COMMON REQUIREMENTS

REVISION DATE: <mark>FEBRUARY 14, 2023</mark>

The following changes have been made to the *Guidelines* since the October 2022 release. Applicants must incorporate these changes into their applications. The most recent changes are listed first and marked in <mark>yellow highlighting</mark> in the text.

Date of Change	Section	Change
Feb 14, 2023	10.3.4. Electronic Payment Requirement	Entire section is new. References updated throughout.
Nov 28, 2022	12.12.2. List of High-Risk Environments	Added Democratic Republic of the Congo and Haiti.
Oct 12, 2022	11.3.2.Pesticides	Interim instructions for Pesticide Request Form. Reflected in Checklist of Required Elements.
Oct 5, 2022	4.1.2. For Fixed Amount Awards	Milestone Plan must be in table format. Minor clarifying language.
Oct 5, 2022	8.2. Checklist of Required Elements	Added requirement for Milestone Plan if applying for a Fixed Amount Award.
Oct 5, 2022	15.3.1. Funded Modifications	Added requirement for a revised Milestone Plan if modifying a Fixed Amount Award.

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PREPARE

1.INTRODUCTION

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

These *Guidelines* apply to applications for non-competitive awards that may include activities focused on urgent emergency response, early recovery, or disaster risk reduction (DRR). These *Guidelines* do not cover the full spectrum of programmatic activities BHA may support. For further information on how to partner with BHA, visit BHA's [Partner With Us](#) webpage.

BHA maintains flexibility when responding to emergency situations and may issue modified application submission requirements for a specific disaster. If application submission requirements change, BHA will notify applicants through the [BHA Emergency Application Guidelines (EAG)](#) webpage (BHA EAG Page).

For competitive awards, including multi-year activities and resilience-focused activities, BHA will issue a separate Notice of Funding Opportunity (NOFO) with detailed requirements. The NOFO will state the aspects of these *Guidelines* that may apply to a particular NOFO solicitation.

The *Guidelines*, mandatory technical reference documents, the Checklist of Required Elements, sample formats, information bulletins, and other reference materials are located on the BHA EAG Page. BHA may amend these *Guidelines* due to changes in regulations, policies, or as deemed necessary. In such cases, BHA will notify applicants through the BHA EAG Page, NGO consortia, the Food Aid Consultative Group (FACG), and other appropriate fora. We also encourage you to visit the BHA EAG Page frequently for updated information.

BHA welcomes feedback regarding the *Guidelines*, submitted via bha.guidelines@usaid.gov.

1.1. OVERVIEW OF THE APPLICATION GUIDELINES COMMON REQUIREMENTS

BHA's *Emergency Application Guidelines* are three core documents, with supplemental guidance and resources provided on the BHA EAG Page, which is linked at the bottom of every page of this document.

The three core documents of BHA's *Guidelines* are:

- *Common Requirements*
- *Sector Requirements*
- *Indicator Handbook*

The *Common Requirements* apply to all applications for new funding and award modifications. The document is organized to align with the BHA award cycle, as follows:

1. Prepare

Sections 1 through 7 of the *Common Requirements* provide an introduction to BHA, information for all potential applicants, and information specific to applicants who have never received USAID funding, or have not received other U.S. Government funding in the past five years.

2. Apply

Sections 8 through 12 describe the requirements for all applications for new funding submitted under these *Guidelines*.

3. Implement

Sections 13 through 15 of the *Common Requirements* describe some of the requirements you should expect if your application is funded. The information provided in these sections is for your awareness only. If your application is funded, the award agreement will detail the terms and conditions applicable to your award and will always supersede these *Guidelines*. Sections 13 through 15 describe some instances when you are required to submit an additional request for BHA approval, including requests for funded and unfunded award modifications.

4. Report

Section 16 describes the programmatic reporting requirements you can expect if your application is funded.

1.2. USAGE NOTES

Use the following tools to more efficiently access the contents of the *Common Requirements*.

- Record of Change: Review the Record of Change for changes between major revisions. Between major revisions, new or edited passages are highlighted in yellow.
- Table of Contents: Clicking on any line in the Table of Contents will take you to that section of the document.
- Section Links: When another section of the *Guidelines* is referenced, click on it to jump to that section.
- Footer: Links to the Table of Contents and to the BHA EAG Page are in the footer of every page of the document.
- Ctrl + F allows you to search for specific words.
- To display the left column document outline, click *View* > *Show Outline*.
- Each heading in the text of a Google Doc has its own URL. This allows you to click on the heading and copy the URL to reference sections easily with colleagues and BHA staff.

1.3. BEFORE YOU APPLY

Prior to beginning an application, you should:

- Contact BHA field-based staff or headquarters staff (for global activities or for countries with no BHA in-country representation) to discuss your intended approach and your interest in submitting an application. A list of BHA's regional contacts is available on the USAID website.
- Familiarize yourself with the *Guidelines* by reviewing the *Common Requirements*, *Sector Requirements*, and *Indicator Handbook* as well as other guidance and resources provided on the BHA EAG Page.
- Familiarize yourself with standard USAID terminology found in ADS 201 and the USAID Glossary of ADS Terms. BHA uses this standard terminology, including the use of the term intervention to describe actions and implementation details, activity to encompass all programmatic interventions under an award, and the terms goal and purpose.
- Consider submitting a Concept Paper first. Although not required, you may find it useful to discuss a brief Concept Paper with BHA staff before you undertake a full application. See Concept Papers for more information.
- Ensure you have a Unique Entity Identifier (UEI) number and an active System for Award Management (SAM) registration; an expired SAM registration will delay the application process. Your planned sub-awardees must also have a UEI, but do not need SAM registration.
- Ensure you have access to BHA's Application and Award Management Portal (AAMP). If you do not have existing AAMP credentials, refer to Section 5, Additional Resources And Tools, for more information.

2. GUIDING PRINCIPLES, POLICIES, AND LEGISLATIVE REQUIREMENTS

This section describes the policy and legislative framework that guides BHA response strategies, funding decisions, and rule-making. The information in this section is provided for context only and is not required for your application. If your application is successful, the award agreement will include requirements from the sources described below. The terms of your award will supersede these *Guidelines*.

2.1. BHA's MISSION

BHA's mission is to save lives, alleviate human suffering, and reduce the impact of disasters by helping people in need become more self-reliant. BHA also implements USAID's mandate as the lead U.S. Government coordinator for international disaster responses.

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

2.2. PRINCIPLED HUMANITARIAN ACTION

BHA is committed to taking actions that uphold and are consistent with the four humanitarian principles of humanity, neutrality, impartiality, and independence. For further details, see the background paper on humanitarian principles produced by the UN Office for the Coordination of Humanitarian Affairs (OCHA).

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

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

2.3. U.S. GOVERNMENT COMMITMENTS

2.3.1. THE GRAND BARGAIN

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

BHA encourages applicants to adopt policies and practices that put more assistance into the hands of affected populations and improve the collective effectiveness of the humanitarian system. To this end, BHA is committed to:

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

2.3.2. SENDAI FRAMEWORK FOR DISASTER RISK REDUCTION

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

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

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

2.4. LEGISLATIVE FRAMEWORK AND FUNDING AUTHORITIES

An overarching legislative framework guides BHA's work, providing BHA with the necessary authorities to provide funding and resources through a range of modalities.

These *Guidelines* provide this framework for your awareness only; you do not need to specify which act(s) your application falls under.

2.4.1. FOREIGN ASSISTANCE ACT

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

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

2.4.2. FOOD FOR PEACE ACT

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

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

2.4.3. CODE OF FEDERAL REGULATIONS

The Code of Federal Regulations (CFR) is a codification of the general and permanent rules and regulations pertaining to federal assistance.

If your application is funded, all U.S. NGOs must adhere to 2 CFR 200, Uniform Administrative Requirements, cost principles, and audit Requirements for Federal Awards, also known as the Office of Management and Budget Uniform Guidance (OMBUG). 2 CFR 700 is USAID's supplemental regulation to 2 CFR 200, and includes USAID-specific exceptions and additions to 2 CFR 200. For example, 2 CFR 700 includes USAID's letter of credit advance payment mechanism, includes termination or suspension of awards when such assistance would not be in the U.S. national interest or would be in violation of U.S. law, and includes USAID's branding and marking requirements. While the OMBUG only applies to U.S. organizations, USAID has applied

many of its requirements to non-U.S. entities via the Standard Provisions that accompany ADS 303, described in Additional Resources and Tools below.

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

22 CFR 216 Agency Environmental Procedures is the federal regulation that specifies USAID's pre-implementation Environmental Impact Assessment process. While most emergency programming is exempt per ADS 204, this exemption is not applicable to assistance for the procurement or use of pesticides, per 22 CFR 216.2.(e) See 11.3.2. Pesticides and Pesticide-Containing Materials.

3. BHA PROGRAMMATIC PRIORITIES AND TIMEFRAME

Subject to and within the parameters of the above legislative and policy framework, BHA may fund emergency, early recovery, and DRR activities under these *Guidelines*.

3.1. BHA FUNDING PRIORITIES UNDER THESE GUIDELINES

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

- Urgent humanitarian response activities should respond early, protect lives and livelihoods, reduce the impact of disasters on vulnerable populations, and help households and communities maintain their assets and their capacities for recovery.
- Early recovery activities capitalize upon and protect opportunities for communities to restore and improve systems impacted by disasters and maintain markets, service delivery, and supportive social networks after a crisis has occurred.
- DRR interventions, either as a stand-alone activity or through integration within or across sectors, focus on preventing new and reducing existing disaster risk.

3.2. SECTORS

BHA will fund the following sectors under these *Guidelines*.

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

● Humanitarian Policy, Studies, Analysis, or Applications	● Water, Sanitation, and Hygiene

Your application must break out sectors into sub-sectors, which are pre-defined sub-categories of interventions under each sector. The *Sector Requirements* contain detailed technical guidance for each BHA sector and sub-sector. Interventions under a given sector may contribute to a single sector purpose (e.g., a Health-only activity) or a multi-sectoral purpose (e.g., food security) discussed further in Section 8, Application Submission and Content.

3.3. EMERGENCY FOOD SECURITY PROGRAMMING

BHA supports emergency food security programming under these *Guidelines* as a purpose as defined in Section 8, Application Submission and Content. While food security programming often requires integrated, multi-sectoral approaches to address the interconnected drivers of hunger and malnutrition, BHA recognizes that sometimes a single sector intervention may also be appropriate to meet the urgent food security needs of affected populations. The Foreign Assistance Act and the FFP Act authorize USAID to provide critically needed resources—including agriculture commodities from the United States, LRIP, cash transfers for food, and food vouchers—to strengthen food security and protect nutrition around the world.

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

Applications for food security activities should clearly be articulated in the application's purpose statement and must include food security indicators to measure progress towards achieving the purpose. You must also clearly tag a food security purpose in your Activity Summary Table as discussed further below in Section 9.1., Activity Summary Table.

BHA considers utilization to be a critical pillar in food security and integral to the design of emergency programs. Utilization is a core pillar that is essential to achieving life-saving assistance, meeting the nutritional needs of target populations, preserving the future productivity of societies in crisis, and achieving food security objectives. Utilization encompasses diet quality and diversity, the promotion of balanced diets, optimal and appropriate infant and young child feeding practices, and may include the management of malnutrition in vulnerable groups, including adolescent girls, pregnant and lactating women, and young children. When developing a food security purpose and intervention approach, you should carefully consider utilization, which includes nutrition and links food security to the Health and WASH (Water, Sanitation, and Hygiene) sectors.

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

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

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

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

3.4. CROSS-SECTORAL ELEMENTS

Several technical areas are not specific to a particular sector or sub-sector, but are applicable across sectors, sub-sectors, modalities, and interventions. All applications for BHA funding must include in the Technical Activity Narrative sector-specific information regarding Safe Programming, Gender Analysis and Integration, Gender-Based Violence Risk Mitigation, and Age and Disability. Sector-specific information for each of the other cross-sectoral elements is required if applicable to your proposed sectors. *Sector Requirements* Section 2, Cross-Sectoral Guidance, provides detailed guidance for each cross-sectoral element.

Required for all applications	Required if applicable
- Safe Programming - Gender Analysis and Integration - Gender-Based Violence Risk Mitigation - Age and Disability	- Local Capacity-Building - Disaster Risk Reduction Mainstreaming - Modality Analysis - Construction, Alteration, or Repair of Structures/Infrastructure - Natural Resource Management - Greening of Humanitarian Assistance and Environmental Safeguards and Sustainability

3.5. ACTIVITY DURATION AND TIME-BOUND REQUIREMENTS

Applicants must propose a timeframe for the proposed activity based on the needs assessment. While activities will generally be for 12 months or less, BHA may support longer-term activities if they fall within the priorities in Section 3.1, BHA Funding Priorities Under These Guidelines.

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

Several application requirements vary depending on the duration of the activity proposed. See Section 8, Checklist of Required Elements for New Applications and Section 12.7, Monitoring and Evaluation Plan.

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

4. ELIGIBILITY INFORMATION FOR APPLICATIONS UNDER THESE GUIDELINES

ELIGIBLE APPLICANTS

Generally speaking, almost any organization is eligible to work with USAID.

For IDA resources, applicants must be a U.S. or non-U.S. NGO including private voluntary organizations (PVOs). USAID defines an NGO as any nongovernmental organization or entity, whether non-profit or profit-making, including hospitals, universities, and for-profit corporations.

For Title II emergency resources, applicants must be a PVO or a cooperative. USAID defines a PVO as a U.S. private voluntary organization, international private voluntary organization, or a local private voluntary organization as defined in 22 CFR 203.2, including U.S. and non-U.S. nonprofit NGOs as defined in Section 402 of the FFP Act; and per ADS 303, Grants and Cooperative Agreements to Non-Governmental Organizations.

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

USAID will not accept applications based on these *Guidelines* from individuals, parastatal organizations, or U.S. Government departments and agencies.

4.1. ADDITIONAL REQUIREMENTS FOR NEW APPLICANTS

If your organization has not received funding from the U.S. Government within the past five years or has never received a grant, cooperative agreement, or contract from USAID, you must complete the additional requirements described below, per USAID policy in ADS 303.3.9, prior to USAID making an award. This requirement does not apply to Fixed Amount Awards.

As for all applicants, you must ensure that you have a UEI and an active SAM registration. SAM is managed by the General Services Administration and is the official website for registering to do business with the Federal Government. Instructions and informational resources for organizations registering for the first time are available on the website. The SAM registration process may take many weeks to complete, so you should begin the process early. You must also have a reputable bank account with a U.S. correspondent bank to receive payments from USAID.

4.1.1. FOR GRANTS AND COOPERATIVE AGREEMENTS

If your organization has not received U.S. Government or USAID funding in the past five years for grants or cooperative agreements, pursuant to ADS 303.3.9.1, BHA is required to conduct a pre-award survey to assess the risk in providing your organization federal funding. The purpose of the survey is to determine whether a prospective recipient has the necessary organization, experience, accounting and operational controls, and technical skills to achieve the objectives of the program. You should take this into account during the application process. A pre-award survey can occur before, during, or after applying for BHA funding. BHA will contact organizations before performing a pre-award survey.

As part of the pre-award survey, you must include information demonstrating the organization's ability to meet requirements and award conditions in ADS 303.3.9.1, ADS 303maa, and ADS 303mab. This includes areas such as accounting, recordkeeping, and overall financial management systems; system of internal controls; personnel policies; travel policies; property management system; sub-award administration and monitoring; procurement; record retention policies; and program performance monitoring and reporting.

4.1.2. FOR FIXED AMOUNT AWARDS

A fixed amount award is a type of assistance award where USAID provides support payable upon the achievement of pre-agreed milestones, without regard to actual costs

incurred. ([ADS 303saj](#)) A fixed amount award is appropriate for supporting activities with very specific and defined elements, when USAID can reasonably estimate the actual overall cost associated with the effort and can define accomplishments of the award through milestones. USAID can use a fixed amount award to fund an organization that has never received U.S. Government funding, as this type of award reduces some administrative burden and record-keeping requirements. However, fixed amount awards require additional due diligence. For fixed amount awards, you must include information demonstrating that your organization can meet various award conditions by addressing all pre-award risk assessment determination criteria listed under ADS 303mak [Fixed Amount Award Entity Eligibility Checklist](#). Contact BHA staff prior to submitting a Concept Paper or application if your organization is interested in pursuing a fixed amount award.

Under fixed amount awards, USAID pays your organization a set amount when you accomplish a proposed milestone. Milestones are verifiable products, tasks, deliverables, or goals completed by your organization. BHA staff will work with you to develop and submit a proposed Milestone Plan. BHA will review the plan to verify your organization has the capacity to complete deliverables and successfully implement the program as designed. The Milestone Plan must be in table format and will generally have four parts:

- Milestone: The product, task, deliverable, or goal your organization plans to accomplish;
- Verification: How your organization will document the completion of the product, task, deliverable, or goal for USAID to verify. This may include written documents or other deliverables to ensure that activities are completed;
- Fixed Amount: The amount USAID will pay your organization for each milestone and for the entire award; and
- Completion Date (if applicable): The expected completion date for each milestone and for the entire award. You can discuss with BHA staff whether milestones should be sequential or whether the milestones' timing should be flexible.

