federal assistance is being made; and, (j) the requirements of any other nondiscrimination statute(s) which may apply to the application.

7. Will comply, or has already complied, with the requirements of Titles II and III of the Uniform Relocation Assistance and Real Property Acquisition Policies Act of 1970 (P.L. 91-646) which provide for fair and equitable treatment of persons displaced or whose property is acquired as a result of Federal or federally-assisted programs. These requirements apply to all interests in real property acquired for project purposes regardless of Federal participation in purchases.

8. Will comply, as applicable, with provisions of the Hatch Act (5 U.S.C. §§1501-1508 and 7324-7328) which limit the political activities of employees whose principal employment activities are funded in whole or in part with Federal funds.

9. Will comply, as applicable, with the provisions of the Davis-Bacon Act (40 U.S.C. §§276a to 276a-7), the Copeland Act (40 U.S.C. §276c and 18 U.S.C. §874), and the Contract Work Hours and Safety Standards Act (40 U.S.C. §§327-333), regarding labor standards for federally-assisted construction subagreements.

10. Will comply, if applicable, with flood insurance purchase requirements of Section 102(a) of the Flood Disaster Protection Act of 1973 (P.L. 93-234) which requires recipients in a special flood hazard area to participate in the program and to purchase flood insurance if the total cost of insurable construction and acquisition is $10,000 or more.

11. Will comply with environmental standards which may be prescribed pursuant to the following: (a) institution of environmental quality control measures under the National Environmental Policy Act of 1969 (P.L. 91-190) and Executive Order (EO) 11514; (b) notification of violating facilities pursuant to EO 11738; (c) protection of wetlands pursuant to EO 11990; (d) evaluation of flood hazards in floodplains in accordance with EO 11988; (e) assurance of project consistency with the approved State management program developed under the Coastal Zone Management Act of 1972 (16 U.S.C. §§1451 et seq.); (f) conformity of Federal actions to State (Clean Air) Implementation Plans under Section 176(c) of the Clean Air Act of 1955, as amended (42 U.S.C. §§7401 et seq.); (g) protection of underground sources of drinking water under the Safe Drinking Water Act of 1974, as amended (P.L. 93-523); and, (h) protection of endangered species under the Endangered Species Act of 1973, as amended (P.L. 93-205).

12. Will comply with the Wild and Scenic Rivers Act of 1968 (16 U.S.C. §§1271 et seq.) related to protecting components or potential components of the national wild and scenic rivers system.

13. Will assist the awarding agency in assuring compliance with Section 106 of the National Historic Preservation Act of 1966, as amended (16 U.S.C. §470), EO 11593 (identification and protection of historic properties), and the Archaeological and Historic Preservation Act of 1974 (16 U.S.C. §§469a-1 et seq.).

14. Will comply with P.L. 93-348 regarding the protection of human subjects involved in research, development, and related activities supported by this award of assistance.

15. Will comply with the Laboratory Animal Welfare Act of 1966 (P.L. 89-544, as amended, 7 U.S.C. §§2131 et seq.) pertaining to the care, handling, and treatment of warm blooded animals held for research, teaching, or other activities supported by this award of assistance.

16. Will comply with the Lead-Based Paint Poisoning Prevention Act (42 U.S.C. §§4801 et seq.) which prohibits the use of lead-based paint in construction or rehabilitation of residence structures.

17. Will cause to be performed the required financial and compliance audits in accordance with the Single Audit Act Amendments of 1996 and OMB Circular No. A-133, "Audits of States, Local Governments, and Non-Profit Organizations."

18. Will comply with all applicable requirements of all other Federal laws, executive orders, regulations, and policies governing this program.

SIGNATURE OF AUTHORIZED CERTIFYING OFFICIAL	TITLE

APPLICANT ORGANIZATION	DATE SUBMITTED
	July 16, 2004

ANNEX F: CERTIFICATIONS

CERTIFICATIONS, ASSURANCES, AND OTHER STATEMENTS OF APPLICANT/RECIPIENT[1]

1. ASSURANCE OF COMPLIANCE WITH LAWS AND REGULATIONS GOVERNING NON-DISCRIMINATION IN FEDERALLY ASSISTED PROGRAMS

(a) The applicant/recipient hereby assures that no person in the United States shall, on the bases set forth below, be excluded from participation in, be denied the benefits of, or be otherwise subjected to discrimination under, any program or activity receiving financial assistance from USAID, and that with respect to the award for which application is being made, it will comply with the requirements of:

(1) Title VII of the Civil Rights Act of 1964 (Pub. L. 88-352, 42 U.S.C. 2000-d), which prohibits discrimination on the basis of race, color, or national origin, in programs and activities receiving Federal financial assistance;

(2) Section 504 of the Rehabilitation Act of 1973 (29 U.S.C. 794), which prohibits discrimination on the basis of handicap in programs and activities receiving Federal financial assistance;

(3) The Age Discrimination Act of 1975, as amended (Pub. L. 95-478), which prohibits discrimination based on age in the delivery of services and benefits supported with Federal funds;

(4) Title IX of the Education Amendments of 1972 (20 U.S.C. 1681, et seq.), which prohibits discrimination on the basis of sex in education programs and activities receiving Federal financial assistance (whether or not the programs or activities are offered or sponsored by an educational institution); and

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[1] Rev. 03/25/04

(5) USAID regulations implementing the above nondiscrimination laws, set forth in Chapter II of Title 22 of the Code of Federal Regulations.

(b) If the applicant/recipient is an institution of higher education, the Assurances given herein extend to admission practices and to all other practices relating to the treatment of students or clients of the institution, or relating to the opportunity to participate in the provision of services or other benefits to such individuals, and shall be applicable to the entire institution unless the applicant/recipient establishes to the satisfaction of the USAID Administrator that the institution's practices in designated parts or programs of the institution will in no way affect its practices in the program of the institution for which financial assistance is sought, or the beneficiaries of, or participants in, such programs.

(c) This assurance is given in consideration of and for the purpose of obtaining any and all Federal grants, loans, contracts, property, discounts, or other Federal financial assistance extended after the date hereof to the applicant/recipient by the Agency, including installment payments after such date on account of applications for Federal financial assistance which were approved before such date. The applicant/recipient recognizes and agrees that such Federal financial assistance will be extended in reliance on the representations and agreements made in this Assurance, and that the United States shall have the right to seek judicial enforcement of this Assurance. This Assurance is binding on the applicant/recipient, its successors, transferees, and assignees, and the person or persons whose signatures appear below are authorized to sign this Assurance on behalf of the applicant/recipient.

2. CERTIFICATION REGARDING LOBBYING

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

(1) No Federal appropriated funds have been paid or will be paid, by or on behalf of the undersigned, to any person for influencing or attempting to influence an officer or employee of any agency, a Member of Congress, an officer or employee of Congress, or an employee of a Member of Congress in connection with the awarding of any Federal contract, the making of any Federal grant, the making of any Federal loan, the entering into of any cooperative agreement, and the extension, continuation, renewal, amendment, or modification of any Federal contract, grant, loan, or cooperative agreement.

(2) If any funds other than Federal appropriated funds have been paid or will be paid to any person for influencing or attempting to influence an officer or employee of any agency, a Member of Congress, an officer or employee of Congress, or an employee of a Member of Congress in connection with this Federal contract, grant, loan, or cooperative agreement, the undersigned shall

complete and submit Standard Form-LLL, "Disclosure of Lobbying Activities,"[2] in accordance with its instructions.

(3) The undersigned shall require that the language of this certification be included in the award documents for all sub-awards at all tiers (including subcontracts, sub-grants, and contracts under grants, loans, and cooperative agreements) and that all sub-recipients shall certify and disclose accordingly.

This certification is a material representation of fact upon which reliance was placed when this transaction was made or entered into. Submission of this certification is a prerequisite for making or entering into this transaction imposed by section 1352, title 31, United States Code. Any person who fails to file the required certification shall be subject to a civil penalty of not less than $10,000 and not more than $100,000 for each such failure.