When developing milestones, consider that USAID source and nationality rules for procurement (22 CFR 228, ADS 310, and ADS 312) only apply when the purchase of equipment or supplies is itself the milestone, unit price, or payment at completion, and such purchase is specifically named in that milestone. Items that are incidental to the completion of a milestone are not deemed "financed" by the award as long as those costs were part of the estimate upon which the total amount of the award was negotiated ([ADS 303saj](#)). BHA will review the proposed milestone plan to confirm that it is realistic for the program being proposed.

5. ADDITIONAL RESOURCES AND TOOLS

The following sources provide more information on how USAID meets our regulatory and policy obligations. These *Guidelines* provide this information for your awareness only.

5.1. AUTOMATED DIRECTIVES SYSTEM

The ADS describes USAID's organization and functions, along with the policies and procedures that guide the Agency's programs and operations. The ADS is continuously updated to align USAID's policies with the latest federal regulations, Administrator policy statements, and other overarching guidance. ADS 303 contains internal guidance, policy directives, required procedures, and standards for the award and administration of USAID grants and cooperative agreements. ADS Reference 303maa Standard Provisions for U.S. Nongovernmental Organizations sets forth the Standard Provisions which the Agency must include in awards. ADS Reference 303mab details the Standard Provisions for Non-U.S. Nongovernmental Organizations.

5.2. ADDITIONAL BHA GUIDANCE DOCUMENTS

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

5.3. APPLICATION AND AWARD MANAGEMENT PORTAL

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

If your award is funded, you will also be required to submit financial and programmatic reports in the Award Results Tracking (ART) module of AAMP.

6. GENERAL FORMATTING INSTRUCTIONS

You must complete all documents per the following:

1. You must write all documents in English or submit the documents with English translations. If you submit a document in both English and another language, each

document must state that the English language version is the controlling version. ([ADS 303.3.20](#));

2. General text in all documents must be single-spaced and in 12-point Arial font. Text in tables or charts may be 8-, 10-, or 12-point Arial font;
3. Narratives must be
   a. Microsoft Word or a compatible equivalent and saved in Word 2000 or newer versions,
   b. Print areas set to 8.5 x 11 inch letter-sized paper,
   c. One-inch margins,
   d. Left justification, and
   e. A header or footer on each page including
      i. Page number,
      ii. Date of submission or revision,
      iii. Proposed country, and
      iv. Your organization's name;
4. You must label all documents as either an *original* or *revised* submission in the file name and if possible, in the header;
5. Spreadsheets must be
   a. Microsoft Excel or a compatible equivalent and saved in Excel 2000 or newer versions, and
   b. Print areas set to 8.5 x 11 inch letter-sized paper;
6. All signed documents must be submitted as PDF files. You may also submit other official documents, memoranda, and certifications as PDF files;
7. All documents, including budgets, must be in a print-ready format; and
8. All costs must be in U.S. dollars (USD) rounded to the nearest dollar.

7. CONCEPT PAPERS

You are not required to submit a Concept Paper prior to submitting a full application. BHA strongly encourages Concept Papers and BHA staff may request a Concept Paper to quickly understand a potential activity, but you may choose to submit a full application at any time.

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

7.1. SUBMISSION PROCESS

If you decide to submit a Concept Paper, you must submit it via the BHA AAMP. (Refer to Section 5, Additional Resources and Tools, for more information regarding AAMP

registration.) BHA will not accept emailed, hard copy, or faxed Concept Papers, except in extenuating circumstances.

AAMP will send an auto-notification when your Concept Paper is under review. BHA will provide a written response on the outcome of the review to the field contact listed on the cover page of your submission. BHA may recommend that you submit a full application, notify you that BHA is not interested in the proposed concept at this time, or request that you submit a revised Concept Paper. However, you may always submit a full application, regardless of the outcome of the Concept Paper review.

7.2. SUGGESTED ELEMENTS

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

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

You should be in close contact with BHA field or regional staff when preparing for and drafting a Concept Paper.

If you apply only for In-Kind Non-Food Items, BHA field or regional staff can provide guidance regarding the In-Kind Grant Agreement. You should also review the Supply Chain Management Resources on the BHA EAG Page for additional information.

7.2.1. COVER PAGE

The cover page (one page maximum) should include the following information:
1. Applicant organization name
2. Field contact information: name, address, telephone, and email
3. Proposed geographic area (i.e., worldwide/region/country)
4. Proposed start date
5. Proposed duration (number of months)
6. Estimated dollar amount requested from BHA
7. Estimated dollar value of Title II U.S. in-kind contributions, if applicable
8. Total number of people affected in the target geographic area
9. Total number of people targeted (individuals)
10. Total number of internally displaced persons (IDPs) targeted (individuals) as subset of total beneficiaries
11. Total number of refugees targeted (individuals) as subset of total beneficiaries

7.2.2. TECHNICAL APPROACH

BHA recognizes that, depending on the response context, not all the below described information may be available at the Concept Paper stage. You should identify

information gaps in your Concept Paper and, if applicable, describe how you will get the information necessary to prepare a full application. We recommend you limit the description of the technical approach to five to seven pages.

DESCRIPTION OF NEED FOR BHA RESOURCES (Suggested one to two pages)

- *Needs analysis:* Provide a brief, location-specific overview of the humanitarian needs for each proposed sector, e.g., the total population, the total population in need, the number of displaced persons (if applicable), and the severity of needs of the people affected in the targeted geographic area(s), noting any differences between targeted geographic areas, if applicable. Additional pertinent information may include: if and how the emergency has impacted market functionality in the targeted geographic areas, any ongoing or planned assessments that will influence activity design, and how you will coordinate those assessments with other stakeholders. You should note the source(s) of your information and share any relevant official information from the host government.
- *Coordination and Gap Analysis:* Describe ongoing humanitarian efforts and efforts to coordinate with other stakeholders and the host government, clearly articulating the gap analysis for each purpose and planned sector interventions presented in the Summary of Activity Design section as described below.
- *Vulnerabilities and Capacities:* Briefly describe any protection risks and vulnerabilities of the target population. Outline any differences based on sex or gender, age, disability, geography, ethnicity, religion, caste, or any other factors that may limit access to impartial assistance, as appropriate.

SUMMARY OF ACTIVITY DESIGN (Suggested three to five pages)

Succinctly summarize the proposed activity, structured by purpose(s), sector, and sub-sector. Refer to Section 9, Technical Activity Narrative Contents for a more detailed description of these concepts.

- Primary purpose(s) of the activity and short description of the Theory of Change;
- Brief description of the proposed interventions in each sector and sub-sector(s);
- How the proposed interventions will achieve the proposed purpose(s). If you previously worked with this population, address the need for continued humanitarian support, what you previously achieved, and how this relates to the proposed purpose(s) and adaptations based on lessons learned.
- Preliminary information on targeted beneficiaries per sector, including the number of people and their location(s), as well as any relevant targeting criteria you will apply (e.g., IDPs or refugees in managed camps, informal settlements, or living among host communities);
- How the affected population, including marginalized or vulnerable groups, participated in and played an active role in decisions about activity design (or how they will play an active role in developing a full application);

- Whether and how your organization plans to utilize sub-awards. If you are planning to collaborate with local and national partners, describe how the activity will support their capacity-building; and
- Any envisioned exit plans or plans to transition programming to early recovery or longer-term development programs, if applicable.

RESPONSE ANALYSIS AND MODALITY SELECTION (FOR ACTIVITIES WITH RESOURCE TRANSFERS ONLY)

If the proposed interventions include resource transfers to beneficiaries (such as in-kind commodities, cash transfers, or voucher modalities), explain how you selected the proposed interventions and modalities based on the population's humanitarian needs. Include information on the conditionality of resource transfers and the appropriateness of that conditionality based on the needs and context. BHA prioritizes providing an efficient and effective response that meets the needs and preferences of affected people through a robust response analysis, including the selection of modalities (i.e., cash, vouchers, U.S. in-kind, or LRIP). You should utilize a context-driven approach to modality selection, starting from a modality-neutral position. BHA rarely supports supply-side interventions such as market-based access programs to improve availability of and access to critical items, including Title II food commodities; you should consult with BHA in the field before proposing this type of intervention.

The amount of detail you provide at the Concept Paper stage should correspond to the importance of resource transfers to your proposed interventions. In some instances, the details may be brief. However, if resource transfers are a major feature of your proposed interventions, this information may take up a significant part of the Summary of Activity Design section. Use the criteria in the Modality Decision Tool (MDT) for Humanitarian Assistance (market appropriateness, feasibility, activity purpose[s], and cost efficiency) to guide your decision-making and the content of this section. See *Sector Requirements* Section 2.4., Modality Analysis, for further details.

7.2.3. BUDGET OVERVIEW

Provide an illustrative budget overview grouped by proposed purpose(s) and broken down by sector and modality. The budget overview should also clearly state the total amount requested and include the proposed indirect cost rate, if applicable.

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

Include a list or map clearly identifying targeted geographic areas.

APPLY

8. APPLICATION SUBMISSION AND CONTENT

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

8.1. SUBMISSION PROCESS

Your organization's headquarters (which refers to the entity with authority to sign the award) must submit your application via AAMP. BHA will not accept emailed, hard copy, or faxed applications, except in extenuating circumstances. If you do not have existing AAMP credentials, see Section 5.3, Application and Award Management Portal for further information.

After BHA deems your application complete, AAMP will send a notification that your application is under review. BHA will review the application to consider programmatic, technical, and cost issues, per the requirements of these *Guidelines*. BHA will provide a written response (via email) on the outcome of the review to the Headquarters contact provided on your submission.

BHA will communicate any issues raised during the formal application review in an Issues Letter. You must address these questions by providing additional or revised documentation which may include justifications, clarifying technical or cost details, or other requested information. You must submit your response to the Issues Letter and any additional documentation via AAMP.

Once BHA determines that you have adequately resolved all issues, BHA can recommend the application to an Agreement Officer (AO) for funding. BHA will notify you via email that we recommended your application for funding.

We will also notify you in writing if BHA rejects your application.

If the AO decides to fund your application, BHA will send copies of the signed award agreement via email to your organization's Authorized Individual as listed in the application's certifications and assurances, as well as to the Headquarters point-of-contact listed in the application. Your organization is responsible for internally distributing the award document as needed.

8.2. CHECKLIST OF REQUIRED ELEMENTS FOR NEW APPLICATIONS

The table below summarizes the required documents for new funding applications in all sectors. BHA may request additional documentation if needed. Details of each of the requirements are provided elsewhere in these *Guidelines*:
- Cross-sectoral and sector-specific technical requirements are described in the *Sector Requirements*.

- Section 4, [Eligibility Information for Applications Under These Guidelines](#) describes additional requirements specific to applicants who have not received USAID or U.S. Government funding in the last five years.
- Section 11, [Ineligible and Restricted Commodities, Services, and Countries](#) details the requirements for applications including Restricted Commodities.

For BHA to evaluate your full application, it must meet the following criteria:

For all new applications	You must submit in AAMP:

	☐ Technical Activity Narrative
	
	The Technical Activity Narrative must:
	    ☐ Adhere to the General Formatting Instructions
	    ☐ Adhere to the <u>total</u> page limit: the sum of 25 pages plus 4 pages per sub-sector, excluding the Activity Summary Table. (For example, the Technical Activity Narrative for an application with 3 sub-sectors must not exceed 37 pages.)
	
	The Technical Activity Narrative must include:
	    ☐ Activity Summary Table
	    ☐ Activity goal and Theory of Change statement
	    ☐ Detailed Technical Description for each purpose, sector, and sub-sector
	    ☐ Keywords per sector
	    ☐ Cross-Cutting Elements per sector
	    ☐ Transition or Exit Strategy

	☐ Summary Budget and Detailed or Itemized Budget, broken out by sector. Sample budget templates are available on the BHA EAG Page.
	☐ Budget Narrative
	☐ Completed and Signed SF-424, SF-424A, and SF-424B
	☐ Indirect Cost Rates and Documentation
	☐ Certifications and Assurances (Located on the BHA EAG Page)
	☐ Branding Strategy and Marking Plan (BS/MP) If you are requesting a waiver, you must submit the request separately from (and in addition to) the BS/MP.
	☐ Needs Assessment Summary Report Annex
	☐ Safety and Security Plan
	☐ PSEA Policy/Code of Conduct
	☐ Location-Specific PSEA Policy Implementation Details
	☐ Accountability to Affected Populations Plan

	☐ Monitoring & Evaluation (M&E) Plan Narrative
	☐ Indicator Tracking Table
	☐ Organizational Capacity, Structure, and Past Performance
	☐ Risk Assessment and Management Plan (RAMP)
If you are:	**Then you must also submit in AAMP:**
Proposing sub-awards	☐ Separate detailed budget and budget narrative, broken out by sector, for each sub-awardee
	☐ Scope of work of the sub-awardee (You may include this scope of work in the Technical Activity Narrative or submit it separately.)
Requesting Title II in-kind commodities	☐ Commodity Calculator (Located on the BHA EAG Page)
Proposing an activity for six months or longer	☐ Abbreviated Statement of Work (SOW) for baseline and endline (You must include this SOW in the M&E Plan Narrative.)
Proposing an activity longer than 12 months	☐ Abbreviated Statement of Work (SOW) for baseline and endline (You must include this SOW in the M&E Plan Narrative.) ☐ Adaptive Management Plan
Proposing an activity 18 months or longer	☐ Abbreviated Statement of Work (SOW) for baseline and endline (You must include this SOW in the M&E Plan Narrative.) ☐ Adaptive Management Plan ☐ Evaluation Approach (You must include this Evaluation Approach in the M&E Plan Narrative.)
Planning to evaluate the proposed activity because your organization has not evaluated a BHA-funded award in the application country in the past three years.	☐ Evaluation Approach (You must include this Evaluation Approach in the M&E Plan Narrative.)
Proposing to use BHA funds for supply chain-related activities in any sector, including procurement, transport, or warehousing of commodities	☐ Supply Chain Requirements Annex

Proposing to use BHA funds more than $50,000 for procurement, combined, in any sector	☐ Procurement Plan (You may include this Procurement Plan in the Supply Chain Requirements Annex or submit it separately.)
	☐ Organization's Country-Specific Procurement Policy
	☐ Transport Plan (You may include this Transport Plan in the Supply Chain Requirements Annex or submit it separately.)
Proposing to store commodities in support of the activity	☐ Storage Plan (You may include this Storage Plan in the Supply Chain Requirements Annex or submit it separately.)
	☐ Organization's Country-Specific Warehouse Management Policy
Proposing to use any generators or vehicles—including cars, trucks, scooters, motorcycles, boats, and aircraft—to support the activity	☐ List of vehicles and generators (type, make, and model) that you own or plan to rent or purchase to support the project (You may include this list in the Supply Chain Requirements Annex or submit it separately.)
	☐ Management Plan that includes the service/maintenance of vehicles and generators used for this project. (You may include this Management Plan in the Supply Chain Requirements Annex or submit it separately.)
	☐ Organization's Country-Specific Fleet Management Policy
Submitting an application which contains a Technical Activity Narrative that does not include a list or map of targeted geographic areas	☐ A list or map of targeted geographic areas as an annex
Proposing construction, alteration, or repair of structures/infrastructure in any sector	☐ Bills of Quantity (BoQ) in U.S. dollars ☐ Technical documents of the construction (e.g., drawings, diagrams), with units of measurement. You may use illustrative examples or BoQs for designs that are not highly site-specific and where you expect only minor modifications of or deviations from the submitted example. ☐ General overview (schematic and narrative) describing the work you will perform. (You may include this general overview in the Technical Activity Narrative or submit it separately.) The items listed above are the common required construction elements for interventions in all sectors. Applications proposing construction interventions in the WASH or Shelter and Settlements sectors have additional sector-specific requirements detailed in *Sector Requirements*. *Sector Requirements* Section 2.5. describes the cross-sectoral construction requirements; see that section for details on how

	to submit construction details for BHA concurrence in the case that requested information is not known at time of submission.
Proposing water supply or water quality surveillance interventions	☐ Water Quality Surveillance Plan (WASH Annex C. Located on the BHA EAG Page)
Proposing to use BHA funding to procure livestock	☐ Livestock Supplier Certification letter with supporting documentation including a quality assurance plan. (Agriculture Annex C. Located on the BHA EAG Page)
Proposing to use BHA funding to procure fertilizer	☐ BHA Fertilizer Template (Agriculture Annex B. Located on the BHA EAG Page)
Proposing to use BHA funding to procure seeds	☐ Seed Grower's Declaration of Quality (Agriculture Annex A. Located on the BHA EAG Page)
Proposing to use BHA funding to procure, use, train on, or distribute pesticide-treated seeds	☐ Pesticide Treated Seeds Request Form. (Located on the BHA EAG Page)
Proposing to use BHA funding to procure, use, train on, or distribute Long Lasting Insecticide-Treated Nets (LLINs)	☐ LLIN Request Form (Located on the BHA EAG Page)
Proposing to use BHA funding to procure, use, train on, or distribute any other pesticides or pesticide-containing materials (i.e., other than LLINs and pesticide-treated seeds)	☐ Pesticide Request Form (Located on the BHA EAG Page) (BHA is currently finalizing the Pesticide Request Form. In the interim, you must submit with your application a description of the pesticide you propose to procure or use, the pesticide's active ingredients, and the planned use(s). USAID will conduct a provisional PERSUAP analysis of the requested pesticide. If you have questions, contact BHA.BEO.Support@usaid.gov.)
Proposing to use BHA funding to procure veterinary or human pharmaceuticals (including micronutrient supplements), medical equipment, or medical supplies	☐ Pharmaceutical and other Medical Commodities Form (Located on the BHA EAG Page)
Requesting a Fixed Amount Award	☐ Milestone Plan
Requesting an e-payment waiver	☐ A request letter, on your organization's letterhead, that provides the justification for your request and a basis and cost analysis for the requested exception.

9. TECHNICAL ACTIVITY NARRATIVE

As a reminder, before beginning an application, you should familiarize yourself with standard USAID terminology found in ADS 201 and the USAID Glossary of ADS Terms. BHA uses this standard terminology, including the terms:

- "Intervention" to describe actions taken under a particular sector and sub-sector to achieve an intended purpose, and
- "Activity" to encompass all programmatic interventions under an award.

9.1. NARRATIVE STRUCTURE OVERVIEW

BHA does not have a required format for applications, but your Technical Activity Narrative must include the following seven components:

Activity Summary and Overview

1. Activity Summary Table
2. Activity Overview
   a. Activity Goal
   b. Theory of Change

Detailed Technical Description (Repeat the below sections as needed, with all sector and sub-sector information included under the appropriate purpose.)

3. Purpose Overview
4. Sector Overview
   a. Sector Name and Dollar Amount Requested
   b. Beneficiary Numbers by Sector and by Sex
   c. Geographic Areas by Sector
   d. Sector-Level Coordination
   e. Keywords per Sector
5. Sector-Level Technical Design
   a. Cross-Cutting Elements:
      i. Sector-Specific Safe Programming
      ii. Sector-Specific Gender Analysis
      iii. Sector-Specific Gender-Based Violence Risk Mitigation
      iv. Sector-Specific Age and Disability
      v. Other sector-specific cross-cutting elements, as applicable
6. Sub-Sector Level Technical Description
   a. Sub-Sector Needs Assessment Summary
   b. Sub-Sector Technical Design

Transition or Exit Strategy

7. Activity-Level Transition or Exit Strategy

You should carefully review the requirements in this section, the *Sector Requirements*, and the *Indicator Handbook*. The *Sector Requirements* and *Indicator Handbook* are integral to activity design and represent current technical guidance, best practices, and issues of concern to BHA. The *Sector Requirements* and *Indicator Handbook* contain

detailed sector, sub-sector, and keyword information to assist you in designing activities and will help you complete the elements described here.

9.2. ACTIVITY SUMMARY TABLE

You must begin the Technical Activity Narrative with an Activity Summary Table (AST). BHA does not have a required template, but recommends that you use the sample format provided on the BHA EAG Page.

You must clearly address every element of the following list in your AST before BHA can review your application. BHA will return your application for revision if the AST is incomplete or does not align with the contents of the Technical Activity Narrative. Therefore, although this table must be presented first in the Technical Activity Narrative, we recommend you prepare it last to prevent discrepancies. The AST is excluded from the document page limit.

AST REQUIREMENTS

1. Proposed activity name
2. Applicant organization name
3. Headquarters contact information: Contact person name, street address, telephone number, and email
4. Field contact information: Contact person name, street address, telephone number, and email
5. Date document submitted
6. Applications for new funding must include:
   a. Proposed start date
   b. Proposed geographic area: Note the country or countries targeted or, if appropriate, you may note worldwide
   c. Proposed activity duration (in months)
7. Applications for modification to an existing award must include:
   a. Existing award number
   b. Proposed start date
   c. Extension duration (in months)
8. Restricted and Quality Assured Commodities: You must note (yes or no) whether you are requesting BHA funding for procurement of the following categories of commodities:
   a. Seeds
   b. Livestock
   c. Human Pharmaceuticals
   d. Veterinary Pharmaceuticals
   e. Pesticides (including pesticide-containing materials, LLINs, and pesticide-treated seeds): Indicate "yes" if you are requesting BHA funding for procurement, use, training on, or distribution of commodities in this category
   f. Fertilizer

g. Used Equipment
h. USG-owned Excess Property
i. Purchase of vehicles not manufactured in the United States or leases greater than 180 days

9. Payments: You must note (yes or no) whether you are requesting an electronic payments (e-payments) waiver. (See Section 10.3.4., Electronic Payment Requirement)
10. Sub-awards: You must note (yes or no) whether you are proposing sub-awards. (See Section 10.3.2., Sub-Award and Contractual Arrangements)
11. Construction: You must note (yes or no) whether you are proposing construction. (Refer to *Sector Requirements* Section 2.5., Construction, Alteration, or Repair of Structures/Infrastructure for BHA's definition of and requirements for construction interventions.)
12. Theory of Change (ToC) Statement: State the ToC for the activity
13. Funding Overview (Activity Level)
    a. Dollar Amount Requested from BHA
    b. Estimated Dollar Value of Title II U.S. In-Kind Contributions
    c. Dollar Amount Requested from Other Sources
    d. Dollar Value of In-Kind Contributions (non Title II food)
    e. Estimated Total Dollar Amount of Activity
14. Beneficiary Overview (Activity Level)
    a. Total Number of People Affected in the Target Area
    b. Total Number of Unique People Targeted (Individuals)
    c. Total Number of IDPs Targeted (Individuals) as a subset of total beneficiaries
    d. Total Number of Refugees Targeted (Individuals) as a subset of total beneficiaries

Repeat the below sections as needed, with all sector and sub-sector information included under the appropriate purpose.

15. Purpose: State the purpose(s) of the activity.
    a. Note (yes or no) whether this is a food security purpose
16. Sector Name
    a. Dollar Amount Requested (Sector Level)
    b. Number of Beneficiaries Targeted (Sector Level)
    c. Number of IDPs Targeted (Sub-set of sector level total)
    d. Number of Refugees Targeted (Sub-set of sector level total)
    e. Targeted geographic area(s) for this sector: Include at least two Administrative Levels (e.g., Province and District)
    f. Sub-Sectors (list all for this sector)
    g. Keywords (list all for this sector)
    h. Key Sector Activities in a concise bulleted list (e.g., training health care providers, repairing hand pumps, or distributing seeds and tools)

9.3. ACTIVITY OVERVIEW

ACTIVITY GOAL

State the goal of the activity, which is the long-term result to which your activity will contribute. The goal should align with BHA's mission and the goal of the humanitarian response. Typically, you cannot expect to accomplish a goal fully through the proposed activity during the implementation period as you must address factors beyond the control of the activity before you can fully accomplish the goal.

THEORY OF CHANGE STATEMENT

State the proposed ToC for the activity. Identify the expected outcome(s) of your activity, and how interventions and outputs link to the higher-level outcome(s).

Within the ToC statement, you must identify the proposed sector(s). However, you do not need to include BHA sector names in the ToC statement. The ToC statement is a simple "if, then" statement that concisely states the connection between the activity and the intended result of the activity. This statement should not be a lengthy explanation. Do not include the targeted geographic areas, beneficiary numbers, modalities, or budget information in the ToC statement, as you should identify these in the technical narrative and supporting documents. BHA does not require any visual representation of the ToC.

Example ToC statements (illustrative only):
● IF vulnerable IDPs are provided access to safe and appropriate water and sanitation facilities and increased knowledge about key public health risks, THEN vulnerable IDPs will experience improved public health outcomes.
● IF conflict-affected farmers and gardeners effectively implement improved agricultural techniques, and obtain quality agricultural inputs, THEN those households will increase their agricultural production and improve their food security.

9.4. DETAILED TECHNICAL DESCRIPTION

The technical description must:
● Be organized by purpose(s), sub-purpose(s) (if applicable), sector(s), and sub-sector(s). You should contact the appropriate BHA field staff or Washington, D.C.-based staff if you have questions about which sector(s) and sub-sector(s) are the most appropriate.
● Use only the approved sectors, sub-sectors, and keywords identified in the *Sector Requirements.*

- Align with the information provided in your proposed Indicator Tracking Table (ITT). (See Section 12, Supporting Documentation.)

You should apply the Sphere Standards to all proposed activities whenever possible and appropriate. You must strongly justify non-adherence to the standards.

PURPOSE OVERVIEW

You must describe each of your proposed purposes and list the applicable sectors and sub-sectors.

The purpose(s) is the highest-level result(s) that the activity is accountable to achieve. The purpose statement(s) must be specific, measurable, achievable, realistic, and time-bound (SMART). Purposes may be multi-sector (e.g., food security) or single-sector.

A proposed activity must have at least one purpose and may have multiple purposes, depending on the complexity of the proposed interventions. Applications with more than one purpose may include several multi-sectoral purposes or single-sectoral purposes. For additional information regarding purposes, see the Indicator Tracking Table Requirements in Section 12, Supporting Documentation.

You should include each proposed sector under only one purpose.

For example:

Applicant's Purpose 1:	Improve the food security of the IDP population
BHA Sector name:	Food Assistance
	Sub-Sector: Unconditional Food Assistance
BHA Sector name:	Nutrition
	Sub-Sector: Management of Acute Malnutrition
Applicant's Purpose 2:	Improve the health of the IDP population
BHA Sector name:	Health
	Sub-Sector: Health System Support
	Sub-Sector: Public Health Emergencies

Under a multi-sectoral purpose (such as the sample Applicant's Purpose 1 above), briefly describe the relationship between the sectors and how they are integrated, including targeting of beneficiaries.

SECTOR OVERVIEW

Following the purpose overview, you must provide detailed technical descriptions of the interventions you will implement in each contributing sector and its sub-sectors. If a proposed intervention will contribute to more than one purpose, provide the full technical description in the appropriate sector and sub-sector under the purpose on which the intervention will have the greatest impact. You may use your own discretion in making this decision. For the other purposes to which the intervention will contribute, you must explain how the proposed intervention will contribute to the purpose but you should not repeat the full technical description.

You must provide the following information for each proposed sector.

Sector Name And Dollar Amount Requested

Indicate the total dollar amount requested for interventions in this sector.

Beneficiary Numbers By Sector And By Sex

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

- Total number of people targeted within the sector
- Number of people targeted by sex (e.g., 2,600 women, 2,400 men);
- Of the above total, number of IDPs targeted (e.g., 250); and
- Of the above total, number of refugees targeted (e.g., 500).

BHA recognizes that you may count an individual beneficiary in multiple sectors. But for the number of activity-level beneficiaries (provided in the Activity Summary Table), you must not count individuals twice. You must provide the number of direct beneficiaries. Organizations also including a figure for indirect beneficiaries must define how these individuals indirectly benefit from your proposed interventions.

Geographic Areas By Sector

For global activities, provide the regions and countries targeted for the sector. For example:

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

For regional activities, provide the countries targeted for the sector. For example:

Region	Countries
South Asia	Bangladesh, India

For country-specific activities, provide at least the second administrative level for the geographic area(s) where the planned work for the sector will occur. You may include additional levels as available and applicable. Examples of administrative levels include:

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

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

Sector-Level Coordination

Describe how you will coordinate, share information, and collaborate with UN agencies, other local and international NGOs, other U.S. Government agencies, other donors, and local and national government agencies in designing and implementing each proposed sector, including:

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

Keywords Per Sector

List every applicable keyword for the sector.

Sector Requirements Section 18, Keywords Description and Guidance describes each keyword and the corresponding technical requirements. BHA uses the keywords when reviewing applications to identify issues that are not sector-specific. Therefore, you may use the same keyword(s) for multiple sectors.

You must provide the required keyword-specific information in the technical description portion of the application narrative. Do not repeat information. If one or more keywords and their relationship to the activity are the same from one sector to another, include the information in the first instance, and use references (e.g., "see previous sector") in subsequent sector descriptions.

SECTOR-LEVEL TECHNICAL DESIGN

Describe the overall technical design of proposed interventions in this sector, noting how the interventions will meet the sector-wide requirements detailed in the *Sector Requirements* and how applicable sub-sector interventions will work together to meet the activity purpose. You must also address any cross-sectoral elements that apply to the overall sector. (*Sector Requirements* Section 2, Cross-Sectoral Guidance.)

SUB-SECTOR LEVEL TECHNICAL DESCRIPTION

Provide a detailed sub-sector technical description in this section. The *Sector Requirements* describe sub-sector-specific needs assessment and technical requirements. You must review the relevant sub-sector guidance in its entirety and address all applicable questions and information requirements; failure to do so will cause delays in the review process.

Within the technical description, you must explain how the sub-sectoral interventions will help you achieve the activity's purpose. You should clearly explain how the proposed interventions will address demonstrated needs. In general, your technical description should include methodologies, processes, or steps you will use to implement each proposed intervention. You should also discuss any contingency plans to manage changes in critical assumptions. You may include timelines, charts, or other graphics for illustrative purposes.

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

9.5. TRANSITION OR EXIT STRATEGY

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

Exit and transition strategies must describe, to the extent practicable at the time of application:

1. Contextual analysis of the potential for transition and for changes in the current operational context;
2. Planned transition of activities;
3. How the transition will incorporate a "do no harm" approach;
4. Beneficiary involvement, as applicable;

5. Further actions required to ensure sustainability of the activity, within what timeframe, and by whom;
6. Steps planned to communicate transition to all relevant stakeholders; and
7. Steps planned, if any, to continue the activity after BHA funding ends.

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

1. Any current factors preventing transitioning away from humanitarian assistance, and any potential for change in the current operational context;
2. Measures you will take, including outreach to financial donors beyond BHA, to prepare for transitioning your activity to early recovery or, if applicable, more development-oriented programming; and
3. Any possibility of transitioning from BHA resources to alternate sources of funding.

10. COST APPLICATION AND BUDGET GUIDELINES

All applications must include

- A summary budget and detailed or itemized budget;
- A budget narrative;
- A completed and signed SF-424, SF-424A, and SF-424B (Application for Federal Assistance); and
- Your financial documents/indirect cost rates.

You should also include the following information in your cost application, if applicable:

- Cost sharing and in-kind non-federal contributions,
- Sub-award and contractual arrangements, and
- Program income.

You must submit each element of the cost application as a separate document, per the requirements described below and in line with the formatting requirements detailed in Section 6, General Formatting Instructions. There are no page limits for any element of the cost application. You must present all costs in USD, rounded to the nearest dollar (2 CFR 200 Subpart E).

You must clearly explain the computation and basis of estimates for indirect costs if you use a *de minimis* rate of 10 percent and fixed amounts in your application. We recognize that prime recipients are entirely responsible for negotiating indirect cost rates for sub-awardees. However, to determine reasonableness of overall costs under an award, BHA requires you to submit detailed indirect cost computations for sub-awards. See additional information on indirect costs in Section 10.2.1.1., Indirect Costs.

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

10.1. COST APPLICATION

BHA will review the cost application in conjunction with the technical application to conduct a cost realism analysis. A cost realism analysis involves independently reviewing the proposed costs to determine whether the proposed costs (FAR 15.404-1):

- Are realistic for the work described in the Technical Activity Narrative;
- Reflect a clear understanding of the needs of the activity; and
- Are consistent with the methods of performance and materials described in the Technical Activity Narrative.

In addition to cost realism, BHA will conduct a cost analysis and apply the following criteria to the cost application:

- Are costs allowable?
  - o A cost is allowable when it
    - ■ Is necessary to perform the work of the activity;
    - ■ Conforms to any limitations or exclusions on cost items found within federal regulations or within the award itself;
    - ■ Is consistent with the applicant's other policies and procedures, both under federal awards and other activities not funded by the U.S. Government;
    - ■ Is treated the same across the applicant's other federal awards (particularly for costs which are determined to be direct or indirect costs); and
    - ■ Is incurred during the approved period of performance of the federal award. (2 CFR 200.403)
- Are costs allocable?
  - o A cost is allocable to a particular federal award when it can be specifically assigned to the award and directly relates to the benefit of the activity under which the cost was incurred. (2 CFR 200.405)

- Are costs reasonable and justified?
  - o A cost is reasonable when it does not exceed similar costs that a prudent person would deem reasonable under similar circumstances. Considerations may include whether the type of cost
    - ■ Is generally considered to be necessary for the applicant's operations,
    - ■ Is consistent with sound business practices,
    - ■ Is consistent with market prices for similar commodities or services in a given location,
    - ■ Is incurred by an individual acting with prudence in a given situation, or
    - ■ Deviates from established practices. (2 CFR 200.404)

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

10.2. REQUIRED DOCUMENTS

10.2.1. SUMMARY BUDGET AND DETAILED OR ITEMIZED BUDGET

You must submit both a summary budget and a detailed or itemized budget. Sample budget templates are available on the BHA EAG Page. These templates are strictly illustrative; you must use your own dollar figures, rates, and cost allocation methodologies. All budgets submitted as part of your application should be in the same format, described below and in line with the formatting requirements detailed in Section 6, General Formatting Instructions.