3. CERTIFICATION REGARDING TERRORIST FINANCING

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

1. The Recipient has not provided, and will take all reasonable steps to ensure that it does not and will not knowingly provide, material support or resources to any individual or entity that commits, attempts to commit, advocates, facilitates, or participates in terrorist acts, or has committed, attempted to commit, facilitated, or participated in terrorist acts.

2. Specifically, in order to comply with its obligations under paragraph 1, the Recipient will take the following steps:

a. Before providing any material support or resources to an individual or entity, the Recipient will verify that the individual or entity does not appear (i) on the master list of Specially Designated Nationals and Blocked Persons, which list is maintained by the U.S. Treasury's Office of Foreign Assets Control (OFAC) and is available online at OFAC's website: http://www.treas.gov/offices/eotffc/ofac/sdn/t11sdn.pdf, or (ii) on any supplementary list of prohibited individuals or entities that may be provided by USAID to the Recipient.

The Recipient also will verify that the individual or entity has not been designated by the United Nations Security Council (UNSC) sanctions committee established under UNSC Resolution 1267 (1999) (the "1267 Committee") [individuals and entities linked to the Taliban, Usama bin Laden, or the Al Qaida Organization]. To determine whether there has been a published designation of an individual or entity by the 1267 Committee, the Recipient should refer to the

[2] Available on the internet at: http://www.whitehouse.gov/omb/grants/sflllin.pdf.

consolidated list available online at the Committee's website: http://www.un.org/Docs/sc/committees/1267/1267ListEng.htm.

b. Before providing any material support or resources to an individual or entity, the Recipient will consider all information about that individual or entity of which it is aware or that is available to the public.

c. The Recipient will implement reasonable monitoring and oversight procedures to safeguard against assistance being diverted to support terrorist activity.

3. For purposes of this Certification –

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

b. "Terrorist act" means –

(i) An act prohibited pursuant to one of the 12 United Nations Conventions and Protocols related to terrorism (see UN terrorism conventions Internet site: http://untreaty.un.org/English/Terrorism.asp); or

(ii) An act of premeditated, politically motivated violence perpetrated against noncombatant targets by subnational groups or clandestine agents; or

(iii) Any other act intended to cause death or serious bodily injury to a civilian, or to any other person not taking an active part in hostilities in a situation of armed conflict, when the purpose of such act, by its nature or context, is to intimidate a population, or to compel a government or an international organization to do or to abstain from doing any act.

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

This Certification is an express term and condition of any agreement issued as a result of this application, and any violation of it shall be grounds for unilateral termination of the agreement by USAID prior to the end of its term.

4. DATA UNIVERSAL NUMBERING SYSTEM (DUNS) NUMBER

(a) Applicant/recipient identification is essential for complying with reporting requirements. Therefore, the applicant/recipient is requested to enter, in the space provided below, the Data Universal Numbering System (DUNS) number or "DUNS+4" that identifies the applicant's/recipient's name and address exactly as stated in the application (proposal). The DUNS number is a nine-digit number assigned by Dun and Bradstreet, Inc. The DUNS+4 is the DUNS number plus a 4-character suffix that may be assigned at the discretion of the applicant/recipient to establish additional Central Contractor Registration (CCR) records for identifying alternative Electronic Funds Transfer (EFT) accounts for the same parent concern.

(b) If the applicant/recipient does not have a DUNS number, it should contact Dun and Bradstreet directly to obtain one.

(1) An applicant may obtain a DUNS number—

(i) If located within the United States, by calling Dun and Bradstreet at 1-866-705-5711 or via the Internet at http://www.dnb.com; or
(ii) If located outside the United States, by contacting the local Dun and Bradstreet office.