You must submit budgets in Excel or a compatible equivalent. In your summary budget, you must state the total estimated amount by purpose and cost category, for each sector. In your detailed or itemized budget, you must list and account for individual line items within each object class category for each sector (2 CFR 200, ADS 201, and the Foreign Assistance Act of 1961, as amended, §611(a)) for the prime applicant and all proposed sub-recipients. Object class categories are logical groupings of costs, such as staff salaries, fringe benefits, travel, equipment (as defined in 2 CFR 200.1), supplies, and indirect costs. You must determine the costs for each detailed budget line item using formulas within the Excel document, rather than by entering the cost amount directly.

All proposed costs, including cost sharing, must comply with 2 CFR 200, 2 CFR 700, Office of Management and Budget (OMB), and USAID policies. You must express cost sharing as an amount in USD, not a percentage. You must justify in advance the proposed costs for each element of the activity. If you expect to earn program income during the award period, you must state in your application how you will apply the income. The definition of program income is located in 2 CFR 200.80, and you can find income application suggestions in 2 CFR 200.307.

You must support indirect cost rates and amounts in the detailed or itemized budget with

- A Negotiated Indirect Cost Rate Agreement (NICRA) or audited financial statements and
- Indirect cost calculations for your organization and any proposed sub-recipients.

Alternatively, if you do not have a current NICRA, you may elect to charge a *de minimis* rate of 10 percent of modified total direct costs (MTDC) per 2 CFR200.414(f). You must highlight any costs you exclude from MTDC in the detailed budget or note the excluded costs separately.

10.2.1.1. INDIRECT COSTS

You must submit a copy of your organization's current NICRA, if applicable (ADS 303.3.21). See USAID's Indirect Cost Rate Guide for Non-Profit Organizations for additional information. You must consistently apply the rate and base of application in your NICRA to your detailed or itemized budget to avoid duplicating direct and indirect costs.

Organizations electing to charge a *de minimis* rate of 10 percent must calculate based on the definition of modified total direct costs (2 CFR 200) which includes

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

MTDC excludes

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

You may only exclude other items from MTDC when necessary to avoid a serious inequity in the distribution of indirect costs and with the approval of the cognizant agency for indirect costs (2 CFR 200.1). You cannot double-charge costs and must also consistently charge costs as either indirect or direct costs. If you elect to use the *de minimis* rate, you must use it consistently for all federal awards until you have an active NICRA, for which you may apply at any time. (You may consult the USAID Partner Resource page for more information on applying for a NICRA.)

Alternatively, non-U.S. applicants who do not wish to use the *de minimis* rate may propose a fixed amount to cover indirect costs. In this case, your cost application must include

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

TITLE II RESOURCES COST APPLICATIONS

Cost applications for Title II resources must be separate from cost applications for other resources.

If you request only Title II resources, submit one cost application.

If you request both Title II and IDA resources, you must submit two separate cost applications. BHA will not award Title II and IDA resources within the same award.

The cost application for Title II in-kind resources must be based on the [commodity calculator](#) and include applicable ITSH and Section 202(e) funding requests disaggregated by sector. You must submit the commodity calculator with your cost application.

10.2.2. BUDGET NARRATIVE

The budget narrative justifies the costs you propose in your detailed budget and describes the methods and assumptions you used to develop your cost estimates. The budget narrative must demonstrate that all costs are reasonable, allowable, and allocable. Each line item in the detailed budget must have a corresponding explanation and justification in the budget narrative. The budget narrative must include more than just the simple calculation present in the detailed budget; instead, the narrative must justify those costs. Your organization must determine the justification based on your proposed interventions and ensure the justification is consistent with your organization's internal policies.

You must provide sufficient details to explain how you determined the individual cost basis, or "Unit Cost," for each line. These details may include internal policies; actual costs incurred; historical costs; or external sources such as published salary tables, local labor laws, local market rates, cost estimates obtained through tenders or bids, or catalog prices. In the budget narrative, you should break down all lump sum costs you provided in the detailed or itemized budget. You must provide details about individual cost bases per line and break down all lump sum costs within sub-award budget narratives; but you do not need to provide this information for contracts for the acquisition of supplies, materials, equipment, or general support services.

A thorough budget narrative will expedite the cost application review and prevent your staff from having to revisit the application and provide additional information after you submit the application. For ease of review, budget narratives should follow the order of line items in the detailed budget (top to bottom), rather than the order of purpose(s)/sectors (left to right).

A sample budget narrative is available on the BHA EAG Page. The sample narrative is strictly illustrative and is based on the Sample Detailed Budget provided in the budget template also provided on the BHA EAG Page. You must use your own rationale based on your proposed activity design, associated inputs, and detailed budget. Submit budget narratives as a Microsoft Word document or compatible equivalent. Do not submit your budget narrative in Microsoft Excel. (See Section 6, General Formatting Instructions for more details on formatting requirements.)

10.2.3. SF-424

OMB requires you to submit a signed SF-424 Application for Federal Assistance with all applications (2 CFR 200.206, ADS 303). This includes

- SF-424, Application for Federal Assistance;
- SF-424A, Budget Information—Non-construction Programs; and
- SF-424B, Assurances—Non-construction Programs.

Your application must use the current OMB-approved version of the SF-424 documents; BHA cannot accept expired standard forms. These documents are located on Grants.gov. Object Class Categories and amounts you present on the SF-424A form must match those you include in the detailed or itemized budget. A signatory listed as an authorized representative on the Certifications and Assurances document described in Section 12, Supporting Documentation must sign the SF-424 documents.

10.3. OTHER FINANCIAL DOCUMENTATION

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

BHA does not require applicants to provide cost sharing. However, if you decide to include cost sharing, you should describe how cost sharing impacts your activity and budget, including the amount of matching funds and in-kind contributions, in USD and not percentage (2 CFR 200.306, 2 CFR 700.10, ADS 303).

Note that if you provide cost sharing, you must still adhere to applicable USAID Restricted Commodities requirements, such as those regarding pesticides and pesticide-containing materials. See Section 11, Ineligible and Restricted Commodities, Services, and Countries for details about Restricted Commodities.

10.3.2. SUB-AWARD AND CONTRACTUAL ARRANGEMENTS

Per 2 CFR 200.308, you are required to get USAID approval prior to outsourcing any work under an assistance award, except for the acquisition of supplies, material, equipment, or general support services. You are responsible for deciding whether a

subordinate agreement under an award is a sub-award or a contract, pursuant to 2 CFR 200.331. You should determine whether a subordinate agreement is a sub-award or a contract based on the relationship between the prime recipient and the sub-recipient.

A prime recipient may provide sub-awards to subrecipients so subrecipients can carry out part of the prime recipient's federal award. Sub-awards are federal financial assistance in the form of a grant, cooperative agreement, or non-cash (in-kind) contribution a prime recipient provides to a first-tier subrecipient, or a subrecipient provides to a lower tier subrecipient. Under sub-awards, subrecipients carry out part of the federal assistance award. Payments to a contractor or to an individual beneficiary of a federal program are not considered sub-awards.

A contract is a legal instrument by which the recipient or a subrecipient acquires from a contractor (by purchase, lease, or barter) property or services necessary to carry out the activity.

You must determine case-by-case whether each subordinate agreement casts the party receiving the funds as a sub-awardee (which creates a sub-award relationship) or a contractor (which creates a contractual relationship).

You must describe any sub-awards you have planned at the time you develop your application (2 CFR 200.331, ADS 303.3). The details must, at a minimum, include the following:

- Name of the sub-awardee(s) and their UEI number;
- Separate detailed budget and budget narrative, broken out by sector, for each sub-awardee. These separate detailed budgets and budget narratives have the same requirements as the detailed budget and budget narrative for the prime recipient;
- The sub-awardee's scope of work;
- Confirmation, noted in the budget narrative, that the sub-award will comply with Subparts D and E of 2 CFR 200, including Procurement Standards set forth in 2 CFR 200 and Sub-Award Monitoring and Management (2 CFR 200.317 - 2 CFR 200.332);
- Confirmation, noted in the budget narrative, that you conducted a risk assessment for all proposed sub-awardees by name and verified that they
  - Do not have active exclusions in the SAM;
  - Do not appear on the Specially Designated Nationals (SDN) and Blocked Persons List maintained by the U.S. Treasury for the Office of Foreign Assets Control (OFAC), sometimes referred to as the "OFAC List"; and
  - Do not appear on the United Nations Security Council Consolidated Sanctions List.

Sub-awardees must have a UEI number. Procedures for obtaining a UEI are provided on the SAM website. Sub-awardees do not need SAM registration.

You must obtain the AO's post-award approval to execute any sub-award you do not identify in the original application. Refer to your award document for more information.

10.3.3. PROGRAM INCOME

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

10.3.4. ELECTRONIC PAYMENT REQUIREMENT

If your application is funded, you will be expected to use an electronic payment (e-payment) system as the default method of payment to transfer funds to beneficiaries, subrecipients, or contractors (Procurement Executive's Bulletin No. 2014-06).

For this requirement, USAID uses the following definitions:
- Cash Payment System - A payment system that generates any transfer of funds through a transaction originated by cash, check, or similar paper instrument. This includes electronic payments to a financial institution or clearing house that subsequently issues cash, check, or similar paper instrument to the designated payee.
- Electronic Payment System - A payment system that generates any transfer of funds, other than a transaction originated by cash, check, or similar paper instrument, that is initiated through an electronic terminal, telephone, mobile phone, computer, or magnetic tape, for the purpose of ordering, instructing, or authorizing a financial institution to debit or credit an account. The term includes debit cards, wire transfers, transfers made at automatic teller machines, and point-of-sale terminals.

The USAID Digital Payments Toolkit provides information about how to establish, implement, and manage e-payment methods.

If BHA funds your application, the award terms currently allow the exceptions listed below during award implementation without requesting a waiver from the AO; however, you must document the use of the exception and the justification in your internal records.
- Cash payments made while establishing e-payment systems, provided that this exception is not used for more than six months from the effective date of the award.
- Cash payments made to payees where you do not expect to make payments to the same payee on a regular, recurring basis, and payment through an e-payment system is not reasonably available.
- Cash payments to vendors below $3,000, when payment through an e-payment system is not reasonably available.

To request an e-payment waiver from the AO as part of your application, whether for all cash payments or for specific cash payments that do not meet the criteria above, you

must submit a request letter, on your organization's letterhead, that provides the justification for your request; and a basis and cost analysis for the requested exception.

Information regarding post-award requirements is provided here for your information only. If your application is funded, the award document will detail all the requirements applicable to your award and will supersede these *Guidelines*.

11. INELIGIBLE AND RESTRICTED COMMODITIES, SERVICES, AND COUNTRIES

You should be familiar with the rules and requirements in ADS 310, ADS 312, ADS 313, 22 CFR 228, and 22 CFR 211, as they may affect the activity design, budget, award timing, timely activity implementation, or post-award administration. If your application is funded, the terms of the award supersede these *Guidelines*.

11.1. INELIGIBLE COMMODITIES AND SERVICES

BHA cannot fund

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

11.2. INELIGIBLE SUPPLIERS

Some entities are ineligible to supply USAID-financed commodities and services. You are responsible for determining whether an entity is an ineligible supplier before you transfer any U.S. Government funds. BHA forbids you to use suppliers or services, including proposed sub-awardees and contractors, that

- Have active exclusions in the SAM;
- Appear on the SDN and Blocked Persons List maintained by OFAC, sometimes referred to as the "OFAC List"; or
- Appear on the United Nations Security Council Consolidated Sanctions List.

11.3. RESTRICTED AND QUALITY ASSURED COMMODITIES

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

- Livestock;
- Seeds, seedlings, and cuttings;
- Fertilizer;

- Pesticides (e.g., for agriculture, health, construction, or warehouse commodity storage, including for transboundary pest outbreaks), pesticide treated seeds, and pesticide-containing materials (e.g., insecticide treated nets [LLINs], curtains, or plastic sheeting [ITPS]; or pesticide-embedded grain sacks for commodity storage);
- Pharmaceuticals, both veterinary and human as defined in the USAID Glossary of ADS Terms, including oral rehydration salts (ORS) and micronutrient supplements;
- Motor vehicles as defined in 22 CFR 228.01 which are manufactured outside the United States, including motor vehicles you are leasing longer than 180 days per year;
- Used equipment; and
- U.S. Government-owned excess property.

To facilitate award and program implementation and to reduce administrative burdens, you must provide the following information in your application. You must also include budget line items and justifications.

11.3.1. AGRICULTURAL COMMODITIES

BHA requires that you receive technical review and approval before procuring livestock, seed and seedlings, and fertilizer. For IDA and Title II emergency funded activities, you are not subject to the agricultural commodities procurement requirements of ADS 312.3.3.1. However, BHA must provide technical review, inspection, and approval before you procure agricultural commodities. BHA's technical review, inspection, and approval processes ensure you use best practices for input quality and appropriateness, and prevent the spread of pests, pathogens, and diseases. The information you must provide for us to conduct a technical review and approval of controlled, restricted, and quality assured agricultural commodities is below and in the *Sector Requirements*. If you provide cost sharing, you must still adhere to applicable USAID quality assurance requirements for agricultural commodities.

ADS 312.3 outlines procedures for procuring or financing agricultural commodities under the Foreign Assistance Act, except for emergency humanitarian assistance provided with IDA resources. ADS 204.3.10.a outlines the procedure and criteria for environmental review for emergency activities funded with a non-IDA account (e.g., Title II), when they meet the exemption criteria outlined in ADS 204.3.10.c. This exemption does not apply to assistance for procuring or using pesticides, per 22 CFR 216.2.(e). For all pesticide activities you must follow USAID pesticide procedures, per 22 CFR 216.3(b).

11.3.1.1. REQUIRED PRACTICES FOR PURCHASE OF LIVESTOCK

When requesting BHA funding to purchase livestock, you must affirm in your Technical Activity Narrative that

- The suppliers or agents providing the animals have provided, or will provide prior to purchase, at least one verifiable reference to supply healthy and productive livestock.

- The supplying farms or their agents have provided, or will provide prior to purchase, documentation that verifies parentage, health status, and compliance with required vaccination standards.
- You will not purchase livestock from areas within a country identified as having current outbreaks of [World Organization for Animal Health (OIE) priority diseases](#). For livestock purchased from another country, you must comply with procedures and regulations defined by the competent national animal health authority, usually the director of the Central Veterinary Office in the Ministry of Agriculture Livestock Development (or an equivalent office).
- Animals you import will have permanent identification that cannot be altered between inspection at purchase and arrival in the importing country.

If your application is funded, you must also submit the Livestock Supplier Certification letter and its supporting documentation (available on the BHA EAG Page) to the Agreement Officer's Representative (AOR) before you procure the livestock.

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

11.3.1.2. QUALITY REQUIREMENTS FOR SEEDS, SEEDLINGS, AND CUTTINGS

Seeds (including seedlings and cuttings) for agricultural production require BHA technical approval. Seeds are subject to quality requirements. If you cannot obtain certified seed or a Seed Grower's Declaration of Quality (e.g., for seeds procured in a seed fair), your organization assumes responsibility for ensuring seed quality, and you must document what quality assurance practices you followed in lieu of certification. See the USAID Seed Grower's Declaration of Quality on the BHA EAG Page for quality assurance practices you must implement. There is no waiver for seed quality; you must either use certified seed or follow quality assurance practices.

When directly distributing seed, you must make all efforts to provide certified seed. You must provide strong programmatic justification for directly distributing anything other than certified seed. When procuring seed directly or providing seed vouchers, you must indicate in your application that you are using agricultural commodities. When using cash or vouchers, you must explain how you determined that sufficient seed of appropriate quality and variety is available. For example, the seed security conceptual framework helps diagnose seed security using the parameters of access, availability, and quality. Established methodologies for market and consumer-based seed demand

analysis, such as the seed system security assessment, can help you better diagnose and plan emergency seed interventions.

When distributing cash transfers to procure agricultural inputs, you must include training for beneficiaries on how to select and manage quality seed. You must also reiterate to beneficiaries what inputs are not appropriate for them to purchase with BHA funds. Note that pesticide-treated seeds require compliance with USAID's Pesticide Procedures, described in Section 11.3.2., Pesticides and Pesticide-Containing Materials. If you request to use pesticide-treated seeds, you must submit a Pesticide Treated Seed Request Form, found on the BHA EAG Page.

11.3.1.3. FERTILIZERS

Any purchase of fertilizer, regardless of where you procure it, requires BHA approval. If you propose to purchase fertilizer you must provide the following information.

- Type of fertilizer. For fertilizer type eligibility, refer to the list of fertilizers in the Fertilizer Financing Guidance (ADS Reference 312mad),
- Composition of fertilizer,
- Total amount of fertilizer,
- Total cost per type of fertilizer,
- Average price,
- Maximum amount of fertilizer per hectare,
- Maximum amount of fertilizer per beneficiary,
- Maximum cost per beneficiary,
- Maximum number of hectares with fertilizer applied, and
- Average cost per beneficiary.

See the Fertilizer Template on the BHA EAG Page for more detailed guidance.

If you propose manure as a fertilizer, you must purchase it within 40 kilometers of where you intend to use it. You must also describe in your Technical Activity Narrative the measures you will take to ensure a reasonable level of phytosanitary safety.

When BHA funds an application that includes fertilizer, the award includes a special provision authorizing local purchase and making the awardee responsible for complying with the specifications in the USAID Commodity Eligibility Listing (ADS 312), if the Listing includes requirements for the desired type of fertilizer.

BHA rarely finances the purchase of large quantities of fertilizer for several reasons, including the high cost and the challenges vulnerable farmers face in establishing a sustainable and technically sound use of fertilizer after an activity ends.

11.3.2. PESTICIDES AND PESTICIDE-CONTAINING MATERIALS

USAID classifies pesticides or pesticide-containing or incorporated materials, such as LLINs, pesticide-treated seeds, and fumigants as restricted commodities. BHA takes the purchase, use, or distribution of pesticides very seriously. BHA will only consider funding pesticide purchase, use, or distribution in response to agricultural pest outbreaks and public health emergencies where pesticides are assessed for safety and efficacy and

deemed necessary to the activity's success. IDA-funded projects are permitted to use pesticides under the above conditions, but only in compliance with USAID's pesticide procedures, described below. The IDA "Exemption" to USAID Environmental Regulations does not apply to the procurement or use of pesticides, as specified in [22 CFR 216.2(e)](link).

PROCEDURES FOR PESTICIDE COMPLIANCE

All procurements and uses of pesticides must undergo review and clearance by the BHA Bureau Environmental Officer (BEO), in consultation with BHA pesticide technical advisors. Applications proposing interventions that involve procuring or using pesticides, regardless of whether or not USAID will directly fund those interventions, must follow USAID Pesticide Procedures in [22 CFR 216.3(b)](link). This includes any pesticide-related actions, such as
- Handling;
- Transporting;
- Using;
- Procuring pesticides, pesticide-containing products, or equipment for applying pesticides;
- Distributing;
- Managing; or
- Disposing of pesticides or pesticide-containing materials, including those procured with non-BHA resources, but for which you plan to use BHA funds to transport, distribute, store, apply, or dispose.

You must adhere to a Pesticide Evaluation Report and Safer Use Action Plan (PERSUAP) (or, less commonly, a pesticide-focused Programmatic Environmental Assessment [PEA]) that addresses the 12 factors listed in [22 CFR 216.3(b)](link), A-L:

Pesticides Analysis
- USEPA Registration status of the requested pesticides;
- The basis for selection of the requested pesticide;
- The extent to which the proposed pesticide use is part of an integrated pest management program;
- The proposed method or methods of application, including availability of appropriate application and safety equipment;
- Any acute and long-term toxicological hazards, either human or environmental, associated with the proposed use and measures available to minimize such hazards;
- The effectiveness of the requested pesticide for the proposed use; and
- The availability and effectiveness of other pesticides or non-chemical control methods.

Environmental and Regulatory Contexts
- Compatibility of the proposed pesticide with target and nontarget ecosystems;

- The conditions under which the pesticide is to be used, including climate, flora, fauna, geography, hydrology, and soils; and
- The requesting country's ability to regulate or control the distribution, storage, use, and disposal of the requested pesticide.

Safe and Effective Use
- The provisions made for training of users and applicators; and
- The provisions made for monitoring the use and effectiveness of the pesticide.

If you request to procure or use pesticides (not including pesticide-treated seeds and LLINs), you must submit the Pesticide Request Form, found on the BHA EAG Page. (BHA is currently finalizing the Pesticide Request Form. In the interim, you must submit with your application a description of the pesticide you propose to procure or use, the pesticide's active ingredients, and the planned use(s). USAID will conduct a provisional PERSUAP analysis of the requested pesticide. If you have questions, contact BHA.BEO.Support@usaid.gov.) If you request to use pesticide-treated seeds or LLINs, you must submit the respective request forms, also found on the BHA EAG Page. Where available, BHA prefers to provide partners with a relevant, existing PERSUAP. Existing PERSUAPs are found on USAID's [Environmental Compliance Database](#) and BHA's EAG Page. In the absence of a relevant, existing PERSUAP, BHA will develop PERSUAPs to advance the safety and efficacy of pesticide use in both humanitarian and development contexts. You must have a BEO-approved PERSUAP in place before procuring or using pesticides. BHA will accept partner-developed PERSUAPs, but preparing, implementing, and obtaining USAID's approval of such highly technical analyses is time consuming, and specialized pesticide experts must oversee the PERSUAP development process.

COST SHARING AND VOUCHERS

BHA does not support the use of cash or vouchers for USAID-restricted pest control commodities. When you distribute cash with the main intent to support procurement of agricultural inputs, you must clearly tell beneficiaries that they cannot use that cash to buy pesticides. If you provide cost sharing, you must still adhere to USAID Pesticide Procedures, as pesticides are a Restricted Commodity regulated by 22 CFR 216.

SECTORAL PESTICIDE GUIDANCE

Pesticides can be used across sectors and sub-sectors (e.g., agriculture, livestock, health, nutrition, WASH, construction, commodity management). See the *Sector Requirements* for sector- and sub-sector-specific information and requirements for pesticide procurement or use.

11.3.3. PHARMACEUTICALS AND MEDICAL COMMODITIES

Pharmaceuticals include essential medicines, vaccines (biologicals), and specific Rapid Diagnostic Tests (RDTs). Both human and veterinary pharmaceuticals are

USAID-restricted commodities and must meet certain conditions before we approve their purchase using BHA funds.

11.3.3.1. HUMAN PHARMACEUTICALS

Human pharmaceuticals purchased with BHA funds must be safe, effective, and provided by vendors who adhere to internationally accepted standards including good distribution practices, good manufacturing practices, and good storage practices. Under the Health sector, refer to the Pharmaceuticals and Other Medical Commodities sub-sector in the *Sector Requirements* for complete information and instructions. BHA has provided sample formats to help you address all required conditions (available on the BHA EAG Page).

11.3.3.2. VETERINARY PHARMACEUTICALS

Veterinary pharmaceuticals purchased with BHA funds must be safe, effective, and provided by vendors who adhere to internationally accepted standards including good distribution practices, good manufacturing practices, and good storage practices. Under the Agriculture sector, refer to the Veterinary Pharmaceuticals and Other Medical Commodities (VPMC) sub-sector in the *Sector Requirements* for complete information and instructions. Pesticides used to control livestock ectoparasites through dipping must adhere to the USAID Pest Management Guidelines, per the Agriculture sector, Pests and Pesticides sub-sector in the *Sector Requirements*.

11.3.4. MOTOR VEHICLES

USAID classifies motor vehicles manufactured outside the United States as restricted commodities. If you use vehicles not manufactured in the United States, in your budget narrative you must justify the purchase or lease(s) of the same vehicle type for more than 180 days in a year. Motor vehicle restrictions do not apply to car services you may contract over the course of the award, but rather to direct leases you hold. Prior approval to procure motor vehicles manufactured outside the United States is separate from prior approval to procure motor vehicles as capital equipment within an award.

USAID defines motor vehicles per 22 CFR 228, which includes vehicles with passenger carriage capacity, but does not include ambulances, snowmobiles, industrial vehicles, graders, scrapers, off-highway trucks, boats, and other vehicles not designed for travel above 40 kilometers per hour.

If the AO approves the procurement of non-U.S. manufactured vehicles, the vehicles will be subject to the order of preference and file documentation requirements in paragraph (b) of the standard provision titled "USAID Eligibility Rules for Commodities and Services" and a supplemental descending order of preference, as follows:

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

- Vehicles manufactured in a Code 935 country by non-subsidiaries of U.S. manufacturers. See [ADS 310.3](#).

11.3.5. COVERED TECHNOLOGIES

USAID classifies certain telecommunications and video surveillance services or equipment as restricted commodities. You must ensure that your proposed costs comply with [2 CFR 200.216](#) and USAID's policy regarding acquisition and use of "covered technologies." This includes procurement, extension, or renewal of contracts to obtain equipment (e.g., cell phones), services (e.g., local internet service providers), or systems from the sources identified in the CFR.

11.3.6. USED EQUIPMENT

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

- Activity needs will be satisfied if the purchased material is used, rebuilt, or reconditioned;
- Economic considerations justify procuring used, rebuilt, or reconditioned equipment; and
- The price is reasonable.

In addition, you must arrange for a USAID-approved inspector to inspect and appraise the equipment with the understanding that this cost will be eligible for reimbursement only if BHA approves financing for the used equipment. This is a time-consuming process; therefore, you should talk to BHA staff before requesting BHA funding to purchase used equipment.

11.3.7. U.S. GOVERNMENT-OWNED EXCESS PROPERTY

Receiving approval to purchase U.S. Government-owned excess property is time-consuming and you should talk to BHA staff before proposing these costs.

11.4. ADDITIONAL RESTRICTIONS

11.4.1. PROHIBITED SOURCE COUNTRIES

You cannot use funds provided under BHA awards to procure commodities and services from prohibited sources without the AO's written approval. Prohibited sources are countries to which assistance is prohibited by the annual appropriations acts of Congress or other statutes. Prohibited sources also include countries subject to other executive branch restrictions, such as applicable sanctions administered by OFAC. USAID maintains a list of prohibited sources, available in [ADS 310mac](#).

11.4.2. U.S. ECONOMIC SANCTIONS

U.S. executive orders and U.S. laws prohibit transactions with, and provision of resources and support to, individuals and organizations associated with terrorism. OFAC administers [U.S. economic sanctions](#) against certain countries, entities, and

individuals. Your organization is legally responsible for ensuring compliance with these executive orders and laws. In some cases, USAID or your organization may need to obtain an OFAC license.

11.4.3. U.S. EXPORT RESTRICTIONS

The U.S. Department of Commerce administers the U.S. Export Administration Regulations found in 15 CFR 730, et seq. The Commerce Control List and the Export Administration Regulations include further information. You are legally responsible for ensuring compliance with these regulations.

11.4.4. U.S. LEGAL RESTRICTIONS ON PROVIDING ASSISTANCE TO FOREIGN COUNTRIES

Per 22 CFR 228.13, foreign government-controlled organizations (i.e., firms operated as commercial companies or other organizations or enterprises, including nonprofit organizations, in which foreign governments or their agents or agencies have a controlling interest) are not eligible to supply commodities or services unless otherwise approved in advance by the AO. Government ministries or agencies of the cooperating/recipient country are eligible to supply commodities and services if they were not formed primarily for commercial or business purposes.

Due to various legal restrictions, BHA may be unable to provide assistance under some circumstances, including:

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

This is not an exhaustive list, and BHA has statutory authority to waive some restrictions to provide life-saving assistance. You should consult with BHA to confirm country eligibility before submitting a full application.

12. SUPPORTING DOCUMENTATION

12.1. CERTIFICATIONS AND ASSURANCES

All applications must include the complete, current, and signed Certifications and Assurances package (ADS 303.3.8.).

12.2. BRANDING STRATEGY AND MARKING PLAN

All applications for new awards must contain a Branding Strategy (BS) and Marking Plan (MP). You do not need to include updated BS/MPs with requests for award modification unless the operating environment has changed or you are proposing new interventions.

Per 2 CFR 700.1, "branding" means how you name and position the program, project, or activity, as well as how you promote and communicate it to beneficiaries and cooperating country citizens. "Marking" refers to visibly affixing the USAID Identity or approved logos to activity deliverables, such as activity materials, commodity packaging, and public communications.

You must appropriately identify activities funded under Section 641 of the Foreign Assistance Act of 1961, as amended, and the annual appropriations acts as "American Aid." To comply with this statutory requirement, USAID requires that you co-brand and co-mark all assistance. This includes programs, projects, activities, public communications, studies, reports, activity sites, events, training courses, commodities, and other materials funded by USAID.

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

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

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

MARKING WAIVERS AND PROGRAMMATIC EXCEPTIONS

In rare circumstances, USAID may approve waivers or programmatic exceptions to branding and marking requirements per 2 CFR 700.16(h) and (j), and 22 CFR 211, as applicable. Waivers are considered if marking requirements (e.g., using the USAID logo) would pose compelling political, safety, or security concerns; whereas, exceptions are considered for programmatic reasons as detailed in 2 CFR 700.16(h). Requests to waive branding and marking requirements must include a valid justification with details on the scope of the request. BHA expects partners to brand and mark where it is safe to do so. USAID will narrowly target waivers in terms of geography, time, and programmatic application. Applications must include a BS/MP irrespective of whether

you are requesting a marking waiver. You should consult BHA staff for further information on exceptions or marking waivers. You must submit a waiver request separately from, and in addition to, the BS/MP.

12.3. NEEDS ASSESSMENT SUMMARY REPORT ANNEX

You must submit a Needs Assessment Summary Report containing the information described below. The Needs Assessment Summary Report should concisely summarize the questions, methods, findings, and recommendations of the needs assessment that informed your activity design.

BHA encourages you to communicate with us about assessing and analyzing a humanitarian crisis. Partner assessment data, combined with assessment data from BHA's primary and secondary sources, feed into strategic design and ongoing operational analysis.

BHA understands that in some humanitarian contexts and rapid-onset situations you may not be able to submit primary assessment data. In these situations, use secondary data sources as the basis for your assessment report, state in the methodology section that you only used secondary data, and clearly cite all secondary data sources. You may also submit needs assessments conducted by your organization, the host-government disaster management office, or other internationally recognized sources familiar with the context, such as relevant UN agencies. If assessment data gaps remain, you should detail your plans for collecting the required information in the recommendations section of the Needs Assessment Report Annex.

BHA encourages you to participate in the Humanitarian Program Cycle, including joint needs assessments, joint needs analyses, and the comprehensive appeal, and to incorporate these as references in your application, where appropriate. We also encourage you to participate in complementary sector-specific assessments and analysis. Joint assessments do not replace programmatic assessments implemented by individual organizations, which help provide the detailed information necessary for programmatic interventions.

Except in extraordinary circumstances, BHA does not fund individual organizations to conduct needs assessments that only inform the assessing organization's activity design. However, BHA will fund, case-by-case, coordinated needs assessments (see *Sector Requirements* Section 8, Humanitarian Coordination, Information Management, and Assessments).

Note that a needs assessment is different from a baseline study. If your application is funded, the terms of your award may require you to submit a separate baseline study specific to your proposed activity. Section 16.3.2., Baseline and Endline, summarizes the timing and required information for the baseline report. The terms of your award agreement will supersede these *Guidelines*.

In modification requests, you should include assessment updates and describe your achievements during the last award period based on your previous application. You should include any constraints that prevented you from achieving your previous

purpose(s) and explain how your organization plans to address those constraints in the ongoing activity.

12.3.1. NEEDS ASSESSMENT SUMMARY REPORT CONTENTS AND STRUCTURE

The Needs Assessment Summary Report must include the following four sections.

ASSESSMENT QUESTIONS

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

ASSESSMENT METHODS USED AND LIMITATIONS

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

1. State the methods you used to collect data in the assessment;
2. State the geographic scope and locations for the assessment;
3. Describe how you designed, planned, and implemented the assessment to give the communities, particularly vulnerable and underserved groups, an active and participatory voice in all stages of the assessment process;
4. Explain how you coordinated assessments across sectors;
5. State how you disaggregated the assessment data by geography, sex, and age;
6. Describe how you ensured the data collected were anonymized, did not include personally identifiable information (PII), and stored safely;
7. Explain how you mitigated any bias in data collection and analysis; and
8. Describe how you incorporated Sphere assessment standards and guidance from the Good Enough Guide – Humanitarian Needs Assessment.

ASSESSMENT FINDINGS AND ANALYSIS

You should organize the assessment findings and related analysis in response to the assessment questions. Findings should identify the most severe humanitarian needs, particularly vulnerable populations in need, and the priority response sectors. You do not need to provide significant detail about the findings per sector; you will provide that information in the Technical Activity Narrative. In this document you should only summarize your overall findings from the needs assessment or from secondary data sources you reviewed over the course of your needs assessment.

Describe the programmatic recommendations that resulted from the assessment process and analysis. In this section, you should briefly address the question: what programmatic actions will my organization take as a result of this assessment? You do not need to provide a sector-by-sector set of recommendations.