(2) The applicant/recipient should be prepared to provide the following information:

(i) Organization legal business name.
(ii) Tradestyle, doing business, or other name by which the applicant's/recipient's entity is commonly recognized.
(iii) Organization physical street address, city, state, and Zip Code.
(iv) Organization mailing address, city, state, and Zip Code (if separate from physical).
(v) Organization telephone number.
(vi) Date the organization was started.
(vii) Number of employees at location in (iii) above.
(viii) Chief executive officer/key manager.
(ix) Line of business (industry).
(x) Organization Headquarters name and address (reporting relationship within the applicant's/recipient's entity).

(c) DUNS Number: ____

5. <u>TAXPAYER IDENTIFICATION NUMBER (TIN)</u>

If the applicant/recipient is a U.S. organization, or a foreign organization which has income effectively connected with the conduct of activities in the U.S. or has an office or a place of business or a fiscal paying agent in the U.S., please indicate the applicant's/recipient's TIN:

TIN: ____

6. LETTER OF CREDIT (LOC) NUMBER

If the applicant/recipient has an existing Letter of Credit (LOC) for payment purposes, please indicate the LOC number:

LOC: ____

7. BANKING INFORMATION

If the applicant/recipient has not had a USAID award before, please attach banking information to which payments will be made. Such information should include, at a minimum, bank name, bank address, ABA number, and account number. Unless payment is by Letter of Credit, USAID will make payments via electronic funds transfer. However, USAID's system provides for electronic funds transfers to U.S. banks only. Therefore, if the applicant/recipient is a non-U.S. organization, the applicant/recipient must provide the name and banking information for a U.S. bank that will receive funds on its behalf.

8. POINT(S) OF CONTACT

Please enter the information below for the applicant's/recipient's authorized point(s) of contact:

Name	Title	Telephone No.	Fax No.	E-Mail Address

9. SIGNATURE

By signature hereon, or on an application/proposal incorporating these Certifications, Assurances, and Other Statements of Applicant/Recipient, the applicant/recipient represents that: (a) they are accurate, current and complete; (b) the person signing below is authorized to sign on behalf of the applicant/recipient; and (c) the applicant/recipient is aware of the penalty prescribed in 18 U.S.C. 1001 for making false statements in applications/proposals.

Solicitation No. (If Applicable)____

Application/Proposal Title ____

Application/Proposal No. (If Applicable) ________________________________

Date of Application/Proposal ____

Name of Applicant/Recipient ____

Typed or Printed Name and Title ____

Signature ____ Date _____________

ANNEX G: PROGRAM UPDATE EXAMPLES

Program updates can be informal and should keep USAID/OFDA apprised of any developments that might impact the program. Several examples of program updates follow:

Example 1:

Update on Helping Hand Water/Sanitation Program in Alphabetland
Submitted to USAID/USAID/OFDA on 8/25/02

As stated in Grant AOT-G-00-70-00444-00, the objective of the program is to increase water availability for the drought-affected residents of Beta City. The Expected Result is an increase in the provision of water from 8.2 l/p/d, as found in the baseline survey, to an estimated 15 l/p/d. The result is to be reached through the construction of a dam and establishment of a village water committee to maintain the dam and collect fees for the water.

Constraints:

1. Although the initial digging has been completed, work on the water troughs for livestock has been temporarily suspended due to several days of unseasonably heavy rains. We anticipate that we will resume work next week and that we should not experience any substantial delay in the completion of the program.
2. The locally-hired supervisor for the project had to be fired due to suspicions that he was using the project to benefit his family members at the expense of the rest of the community. The Country Director is currently on site to recruit a new supervisor. This process should be completed within the next two days.

Helping Hand will keep USAID/OFDA apprised of any future developments that impact the program or cause additional delays to its completion.

Example 2:

Update on OFDA-funded Nutrition Unit Activities

This update covers activities carried out by the Nutrition Unit between January - August 2000.

National Consultants

- The two national consultants signed 6-month contracts with Helping Hand on January 12.
- The candidate selected for Charlie City accepted the offer and has gone through the medical clearance. Contract should be signed within the next two weeks.
- The candidate selected for Delta City turned down the offer and the position has been re-advertised.

The International Consultant

Helping Hand has made progress in recruiting an international consultant. Dr. Will Weigh is expected to sign a 6-month contract by the end of August.