12.4. SAFETY AND SECURITY PLAN

BHA requires you to submit location-specific Safety and Security Plans for proposed operational areas. This requirement applies to new applications and funded modifications in which you propose additional operational areas. If your proposed sub-awardee cannot submit a plan of their own, your organization must explicitly cover the sub-awardee staff and operations in your Safety and Security Plan. The plan must cover all personnel and operations funded under your BHA activity, including all partners with substantive programmatic contributions. You must also directly address the unique threats and vulnerabilities faced by national staff in your Safety and Security Plan.

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

Geographic units for contextual, threat, and vulnerability analyses may be as specific as a village, town, city, or neighborhood where you will implement activity interventions. Submitting global security handbooks or policy documents does not satisfy BHA requirements for Safety and Security Plans. You must submit Safety and Security Plans that apply directly to the areas where you propose interventions.

Your Safety and Security Plan must include and clearly address the following for each location where you propose activities:
1. Contextual analysis;
2. Threat analysis;
3. Vulnerability analysis (relating to personnel and operations);
4. Contingency planning for relevant emergency situations such as:
    a. Abductions or illegal detention;
    b. Evacuation;
    c. Emergency medical care;
    d. Psycho-social support for staff impacted by serious crimes or personal violence;
    e. Sexual assault;
    f. Armed attack;
    g. Reporting and prosecution options; and

5. Risk mitigation measures to reduce identified vulnerabilities, which must address the threats in your analysis of proposed activity areas.

Check the BHA EAG Page routinely for new or updated supplementary materials and requirements, including any requirements about pandemics or other global emergencies.

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

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

BHA will not explicitly or implicitly evaluate the merit of any Safety and Security Plan(s) submitted, but will ensure the submitted documents meet the requirements described above.

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

All applicants for new funding must submit a Code of Conduct providing for protection from sexual exploitation and abuse (PSEA) in humanitarian relief operations.

One of BHA's primary programming concerns is ensuring beneficiaries are adequately protected from sexual exploitation and abuse in humanitarian relief operations. BHA is equally concerned about discrimination, sexual harassment, and sexual abuse perpetrated against aid workers. The USAID Agency PSEA Policy outlines further Agency-wide commitments.

You must submit the following as annexes to your application:

12.5.1. PSEA POLICY/CODE OF CONDUCT

1. You must submit a copy of your organization's Code of Conduct, which must explicitly address PSEA.
2. Your organization's Code of Conduct must include the following core principles, in line with IASC Task Force on PSEA in Humanitarian Crises:
   ● Sexual exploitation and abuse by humanitarian workers constitute acts of gross misconduct and are therefore grounds for terminating employment;
   ● Sexual activity with children (persons under the age of 18) is prohibited regardless of the local age of majority or age of consent. Mistaken belief in the age of a child is not a defense;
   ● Exchanging money, employment, goods, or services for sex, including sexual favors or other forms of humiliating, degrading, or exploitative behavior is prohibited. This includes exchanging assistance that is due to beneficiaries;
   ● Any sexual relationship between a person providing humanitarian assistance and protection and a person benefiting from such humanitarian assistance and

protection that involves improper use of rank or position is prohibited. Such relationships undermine the credibility and integrity of humanitarian aid work;

● Where a humanitarian worker develops concerns or suspicions regarding sexual abuse or exploitation by a fellow worker, whether in the same aid agency or not, they must report such concerns via established agency reporting mechanisms; and

● Humanitarian workers must create and maintain an environment that prevents sexual exploitation and abuse and promotes the implementation of their Code of Conduct. Managers at all levels are responsible for supporting and developing systems that maintain this environment.

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

You are not required to submit copies of the Code of Conduct for any planned sub-awardees. However, if your application is funded, the terms of the award agreement will require your organization to ensure sub-awardees have adopted a Code of Conduct consistent with the [IASC Task Force on PSEA in Humanitarian Crises](#).

BHA encourages partners to consider budgeting for PSEA measures to ensure systematic implementation across the organization. You must have pre-existing PSEA protocols in place as part of your organizational costs. However, BHA will consider supporting additional activities that contextualize or amplify existing PSEA efforts to address a crisis's specific vulnerabilities or circumstances.

See the following resources for more information on PSEA and sample codes of conduct:

● The [IASC Results Group on Accountability and Inclusion](#)
● The [IASC PSEA Task Force](#)
● [InterAction PSEA Training Guide](#)

12.5.2. IMPLEMENTATION DETAILS

If you apply for new funding you must also submit implementation details for the Code of Conduct specific to your application's country or region. You should submit these details as an annex, not to exceed one page, describing:

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

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

12.6. ACCOUNTABILITY TO AFFECTED POPULATIONS PLAN

If you apply for new funding, you must submit an Accountability to Affected Populations (AAP) plan as an annex, not more than two pages long. Accountability to Affected Populations involves placing affected communities, especially the most vulnerable individuals, at the center of humanitarian action. Humanitarians hold themselves accountable by providing accessible information to people receiving assistance, establishing an effective process for participation and feedback, and making decisions that are responsive to the views of affected people. You must design activities and approaches to reach and include the voices of the most vulnerable groups, considering gender, age, ethnicity, language, and special needs.

BHA requires evidence that you are addressing AAP throughout the program cycle. You must submit an AAP plan or framework specific to the interventions you include in your application. Your AAP plan should describe the following:

1. How the affected population, including marginalized or vulnerable groups, will actively participate in decisions about the activity design and implementation;
2. What mechanisms are in place to provide timely and accessible information, and to receive and respond to beneficiary feedback throughout the activity;
3. How you will ensure feedback and information mechanisms are safe, accessible, and preferred by beneficiaries, especially marginalized or vulnerable populations; and
4. How you will ensure confidentiality and respond to any critical or sensitive program irregularity or protection issues.

We encourage you to align your AAP plan or framework with the [IASC's Four Commitments to AAP](#) and the [accompanying guidance note](#). BHA will consider funding interventions aimed at contextualizing organizational AAP practices and incorporating beneficiary feedback as part of the activity's overall budget.

For further explanation of the AAP concept, refer to the [Core Humanitarian Standard on Quality and Accountability](#).

12.7. MONITORING AND EVALUATION PLAN

You must submit an M&E Plan as an annex to your application.

BHA supports robust monitoring and evaluation consistent with the best practices of [ADS 201](#) and the [USAID Evaluation Policy](#). For detailed guidance, refer to *BHA Guidance for Monitoring, Evaluation, and Reporting for Emergency Activities* on the BHA EAG Page. Your M&E Plan must consist of two components:

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

Component 1:	Indicator Tracking Table	Required
Component 2: M&E Plan Narrative	Monitoring Approach	Required
	Abbreviated SOW for baseline and endline	Required if the application is for an activity six months or longer
	Evaluation Approach	Required if ● The application is for an activity 18 months or longer, or ● Your organization has implemented at least one BHA-funded award in the application country in the past three years but has not evaluated a BHA-funded award in the application country in the past three years.

12.7.1. INDICATOR TRACKING TABLE

The ITT must align with the technical narrative and include all indicators you will use to track progress against activity results. All applications must have an ITT regardless of duration. You should organize the ITT by the purpose and sub-purpose(s) and include, at a minimum, the following components:

- Results statements;
- Indicators;
- Data sources/methods;
- Targets; and
- Assumptions.

A suggested ITT format is on the BHA EAG Page, which you may adapt to match the activity's design. You should also use the *Indicator Handbook* to complete the ITT.

RESULTS STATEMENTS

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

Goal (Required): State the goal of the activity, which is the long-term result to which the activity seeks to contribute.

Purpose(s) (Required): State the purpose(s) of the activity, which are the highest-level result(s) the activity is accountable to achieve. You are responsible for using indicators to measure progress toward and achievement of the activity's purpose(s). The purpose statement(s) must be SMART.

Sub-Purpose(s) (Required if applicable): The sub-purpose(s) of an activity are the results one component of the activity must achieve to reach the purpose(s). The activity is accountable to achieve the sub-purpose(s), and you are responsible for using indicators to measure the achievement of the sub-purpose(s). The sub-purpose statement(s) must be SMART. You must use sub-purposes for applications with integrated and multi-sector purposes. Depending on the activity's complexity, sub-purposes are required if applicable for single-sector activities or activities with multiple single-sector purposes not integrated in design.

Intermediate Outcome(s) (Optional): The intermediate outcome(s) of an activity are the immediate result(s) of an intervention. The activity is accountable to the intermediate outcome(s) of the proposed activity and you are responsible for using indicators to measure the achievement of the intermediate outcome(s). The intermediate outcome(s) must be SMART.

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

INDICATORS

You must include all indicators for the proposed activity in the ITT. You must include all required indicators and they should correspond to the appropriate sector(s) and subsector(s) for the proposed interventions.

BHA's required indicators are in the *Indicator Handbook*. You must select "Required", "Required-Select 2", "Required-Select 3" and "Required if Applicable" indicators for each sector and sub-sector you propose in your activity. You may also select "Optional"

indicators at your discretion. You are required to use custom indicators for some sectors and sub-sectors.

You must select indicators appropriate to measure the results articulated in your application's Detailed Technical Description. You must use the exact indicator title as listed in the Performance Indicator Reference Sheets (PIRS), and you may contextualize methods/sources in the ITT columns if needed. The PIRS can be found in the *Indicator Handbook*. If any of the required indicators are not relevant to your proposed activity, you must clearly justify omitting the required indicators in the Monitoring and Evaluation Plan Narrative. If BHA lacks a relevant metric to measure a result, you may include an appropriately designed custom indicator.

DATA COLLECTION DETAILS

Briefly summarize the data source, data collection methods, and frequency you will use to measure each indicator. Identify which position in your organization will be responsible for collecting data. The information provided in these columns must align with the BHA PIRS, described in the *Indicator Handbook*.

TARGETS AND ACTUALS

A target is a measurable value that represents a planned level of achievement you intend to accomplish (output) or a change that should occur (outcome) within a specific timeframe. BHA requires life of award (LOA) targets, but you may also include more specific targets as appropriate. You should include estimated targets for both output and outcome indicators.

If your application is funded, you should report actual values for each indicator at baseline, semi-annually, and annually in the ITT throughout implementation.

ASSUMPTIONS

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

12.7.2. MONITORING AND EVALUATION PLAN NARRATIVE

The M&E Plan narrative should include the following:

● Monitoring Approach, including an Abbreviated SOW for baseline and endline, as applicable; and
● Evaluation Approach, including Abbreviated SOW, as applicable.

12.7.2.1. MONITORING APPROACH REQUIREMENTS

You must address the following areas in your Monitoring Approach:

1. *Specific Data Collection Methods.* Describe the methods you will use to collect data at the output and outcome levels. This includes routine monitoring, which refers to data staff continually collects throughout implementation, and any other data collection methods you will use. You should only collect data you need to track performance or understand context. Discuss methods you will use to obtain required sex-disaggregated data and identify vulnerable populations. Describe how you will assist the vulnerable and those with unique needs (e.g., older people, one-adult households, persons with disabilities, and any relevant marginalized groups).
   a. *Post Distribution Monitoring (PDM)*, if applicable. PDM is a performance monitoring tool primarily used to monitor distributions and transfers (i.e., food, non-food items, in-kind, cash, and vouchers). If you will conduct PDM in your activity, describe the following components in your monitoring approach: indicators you will collect; survey design (if you will use a survey); sampling design, including defined sampling frame; sample size calculation; sample selection; and data analysis plan. PDM's timing and frequency depend on the activity design. You should clearly justify the proposed timing and frequency in this section.

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

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

   a. *Market Monitoring*. If you propose to distribute or transfer cash or vouchers for food or non-food items, you must describe how you will monitor the price and availability of commodities in the primary market areas where you operate. For guidance on market monitoring and analysis, refer to the following resources: [MARKit: Price Monitoring, Analysis and Response Kit](#), [ICRC Market Analysis Guidance: Chapter 3](#), and [WFP Price Monitoring](#).

4. *Monitoring Limitations and Mitigating Measures*. State any limitations or programmatic risks within the Monitoring Approach that may influence your ability to collect and manage data or achieve activity results. Include limitations of remote

management. For every limitation or risk, provide a mitigating measure to overcome the limitation.

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

6. *Feedback Mechanism Requirement*. Explain how your feedback mechanism will collect, monitor, promptly address, and incorporate beneficiary feedback throughout the activity. Explain how your feedback mechanism will improve the quality of programming, describe your plans to share monitoring results with beneficiaries, and address any linkages to your AAP Plan. Describe how you will integrate the system for managing feedback (e.g., tracking, responding to, and resolving issues) into performance monitoring, categorize feedback, test the system's functionality, and refer feedback (when appropriate). Also describe your standard operating procedure for closing the feedback loop. Explain whether your feedback mechanism feeds into a response-wide, collective accountability mechanism.

7. *Data Management*. Describe how you will manage data for the proposed indicators during collection, reporting, and storage. Describe how you will use your data management process to ensure consistent handling, quality standards, and the privacy and protection of beneficiary data. Describe how you will prevent double counting activity beneficiaries. In addition, for consortium or partnership activities, describe how you will coordinate across partners to collect and manage indicator data.

    a. *Data Quality Assurance Procedures.* Describe your strategies for reducing bias and errors in measuring, transcribing, and processing data. Describe how you document methods and protocols for data collection, data entry and cleaning, coding, aggregation, and analysis. In this section, you must also describe data quality assurance processes for sub-awardees and remotely located offices, as applicable. Procedures for verifying and validating the data collected by the monitoring system may include:

        i. Site visits by activity staff to verify beneficiaries' responses to surveys or another means of data collection;
        ii. Using photographs, video or audio recordings, or other evidence to verify the data collector's observations, transcriptions, and interpretations (See USAID's Data Security Guidance: Protecting Beneficiaries); and
        iii. Data Quality Assessments (DQAs) to assess how effectively the data quality assurance processes meet the five key data quality attributes: validity, reliability, timeliness, precision, and integrity. (See USAID's How-to Note on conducting a DQA.) BHA encourages partners to complete at least one DQA during an award's period of performance and to share DQA findings with BHA.

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

8. *Staffing and Budget*. Provide a table summarizing the resources you plan to use to support M&E throughout the proposed activity, including the total M&E budget and the relevant line items (e.g., number and type of dedicated M&E staff, number and type of Information and Communication Technology [ICT] equipment, accountability to affected populations mechanism, research, evaluations). BHA encourages applicants to budget at least three percent of the total budget to M&E. This percentage may vary slightly by award size, with larger-budget activities spending a smaller percentage, and smaller-budget activities spending a higher percentage. Regardless of your total planned M&E expenditures, you must provide sufficient detail in this portion of the M&E Plan Narrative to demonstrate that you can effectively monitor and evaluate the proposed interventions using your planned resources. The information you provide in this section must also align with the information you provide in the cost application.

If you are applying for an activity six months or longer, you must include an Abbreviated SOW for baseline and endline reports in your application. You must include the Abbreviated SOW in the M&E Plan Narrative, and include:

1. *Methods.* Describe the baseline and endline data collection method(s) you will use. For each indicator, data collection methods must adhere to those in the PIRS and be appropriate to the activity.
   a. For output indicators with a baseline value of zero, describe the monitoring approaches you will use to collect data for that indicator throughout the activity.
   b. For quantitative methods, include the sampling strategy, sample size calculation, and sampling frame.
   c. A subset of BHA indicators require you to conduct a baseline and endline survey using probability sampling as prescribed by the PIRS. Follow the BHA Guidance for an Abbreviated SOW for Baseline and Endline in Annex 2 of the BHA Emergency M&E Guidance.
   d. For qualitative methods, describe the methods you will use to collect data (e.g., Key Informant Interview, focus groups, observation); the sampling methods and key attributes you will use to select sample sites and respondents; and your estimated number of sample communities, groups, and individuals.
   e. You may use endline data from a previous BHA award for a new activity's baseline values only if you will implement the same interventions in the same area with the same target population.
2. *Analysis Plan*. Explain how you will analyze and compare baseline and endline data. If you are reporting on indicators that require baseline survey data to be statistically comparable to the endline values, describe how you will statistically compare the

baseline and endline data. Describe any key analyses that will inform how you target or implement the activity.

3. *Timeframe*. Describe when you plan to collect baseline and endline data. Baseline data collection may coincide with initial implementation, such as during beneficiary registration, or through a discrete data collection process.
4. *Data sources*. From whom will you collect data? Specify if you will collect data from the implementation area's population or only from direct beneficiaries. Specify and describe any secondary data you will use.
5. *Locations*. Where will you gather data?
6. *People responsible*. Which position(s) or team(s) will be responsible for gathering the data? Will you conduct data collection internally or use an external consultant? If you will use an external consultant, summarize the consultant's qualifications.
7. *Limitations and mitigating measures*. What limitations do you foresee and how do you plan to overcome them?

Further information regarding baseline report requirements is provided in Section 16, [Post-Award Reporting Requirements and Documentation](#) and in the *BHA Emergency M&E Guidance* on the BHA EAG Page.