Nutrition Guidelines

The Nutrition Unit chaired a task force meeting on April 11, 2001 and proposed the revision of the 1972 national nutrition guidelines. Experienced technical nutritionists from NGOs and agencies were charged with the task of updating the guidelines by early May.

A workshop to review the first draft of the guidelines was conducted on May 18-19. Participants included nutritionists from relevant UN agencies, NGOs, and the MOH. The final guidelines will incorporate recommendations and issues discussed at the two workshops and should be ready for release by early October.

Major recommendations put forward by the participants:

1. Disseminate the guidelines as widely as possible
2. Develop a full training package in order to institutionalize the guidelines
3. Organize a PR campaign to familiarize high-level officials from government offices, UN agencies and NGOs with the guidelines
4. Develop a manual for the management of nutrition programs

Nutrition Training Manual

The Nutrition Unit is in the process of finalizing a training manual on basic nutrition concepts and assessment of nutrition in emergencies for Alphabetland. The new guidelines are being used as the main reference for preparing the training manual.

Alphabetland Nutrition Data Base

The Nutrition Unit has developed a means by which the MOH can meet its needs for a central information system that handles nutrition related information. The database will help in the coordination of emergency assistance and decision-making in emergencies. The Nutrition Task Force members received an introduction to how the database operates at a meeting held on July 20, 2000. The Alphabetland Nutrition Database (AND) system is now in its testing phase, with two users currently active. The unit disseminates nutrition survey reports from different sources to all stakeholders. This is being done as survey reports are received from agencies and NGOs.

Training

The Nutrition Unit conducted the following training for MOH staff in order to build the technical capacity of staff at the federal, regional, and zonal levels to collect, review, and use nutrition related information:

- Nutrition Assessment training for 19 government staff. The training was followed by fieldwork and training on nutritional report writing.
- Database management training for 13 government staff.

Future plan (September – December 2000)

- Finalize the training manual on basic nutrition concepts and assessment of nutrition in emergencies for Alphabetland
- Train the regional-level nutritionists on nutritional assessment in emergencies and report writing
- Finalize Guidelines
- Prepare the final Results Report and transfer unit activities to Ministry of Health.

Example 3:

From: Jane Doe
Sent: Monday, July 29, 2002 12:03 PM
To: USAID/OFDA Disaster Operations Specialist John Smith
Subject: Update on Security in Alphabetland
Hi John--

I just wanted to pass on to you this information about security in our program area (Charlie City) in Alphabetland, for your information in case you haven't heard about this latest fighting. Our organization, Helping Hand, is considering keeping many of its staff in Beta City until things cool down again in Charlie City. Our Country Director is still based in Delta City. Fighting is apparently near to our staff house in Charlie City, but we have fortunately no injuries to report.

Best wishes,
Jane Doe

-----Original Message-----
From: Jill Hill
Sent: Monday, July 29, 2002 8:19 AM
To: Helping Hand Headquarters
Subject: Charlie City

Jane,
Latest update is bad fighting again.
See attached latest IRIN report.
Our staff is okay. Our expatriate staff was in Beta City when violence broke out and they will stay there the rest of this week.
UN reports that both sides are running out of ammunition, so things should calm down in a few days.

Regards, Jill

ANNEX H: CONTEXT–SPECIFIC PROGRAMMING

All populations function within specific natural and social environments that are highly interactive. Every disaster disrupts those natural and social environments differently according to a wide range of variables. Impacts of disasters on affected populations include death, displacement, impaired health, violence and persecution on the grounds of gender and ethnicity, damage or destruction of productive assets and the natural resource base; breakdown of family and community organization; and loss of purpose, self-esteem, identity, and self-reliance. To be effective, relief programs must identify and address the differential effects of a disaster on the male and female adults, adolescents, and children. Goods and services should be provided in ways that bolster, rather than undermine, the ability of individuals, households and communities to deal with and recover from crisis.