12.7.2.2. EVALUATION APPROACH REQUIREMENTS

If your organization meets either of the following criteria, you must include an Evaluation Approach with an Abbreviated SOW as a component of your M&E Plan Narrative.
● If you are proposing a period of performance of 18 months or longer; or
● If your organization has implemented at least one BHA-funded award in the application country in the past three years but has not evaluated a BHA-funded award in the application country in the past three years. Partners must evaluate any BHA-funded award at least once every three years in the application country. (For this requirement, "BHA-funded awards" do not include awards you received from Food for Peace or the Office of U.S. Foreign Disaster Assistance.)

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

If the proposed activity meets the above criteria and you believe an evaluation is not feasible or appropriate, you must justify omitting an evaluation in writing. Briefly explain under the Evaluation Approach section of your M&E Plan Narrative why you will not evaluate the activity.

For activities that do not meet the criteria listed above, BHA encourages, but does not require, you to conduct evaluations. If you request funding to support an evaluation, you must include those evaluation costs within the staffing and budget section of the Monitoring Approach portion of the M&E Plan narrative.

You must address the following in the Evaluation Approach portion of your M&E Plan Narrative:

1. *Evaluation purpose*. State what your organization aims to learn from this evaluation and how you will use and share the results. You do not need to evaluate the entire activity. Focus on aspects or components of the activity you can evaluate with available resources within the activity's timeframe.
2. *Evaluation type*. BHA supports real-time, formative, and summative evaluations at any point during the activity. BHA may support impact evaluations if you thoroughly justify the need for this type of evaluation and explain how you will satisfactorily address the logistical and ethical challenges of implementing an impact evaluation in a humanitarian context.
3. *Evaluation questions*. Provide a maximum of five questions the evaluation will answer. BHA encourages you to focus on questions you can use to manage or improve the activity. See the [Emergency M&E Guidance](#) on the BHA EAG Page for illustrative examples of evaluation questions.
4. *Evaluation methods*. State what methods you plan to use to answer the evaluation questions. BHA supports evaluations that use qualitative, quantitative, or mixed methods. Ensure the methods you propose are appropriate for the questions.
5. *Evaluation timeline*. Describe when you will conduct the evaluation during the activity performance period.
6. *Evaluation findings dissemination*. Describe how you will share the evaluation's findings with impacted communities and other stakeholders.
7. *Evaluator profile*. Describe the evaluator(s)' competencies. BHA expects you to conduct objective evaluations and report results transparently. A high-quality evaluation usually finds strengths and weaknesses in an activity. BHA expects you to report both the strengths and the weaknesses of your activity in your evaluation reports. You must conduct final evaluations using an internal team led by an experienced team leader external to your organization, or using an external firm. Staff members who are not substantially engaged in designing or implementing the proposed activity may participate in the evaluation. USAID staff may also participate in the evaluation.

In your Evaluation Approach, you should provide your best estimate of what you expect to evaluate, but we recognize this plan may evolve with time. If your application is funded, you will need to submit a full SOW to BHA before starting the evaluation and submit the full evaluation report within 90 days after the period of performance ends. Post-award requirements described in the award document will supersede these *Guidelines*. For additional technical guidance, refer to the *Emergency M&E Guidance* on the BHA EAG Page. For guidance on developing an evaluation SOW, refer to the USAID [How-To Note](#).

12.8. ADAPTIVE MANAGEMENT APPROACH AND PLAN

If you are applying for an activity over 12 months long, you must submit an Adaptive Management Plan as an annex, not to exceed one page.

Adaptive management is an intentional approach to making decisions and adjustments in response to new information and contextual changes. By using adaptive

management in designing and implementing activities, you can ensure the activity fits its context, apply lessons learned, anticipate emerging challenges, and maximize efficiency and effectiveness.

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

● Support feedback cycles that foster experiential learning and application of data from assessments, surveys, research, and routine monitoring;
● Use participatory approaches to engage stakeholders, determine needs and opportunities, respond to demand, and prioritize action;
● Reflect on, capture, and apply lessons learned from ongoing work, while also planning potential responses to anticipated shocks or changes in the political, social, environmental, or market contexts; and
● Explore technical, management, and operational adaptations to ensure the activity fits its context.

Adaptive management practices should also link to and complement risk management strategies and efforts to ensure accountability to affected populations.

In your Adaptive Management Plan, you should describe a holistic, integrated, analytical and adaptive program management approach. Rather than outlining organization-level adaptive management policies and practices, your Adaptive Management Plan should articulate activity-level processes and practices appropriate for the context and available resources. The plan (one page maximum) should describe:

1. How the adaptive management approach will contribute to technical program quality, performance efficiency, and effectiveness;
2. How the staffing structure will support adaptive management with appropriate roles, responsibilities, knowledge, and skills;
3. Processes and practices that will enable you to capture, share, and apply relevant data and lessons learned when adjusting the activity's design and implementation; and
4. Factors in the operating environment most likely to require adaptations and how your adaptive management approach will support the process.

Budget and program revisions you make during implementation will require prior approval as specified in Section 14, Budget and Program Revisions Requiring Prior Approval, regardless of the information you provide in the Adaptive Management Plan.

12.9. VOLUNTARY SURVEY ON FAITH-BASED AND COMMUNITY ORGANIZATIONS

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

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

12.10. ORGANIZATIONAL CAPACITY, STRUCTURE, AND PAST PERFORMANCE

You must submit a brief annex detailing the elements listed below.

ORGANIZATIONAL CAPACITY AND STRUCTURE

In this section, you must articulate your organization's and sub-awardees' capabilities and capacities to execute the proposed activity.
1. Introduce your organization(s) and describe your organizational capacity and experience in the proposed sector(s) and sub-sector(s) in the affected country, with the proposed target population, and in the intervention area, as applicable.
2. Justify your proposed sub-awardees, including the reasons you selected them and how you will collaborate.
3. If you are requesting Title II commodities, describe your experience managing these resources.
4. Describe how the proposed management structure, staffing and staff training plans, operational infrastructure, and logistical plans will contribute to activity outcomes.
5. Explain how you organize your headquarters and field office(s), and how you coordinate this structure to achieve performance targets.

PAST PERFORMANCE REFERENCES

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

recent. Include contact names, phone numbers, and email addresses for any references you provide.

12.11. LIST OR MAP OF TARGETED GEOGRAPHIC AREAS

You must submit a list or map clearly identifying targeted geographic areas, either as part of the Technical Activity Narrative or as a separate annex.

12.12. RISK ASSESSMENT AND MANAGEMENT PLAN

BHA recognizes the importance of assessing risk and integrating risk management into all awards, beginning at the application phase with your activity design and budget. Every application or modification request under the *Guidelines* must include a RAMP as a separate annex. For modifications, submit a RAMP or state in your request letter that your existing RAMP requires no modifications.

Per ADS 303 standard provisions, ADS 303maa, and ADS 303mab, all NGOs must disclose all violations of federal criminal law involving fraud, bribery, or gratuity violations. These standard provisions prohibit partners from engaging in transactions with or providing resources or support to any sanctioned groups or individuals included on the Specially Designated Nationals and Blocked Persons List maintained by OFAC or on the United Nations Security Council (UNSC) Consolidated List.

Therefore, your RAMP must specify how you plan to mitigate and manage the risks of potentially misusing U.S. Government resources in your proposed activities/modalities. For environments BHA considers high-risk, your RAMP must address additional questions.

12.12.1. OVERVIEW OF RAMP REQUIREMENTS

As part of your application process, you must demonstrate that you have assessed the risks of fraud, waste, abuse, other misuses of U.S. Government resources; and violations of U.S. sanctions associated with your proposed activities. Consider local context and location(s). The RAMP is separated into two sections:

- **Requirements for All Applications**: All applicants must respond to the questions outlined in this section.
- **Additional Requirements for Applications in High-Risk Environments**: If you are submitting an application or modification request for an activity in a high-risk environment (listed below), you must answer the additional questions outlined in this section. For countries not currently listed, BHA may request additional information at any time during the application review or award implementation processes.

12.12.2. LIST OF HIGH-RISK ENVIRONMENTS

BHA provides significant funding to humanitarian organizations operating in high-risk environments. *High-risk environments,* for purposes of this RAMP, are environments with groups or individuals who

- Are subject to sanctions administered by OFAC,
- Are designated by the U.S. Department of State as a Foreign Terrorist Organization and subject to the Material Support statutes, or
- Otherwise present a risk of violating U.S. sanctions.

BHA and its partners must take appropriate and necessary steps to ensure the provision of U.S. foreign assistance does not result in violating U.S. law.

The following is a list of geographic areas BHA has identified as "high-risk" based on the presence of sanctioned groups/individuals and other key factors. BHA will update this list periodically.

- Afghanistan
- Burkina Faso
- Cameroon
- Chad
- Colombia
- Democratic Republic of the Congo
- Haiti
- Iraq
- Lebanon
- Libya
- Mali
- Mozambique: Cabo Delgado Province
- Niger
- Nigeria
- Somalia
- Syria
- Ukraine
- Venezuela
- West Bank and Gaza
- Yemen

12.12.3. RAMP REQUIREMENTS FOR ALL APPLICATIONS

All applicants' RAMP submissions must respond to all questions in this section.

1. What is your organization's structure and process for assessing and managing the risks of fraud, waste, abuse, or other misuse of U.S. Government resources?

a. Include a summary of the policies and training your organization has in place to mitigate risk of fraud, waste, and abuse. Examples include conflict of interest policy, whistleblower protections, and ethics training.
b. If applicable, provide a summary of organizational policies and training to prevent the violation of U.S. sanctions.
2. Describe how you will oversee project implementation (including your sub-recipients, if applicable) to mitigate the risk of fraud, waste, abuse, or other misuse of U.S. Government resources. Examples include descriptions of community feedback and response mechanisms, direct or third-party monitoring, and post-distribution monitoring.
a. If applicable, how will you ensure sub-recipients have the necessary internal controls in place to mitigate the risk of fraud, waste, and abuse?
b. Include applicable information on how risk mitigation measures for project oversight will prevent the violation of U.S. sanctions.
3. Describe how your organization coordinates with local entities and/or other humanitarian partners and donors to assess and manage risk (e.g., information exchanges on risks in the operating environment).

12.12.4. ADDITIONAL RAMP REQUIREMENTS FOR APPLICATIONS IN HIGH-RISK ENVIRONMENTS

If you are submitting an application to BHA for an activity in a high-risk environment, you must clearly identify additional risk mitigation and management measures you will take to decrease present risks. You must address the risk that USAID assistance will be used by you or your sub-recipients in violation of U.S. sanctions. Ensure you also respond to questions #1-3 above.

While the high-risk requirements center on sanctioned groups and individuals, BHA also encourages you to respond to the questions by addressing other risks to programming, including the presence of other armed groups. If any of the below questions do not apply to your program, explain why.

4. If U.S. Government-sanctioned group(s) operate in your planned operating areas, specify which sanctioned group(s) operate(s) in each targeted geographic area.
5. Describe how sanctioned groups and/or individuals in the proposed geographic areas operate in relation to humanitarian partners and programming, specifically in relation to the types of activities and/or modalities you propose in your application. Your response should address, as applicable
a. Sanctioned group(s) and/or individuals' attempts to interfere with or influence supplies, equipment (including vehicles), buildings, warehouses, other forms of shelter, or infrastructure required for program implementation or program beneficiaries.
b. Sanctioned group(s) and/or individuals serving as the actual or de facto government in all or part of the proposed geographic areas.

6. Are there applicable sanctions programs (e.g., Afghanistan-Related Sanctions, Syria, Iran, Global Magnitsky, Counter Narcotics Trafficking Sanctions) in your targeted geographic areas that may pose a risk to your programming activities or that may result in a violation of sanctions? If sanctions programs pose a risk to your programs
   a. What risk(s) do they pose, and
   b. What are the potential effect(s) on your program?
7. Describe how you will mitigate the risk of sanctioned group(s) and/or individuals interfering with, or influencing, your organization's beneficiary identification, selection, and verification processes. In your response, you should address how you will prevent, detect, and respond to sanctioned groups and/or individuals attempting to interfere with or influence how you identify, select, and verify beneficiaries.
8. Describe how you will mitigate the risk of sanctioned groups and/or individuals interfering with or influencing program activities, including the distribution of resources or commodities such as food, non-food items, shelter, water, or WASH kits. Your response should address:
   a. For resource- or commodity-related activities, any additional risk mitigation measures you will take to prevent the violation of U.S. sanctions not already outlined in response to 1b above.
   b. How you will mitigate the risk that a sanctioned group and/or individual may receive an intangible benefit from program activities, including reputational benefit (e.g., by claiming credit on social media for the assistance or services you provide).
9. Describe how you will mitigate the risk of engaging in transactions with or providing material support[1] to sanctioned groups and/or individuals when moving, storing (e.g., warehousing), and/or managing equipment, supplies, or other commodities. Your response should address:
   a. How you will prevent, detect, mitigate, and respond to payments of direct or indirect fees, taxes, or tolls to sanctioned groups and/or individuals.
   b. How you will prevent, detect, mitigate, and respond to payments of commercial transactions (e.g., gasoline, hotel tax, public utility payments) to sanctioned groups and/or individuals.
10. Describe the measures you have in place to mitigate the risk of engaging in transactions with or providing material support to sanctioned groups and/or individuals (e.g., screening against U.S. sanctions and excluded parties lists) through:
   a. Procurement of goods and/or services. Describe your policies for screening vendors, contractors, and suppliers, including money transfer service providers; and
   b. Recruitment. Describe your policies for screening employees, partners, and consultants.

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[1]See 18 U.S. Code § 2339A - Providing material support to terrorists, and 18 U.S. Code § 2339B - Providing material support or resources to designated foreign terrorist organizations

11. Describe any additional risk assessment and management measures you are implementing for this program, including for sub-recipients if applicable, not described above.

As a reminder, USAID partner vetting requirements may apply to the proposed geographic area, pursuant to ADS 319. If you have vetting questions, contact HAVettingquestions@usaid.gov.

12.12.5. NON-EXHAUSTIVE LIST OF POTENTIAL INFORMATION SOURCES

- ADS 303 Grants and Cooperative Agreements to Non-governmental Organizations, ADS 303maa Standard Provisions for U.S. Nongovernmental Organizations, and ADS 303mab Standard Provisions for non-U.S. Nongovernmental Organizations

- The OFAC Specially Designated Nationals And Blocked Persons List

- The U.S. Government SAM

- U.S. Department of State list of Foreign Terrorist Organizations

- U.S. Department of State, Bureau of Consular Affairs, Travel Advisories

- U.S. Agency for International Development Office of Inspector General

- UNSC consolidated sanctions list

- USAID PSEA Policy

- Any available third-party assessments of your risk mitigation policies and procedures and/or implementation thereof.

- For more information and best practices for risk assessments, management, and data analytics activities, consult the USAID Office of Inspector General's Frequently Asked Questions, the U.S. Government Accountability Office Framework for Managing Fraud Risks in Federal Programs, and the U.S. Government Accountability Office Data Analytics to Address Fraud and Improper Payments.

12.13. SUPPLY CHAIN REQUIREMENTS

If you propose managing commodities in any sector, you must submit a Supply Chain Requirements Annex detailing your supply chain management operations. Even in fluid disaster contexts, BHA partners must appropriately plan for supply chain management, including procurement, transport, and warehousing commodities. BHA recognizes that in rapid-onset emergencies, you may not be able to fully plan for all aspects of supply chain management when you submit your application. In these cases, BHA requires you to provide all details available during the application submission, and to clearly note

what information you do not know. For more information on Title II in-kind commodities, including commodity specifications and the timeframe from procurement to arrival in-country, you should consult the Food Assistance sector in the *Sector Requirements*.

In this section, BHA defines commodities and services as any purchased materials, services, or equipment that directly benefit beneficiaries. Commodities and services are critical in implementing activities, and includes procuring financial services. The below requirements apply to all applications that include procuring, warehousing, or transporting commodities or procuring services. When procuring, transporting, storing, and distributing USAID-restricted commodities and pharmaceuticals, you must follow the applicable USAID regulations, described in Section 11, Ineligible and Restricted Commodities, Services, and Countries.

BHA recognizes that partners develop documents addressing logistics and procurement plans in varying formats. BHA does not require you to use a specific format for any of the requirements below. However, you must include specific elements in the submission, based on the type of activity, as detailed below. You can provide the information listed below in a single document or in a set of documents. You must submit your organizational policies (e.g., procurement, warehousing) in full.

1. If you plan to use BHA funds for any supply chain-related activities, briefly describe in the Supply Chain Requirements Annex the logistics and operational structures and resources available to support the project. Include logistics teams, offices, warehouses, and transport relevant to achieving the purpose(s) of the proposed activity.