The principles outlined below are designed to help USAID/OFDA's implementing partners better tailor their programs to the unique context of every disaster, by incorporating information on a variety of issues that may influence the planning, implementation, and impact of a proposed intervention. The types of information that should be included will vary for every disaster. The aim is not to include volumes of background information with each proposal, but to identify and address succinctly throughout the proposal analysis the various characteristics of a given disaster situation that bear on the proposed intervention.

The desire for rapid response does not automatically preclude the need to address context-specific issues from the very onset of a disaster. Understandably, however, during crisis situations, and in areas where an organization has a short history of operation, the capacity to provide comprehensive context analysis may be limited. Additionally, in some settings, political sensitivities will preclude the mention by name of specific ethnic groups, for example.

1. **International partners have the responsibility to identify how populations function and organize themselves in non-disaster periods and show this relevance to disaster programming.**

   Organizations shall demonstrate the relevance to their proposed activities by addressing the following characteristics during non-disaster periods.

   - Demographic variation within the affected population according to gender, age, ethnicity, and socio-economic status.

   - Social and economic networks and organization of the affected population.

   - Relations between the political and the economic power that shape the structure and affect the functioning of local populations (e.g., between males and females; state-sanctioned and traditional leadership; various ethnic groups; regions and the nation; the affected nation and other nations).

- Connections between the affected population(s) and the local ecosystem and natural resources.

2. **The design and implementation of relief programs shall address the range of observed and potential effects of the disaster on affected population(s).**

- The impacts of the disaster on the capacities and needs of the affected population(s) according to gender, age, ethnicity, and socio-economic status.

- Effects of the disaster on the social and economic networks, and the organization of the affected population(s).

- Disaster-induced shifts in economic, political, and social power among the affected population(s).

- Impacts of the disaster on the local ecosystem and on the capacity of the affected population to access and utilize natural resources.

3. **International partners have the responsibility to identify and address the impact of their proposed activities on disaster-affected populations.**

- Proposals shall incorporate specific references to relevant lessons learned from previous disaster situations and/or development programs in the affected area.

- Recipient organizations shall describe the potential short- and long-term impacts (both positive and negative) of their proposed interventions on the health and welfare of the affected population(s) and the environment. For example: What are the anticipated impacts of relief food distribution on health, local and regional agricultural productivity, markets, and power relations among members of a household?

ANNEX I: SAMPLE MONITORING TOOLS

Field Monitoring Key Themes and Questions

Name:	**Implementing Partner:**	**Date:**
Program:	**Location of site visit:**	**Program cost and duration:**

Key Themes and Questions for Consideration

Please note this tool was designed to complement Performance Monitoring Plans (PMP); User should have a PMP on hand so that the objectives, expected results, activities and indicators may be easily referenced.

Project Status	Is the program on schedule? What are the key accomplishments? What are the constraints and challenges?	
Changes in context	Has the context changed due to any social, political, economic or environmental factors? How might identified changes affect the program implementation, targeting and impact?	
Beneficiary data (targeted and reached)	Who is being reached? Is this according to objectives? Are there any highly vulnerable groups being overlooked? (women, children under 5, the disabled, adolescents, elderly, etc.)	

Program rationale, design and implementation	What needs assessments were used to develop the program? Are any assessments underway? Is this a good use of USAID/OFDA resources? Is the project relevant, meeting a critical need? Is the project effective and efficient? (appropriate targeting, timely delivery of services, low-cost, etc.) Is the project culturally sensitive and accepted? Has program caused any tensions or problems at the local or national level? Among other aid agencies? If so, why?	
Stakeholder / Beneficiary involvement	Are beneficiaries involved to the greatest extent possible? How do they feel about the project? Where is there evidence of effective participation? Is there a sense of program ownership within the community? Does the project discriminate against a group or gender? Does partner and/or do beneficiaries have suggestions to improve program reach and effectiveness?	

Livelihoods / Coping Mechanisms	How does the population access and use resources under normal circumstances? Will this project support or disrupt these traditional systems? What are the primary economic activities in the affected area? What are the main household assets? Has access (geographic and/or economic) to markets been hampered?	
Coordination and Coverage	Who is doing what in the affected area and region? Do needs appear to be covered? Is information being readily shared? Among whom?	
Security and Accessibility	Are there security concerns? If so, what, where and why? Are sites accessible for the delivery of services/relief? Is the security situation affecting partners' ability to monitor?	
Partner Performance	How is coordination and information sharing taking place? Are there any problems? Are partners respectfully implementing project in an inclusive, transparent way? How are they monitoring? Are they using a plan?	

	Are partners frequently communicating with USAID/OFDA on an informal basis (“program updates) and reporting on schedule? Do they seem motivated?	
Exit strategy	What are the beneficiaries’ views of the program’s future? Who will assume responsibility for the continuation of project activities once USAID/OFDA funding ends? What are others in the aid community doing in the region? Does the project complement these endeavors? Is the project in keeping with USAID Missions’ strategic plans?	
General observations / Recommend-dations		
Follow up action		

Sample Performance Monitoring Plan

Implementing Organization: **Program Title:** **Cost and Duration:**

<table>
<tr><td colspan="4">OBJECTIVE 1:</td></tr>
<tr><td colspan="2">Expected Result 1.1</td><td colspan="2">Performance Indicators (Linked to each ER or for each activity, # of indicators will vary)</td></tr>
<tr><td colspan="2" rowspan="3"></td><td>Indicator (1)</td><td>Indicator Definition</td></tr>
<tr><td>Indicator (2)</td><td>Indicator Definition</td></tr>
<tr><td>Indicator (3)</td><td>Indicator Definition</td></tr>
<tr><td>Activity A</td><td>Performance Baseline</td><td colspan="2" rowspan="2">Data Source(s) and Collection Frequency:</td></tr>
<tr><td rowspan="7"></td><td>(Provide baseline data that justifies the need for each activity)</td></tr>
<tr><td>Activity Target</td><td colspan="2" rowspan="4">Person(s) responsible for data collection:</td></tr>
<tr><td></td></tr>
<tr><td>Beneficiary Data</td></tr>
<tr><td>(who is expected to benefit?)</td></tr>
<tr><td>Activity Timeline</td><td colspan="2" rowspan="2">Data utilization and dissemination plan to enhance performance: (How will the data be used and integrated into activities? What is the reporting schedule?)</td></tr>
<tr><td></td></tr>
</table>

Definition of Terms

Objective

- This is the larger aim of the program which is achieved through the success of the expected results. Eg. Decreased mortality rates among children under 5.

Expected Result(ER)

- This is what one expects to achieve as the outcome(s) of one or more activities. There may be one ER for each activity, or the results of several activities combined may add up to one ER. The ER should be measurable by using good indicators, with a clear cause-effect relationship (though there will always be some assumptions made).

Performance Indicator

- A performance indicator is a simple measurement used to gauge change and/or program progress. Indicator selection should follow the guidance provided in USAID/OFDA's proposal guidelines, and should be very closely correlated to the activities. Example: Training activity X indicator = # of people trained, or % of trainees who have in some way applied new skills.

Performance Baseline

- This refers to the starting point from which progress will be measured, and should reflect the current context at the onset of the program. Baseline data justifies why a particular activity was conceived, and it may be adjusted once a partner is awarded a grant and begins implementation.

Beneficiary Data

- This refers to the intended beneficiaries. Who will be served by the project? There may be primary and secondary beneficiaries. Best estimates will suffice, especially for mitigation activities, and it is possible to respond "not applicable" for some programs, such as capacity building programs, so long as a justification is provided.

Data Source/Collection Frequency

- Data source refers to where/how partners will gather information. It could be from key informant interviews, surveys, hospital records, etc. Collection Frequency is simply the plan for how often data will be collected. For example, what is the schedule for site visits?

Person Responsible

- Someone should be identified as the primary person to undertake the task of data collection.

Data utilization and dissemination

- Partners should consider how they plan to use the data, and to make a note of the schedule of reporting for adhering to deadlines.