2. If you plan to use more than $50,000 of BHA funds for procurement, combined, provide:
    ● A procurement plan including:
        o List of commodities, services (including those for warehousing and transport), and equipment you plan to use for procurement, including unit descriptions and costs per unit. If applicable, list warehousing and transporting food separately from other transport and warehousing services;
        o Planned source and origin of procurement (international, regional, or local);
        o Timeframe when procured commodities, services, and equipment will be ready for distribution;
        o Quality control processes and concerns, including third-party inspection or other methods of quality control you will use to ensure the received commodities/services match the original specifications;
        o If you import commodities, steps you take to facilitate import and any importation issues you anticipate; and
        o If food procurement is involved, you need prior approval for purchase location changes.
    ● A procurement policy that applies in the country of operation and that was revised within five years of you submitting your application. This procurement policy must include the bidding policy, basic details about vendor selection, and the process for approving any deviations from policies. If your organization

intends to deviate from its standard organizational procurement practices under the proposed activity, you must outline the procurement policies you will apply in the application package.
- A transport plan detailing how you will transport the commodities from vendor to warehouse and distribution sites. In the transport plan, you must include a risk mitigation statement that describes how you will mitigate risks such as accidents, damage, diversion, and theft of commodities.

If you propose USAID-financed ocean shipment of commodities, you must comply with the [U.S. Government Cargo Preference Act](#) as described in [ADS 315](#). USAID complies with the Cargo Preference Act at an Agency level. If your application is funded, you will be required to contact the Bureau for Management, Office of Acquisition and Assistance, Transportation Division (M/OAA/T) prior to contracting for ocean transportation to ship commodities you purchase or finance with USAID funds under the award. M/OAA/T will determine the flag and class of vessel to use for shipment.

USAID M/OAA/T must, in advance, approve in writing all air charters covering full or partial cargo. This includes charter parties, booking notes, and booking agreements when those forms of freight contracts incorporate provisions which add to or deviate from, the terms of the carrier's standard bill of lading and tariff. Commodity costs will be ineligible for reimbursement under the award if

- You shipped the commodity under any air charter which did not receive prior written approval from M/OAA/T, or
- You did not include the commodity in your cost application.

In your request to M/OAA/T, you must specify if the selected airline/aircraft is CAA-certified.

3. If you plan to store commodities to support BHA-funded project(s):
   - Submit a storage plan (number of warehouses, storage space required) detailing the adequacy and capacity of storage facilities.
   - Demonstrate that inventory oversight measures are in place to account for and secure commodities until you distribute them.
   - Refer to *Sector Requirements* Section 3.4., Sub-sector: Pests and Pesticides for guidance on pesticide use in warehousing.
   - Submit a copy of the warehouse management policy that applies in the country of operation and that was revised within five years of you submitting your application.

4. You must provide details about all generators or fleet vehicles—including cars, trucks, scooters, motorcycles, boats, and aircraft— you plan to use in the proposed activity. You must demonstrate that these generators and fleet vehicles are sufficient to support the activity. You must demonstrate your capacity to manage a vehicle fleet funded by BHA. Provide:
   - A list of vehicles and generators (type, make, and model) that you own or plan to rent or purchase to support the activity.

- A management plan that includes servicing and maintaining vehicles and generators you will use in this activity.
- The organization's current fleet management policy that applies in the country of operation and that was revised within five years of you submitting your application.

5. Concrete measures you have taken to implement sustainable practices throughout the supply chain. These may include:
   - Implementing supply chain practices to reduce the social, environmental, and economic impacts of procurement, transport, and storage. These practices may include sourcing responsibly and including sustainability as an evaluation criteria when selecting vendors.
   - Reducing packaging or substituting other environmentally friendly packaging options for commodities that involve substantial single-use primary, secondary, or tertiary plastic packaging.
   - Using sustainable warehouse practices (e.g., rainwater catchment, solar panels, recycling, natural ventilation, updated air conditioners) and a waste management plan to reduce your environmental impact.
   - Taking measures to select transportation mechanisms and types of vehicles and generators with more efficient carbon emission.
   - Disposing of aging vehicles and generators (more than eight-ten years old).
   - Reducing or replacing generators with sustainable energy sources where possible.

For a description of the capacities the BHA Supply Chain team can provide partners and for environmental sustainability guidance, see the Supply Chain Management section of the BHA EAG Page.

IMPLEMENT

13. PRE-AWARD/PRE-MODIFICATION LETTERS

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

2 CFR 200.458 defines pre-award costs as costs "incurred prior to the effective date of the federal award or sub-award directly pursuant to the negotiation and in anticipation of the federal award where such costs are necessary for efficient and timely performance of the scope of work. Such costs are allowable only to the extent that they would have been allowable if incurred after the date of the federal award and only with the written approval of the federal awarding agency."

14. BUDGET AND PROGRAM REVISIONS REQUIRING PRIOR APPROVAL

Some activities require the AO's prior approval. Requesting the AO's approval of these activities in your original application, will reduce administrative follow-up during post-award implementation. If the AO does not approve these activities in the original award, you will need to submit a post-award request for AO approval per the process described below. Common expenditures requiring prior approval include:

- The sub-award, transfer, or contracting-out of any work under an award, unless you describe the activity in the application and the activity is funded in the award's approved budget. This provision does not apply to the acquisition of equipment, materials, supplies, or general support services. (See Section 10.3.2., Sub-award and Contractual Arrangements for more information); and
- Capital expenditures for equipment. BHA defines equipment as tangible personal property (including information technology systems) with a useful life of more than one year and a per-unit acquisition cost which equals or exceeds the lesser of the capitalization level you establish for financial statement purposes, or $5,000.

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

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

Post-award requests, including requests for AO or AOR approval, must describe the purpose of the change and how the change will impact the activity as originally proposed. You must submit requests for award modifications in AAMP (See Section 15, Applications for Award Modifications for more information regarding award modifications). You should email your other requests for AOR or AO approval to the AOR, and attach a formal request letter on your organization's letterhead. You should submit requests as soon as you need a change, as BHA will require time to provide written approval. BHA may confer approvals by letter or through formal award modifications. BHA will always confirm additional funding through a formal modification.

15. APPLICATIONS FOR AWARD MODIFICATIONS

You should refer to your award document for requirements to request a funded or unfunded modification of an existing award. Your award document will always

supersede these *Guidelines*. You should also consult with BHA staff prior to submitting any modification request.

BHA requires you to submit applications for funded and unfunded modifications electronically via AAMP.

15.1 UNFUNDED AWARD MODIFICATIONS

You can request an unfunded award modification to revise the award without adding additional funds, e.g., to extend an award's end date or to change the scope of the activity (e.g., if you are revising your Theory of Change). The supporting documents required for an unfunded modification vary depending on the reason for the modification, however, you are required to provide a pipeline analysis (Section 15.2., Pipeline Analysis) for unfunded modification requests extending the period of performance by more than three months.

15.1.1. REQUIRED ELEMENTS FOR UNFUNDED AWARD MODIFICATION REQUESTS

The table below summarizes the documents generally required for unfunded award modification requests. BHA may request additional documentation as needed, depending on the nature of the request. Details about each of the requirements are provided elsewhere in these *Guidelines*.

For all requests for unfunded award modifications	You must:
	Contact your AOR and adhere to the requirements detailed in the award document, which vary depending on the reason for the request. If applicable, supporting documents listed for scenarios for funded modifications may also be required.
	☐ Submit in AAMP a request on your organization's letterhead describing the purpose and justification for the change and how the change will impact the activity as originally proposed. If you are requesting to extend the period of performance by three months or less, you must also confirm in your request that you have adequate funds and are not requesting additional funds.
	☐ Submit in AAMP a revised RAMP. You must either submit an updated RAMP or confirm (in your request letter) that the modification does not require any changes to your existing RAMP.
If you are:	**Then you must also:**

Requesting to extend the period of performance by more than three months	☐ Submit in AAMP a [Pipeline Analysis](#) (A sample pipeline analysis is available on the BHA EAG Page.)

15.2. PIPELINE ANALYSIS

If you request a funded modification or an unfunded modification extending the period of performance by more than three months, then you must provide a pipeline analysis that shows:

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

The cost categories in the pipeline analysis should match the previously approved budget, and you should ensure that the pipeline analysis also matches previously submitted financial reports.

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

If you request an unfunded modification to extend the period of performance by three months or less, you are not required to submit a pipeline analysis.

15.3. FUNDED MODIFICATIONS

You must request a funded modification for any change to an existing award that would increase the total approved amount of funds. If you are applying for a funded modification, your application should reflect only the interventions you propose to be funded during the modification period. In your justification, you should explain how the new (or extended) interventions fit within the context of the overall award. You should also provide updated information on the context and background data, and use evaluation findings and recommendations in your justification.

COST APPLICATIONS FOR FUNDED MODIFICATIONS

Submit a new budget; budget narrative; and SF-424, SF-424A, and SF-424B reflecting only the additional funds you are requesting through the proposed modification. Do not submit the original budget with updates. If you are also requesting a realignment of existing approved funds, that request must be presented separately from any additional proposed funds, per the terms of your award. The [Cost Application and Budget Guidelines](#) apply to budgets for funded modifications.

M&E REQUIREMENTS FOR FUNDED MODIFICATIONS

If you are requesting to revise the scope of your award (e.g., if you are revising your Theory of Change), you must submit an updated M&E plan narrative and an ITT with updated indicator targets.

If you are requesting to add new sectors, interventions, indicators, or locations, you must also update the baseline report. You must collect baseline data for new interventions and submit an annex to the original baseline report.

If you are requesting a modification that extends the award's length to 18 months or longer, you must explain in your modification application whether adding a final evaluation is appropriate. If you will conduct an evaluation, adhere to the guidance provided in Section 12.7.2.2. Evaluation Approach Requirements.

15.3.1. REQUIRED ELEMENTS FOR FUNDED AWARD MODIFICATION REQUESTS

The table below summarizes the documents generally required for funded award modification requests. BHA may request additional documentation if needed. Details about each of the requirements are provided elsewhere in these *Guidelines*.

For all requests for funded award modifications	You must submit in AAMP:
	☐ A request on your organization's letterhead describing the purpose and justification for the change and how the change will impact the activity as originally proposed.
	☐ Revised Technical Activity Narrative with new information in boldface typed font
	☐ Summary Budget and Detailed or Itemized Budget, broken out by sector, reflecting only the additional funds you are requesting through the proposed modification
	☐ Budget narrative reflecting only the additional funds you are requesting through the proposed modification
	☐ Completed and signed SF-424, SF-424A, and SF-424B reflecting only the additional funds you are requesting through the proposed modification
	☐ Certifications and Assurances (Located on the BHA EAG Page)
	☐ Pipeline Analysis (A sample pipeline analysis is available on the BHA EAG Page.)
	☐ Revised RAMP

	You must either submit an updated RAMP or confirm (in your request letter) that the modification does not require any changes to your existing RAMP.
If you are:	**Then you must also submit in AAMP:**
Using a new indirect cost rate since the original (or previous modification) was issued	☐ Indirect Cost Rates and Documentation
Requesting additional in-kind food commodities	☐ Commodity Calculator (Located on the BHA EAG Page)
Requesting to add a new sub-award	☐ Separate detailed budget and budget narrative, broken out by sector, for each sub-awardee
	☐ The sub-awardee's scope of work (You may include this scope of work in the Technical Activity Narrative or submit it separately.)
	☐ Revised Organizational Capacity, Structure, and Past Performance Annex
Requesting to: ● Revise or expand the scope of the award (e.g., if you are revising your Theory of Change) ● Include new sectors or interventions, or ● Implement in new locations not covered in the original award	☐ Revised BS/MP If you are requesting a waiver, you must submit the request separately from (and in addition to) the BS/MP.
	☐ Revised Needs Assessment Summary Report Annex
	☐ Revised Organizational Capacity, Structure, and Past Performance Annex
	☐ Revised M&E Plan Narrative
	☐ Revised Indicator Tracking Table
	☐ Updated Baseline Report. (You must submit baseline data for new interventions as an annex to the original baseline report.)
	☐ Revised Accountability to Affected Populations Plan
Requesting to extend the period of performance to six months or longer	☐ Abbreviated SOW for baseline and endline (You must include this SOW in a revised M&E Plan Narrative.)
Requesting to extend the activity to over 12 months	☐ Adaptive Management Plan

Requesting to extend the period of performance to 18 months or longer	☐ [Evaluation Approach](#) (You must include the Evaluation Approach in a revised M&E Plan Narrative) You must either submit an Evaluation Approach or explain (in your request letter) why you are not adding a final evaluation.
Experiencing changes in the operating environment that impact safety and security, or proposing to operate in locations not previously included in the Safety & Security Plan	☐ Revised [Safety & Security Plan](#)
<mark>Requesting to change the Milestone Plan for a Fixed Amount Award</mark>	<mark>☐ Revised [Milestone Plan](#)</mark>

REPORT

16. POST-AWARD REPORTING REQUIREMENTS AND DOCUMENTATION

After BHA reviews and approves an application, BHA obligates funding through an award or a modification. You should read the agreement and become familiar with the terms and conditions associated with using USAID funding.

Below is a summary of some post-award documentation and reporting requirements you can expect if your application is funded. This information is provided for your awareness only. If your application is funded, the award document will detail all the requirements applicable to your award and will supersede these *Guidelines*.

16.1. DEVELOPMENT EXPERIENCE CLEARINGHOUSE AND DEVELOPMENT DATA LIBRARY

[ADS 540](#) requires awardees (except PIOs) to submit documentation they create during a USAID award to the [Development Experience Clearinghouse (DEC)](#). This documentation includes assessments, analyses, studies, articles, performance reports, evaluations, and appropriate components of the Annual Performance Report. Before submitting materials, you should ensure the AOR agrees to you submitting the final and cleared materials to the DEC, if required by the terms of the award. You should upload all documents through the DEC and forward the URL to the AOR before the end of the award.

You must submit any quantitative dataset you create or collect with USAID funding to the Development Data Library (DDL). For dataset submission guidance refer to [ADS 579](#).

16.2. PROGRAMMATIC PERFORMANCE REPORTS

Your award will detail the content, timing, frequency, and submission instructions for your activity's programmatic performance reporting requirements and will always supersede these *Guidelines*. However, in general, BHA requires the following types of programmatic performance reports:

- Semi-Annual Report: Generally, this report should include information about the October 1 to March 31 reporting period and must:
  o Follow the reporting guidance and template(s) available on the BHA EAG Page; and
  o Be uploaded, along with direct data entry of indicator values, into the ART module of AAMP.

- Annual Report: Generally, this report should cover the performance period from October 1 to September 30 and must:
  o Follow the reporting guidance and template(s) available on the BHA EAG Page; and
  o Be uploaded, along with direct data entry of indicator values, into the ART module of AAMP.

- Final Performance Report: Generally, this report must:
  ○ Include all interventions and activities for the entire period of performance;
  ○ Follow the reporting guidance and template(s) available on the BHA EAG Page; and
  ○ Be submitted, along with direct data entry of semi-annual, annual, and life of award indicator values, into the ART module of AAMP.

- Program Updates: You are also required to provide regular, informal updates to the AOR and BHA field staff regarding activity progress, constraints, changes, and successes.

16.3. MONITORING AND EVALUATION

16.3.1. UPDATED ITT AND PIRS

Within 90 days of the award start date, you must submit a revised ITT with updated baseline values, targets, data sources, data collection methods, and data collection frequency. BHA recommends, but does not require, that you submit PIRS for all contextualized standard BHA indicators.

BHA provides PIRSs for all required indicators in the *Indicator Handbook*. You must create a PIRS for any custom indicator(s) you include in the ITT.

16.3.2. BASELINE AND ENDLINE

If your application is funded, the award document will describe the baseline reporting requirements, if applicable, and will supersede these *Guidelines*. If a baseline report is required, it should include an updated ITT and custom PIRS, as applicable. The baseline report should be appropriate to the scope and complexity of the award, and adhere to the baseline report guidance in the Emergency M&E Guidance on the BHA EAG Page.

Baseline data are initial values for all indicators you ideally collect before beginning implementation. However, an emergency context and timing may require you to collect data concurrent with the start of the intervention. BHA requires baseline reports for activities of six months or longer within 90 days of the award start date. Baseline reports should also include non-indicator information you use to describe the prevailing conditions of the target communities or population. BHA encourages you to be as concise as possible in your baseline reports. Baseline reports have a maximum length of ten pages. A sample baseline report format is provided as Annex 4 in BHA's Emergency M&E Guidance on the BHA EAG Page.

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

In collecting baseline and endline data, you can employ a variety of quantitative and qualitative methods, depending on what PIRS prescribes for the proposed indicators, and as appropriate for the activity duration. BHA prefers primary data, although secondary data are permissible if operational context does not allow you to collect primary data. Illustrative methods include a census during activity implementation, reviewing service facility-based registers, pre- and post-tests with beneficiaries, and surveys.

Exceptions to Baseline/Endline Representative Surveys:

- In general, BHA does not encourage partners to conduct representative surveys at baseline/endline for activities shorter than 12 months. If, per the PIRS, you are required to report on a BHA outcome indicator that is measured through representative survey, but you do not anticipate affecting this level of change in a shorter-term intervention or you believe conducting the survey will be overly burdensome, you should provide justification in the M&E Plan for BHA review. In your justification, you may propose to either omit this indicator from the M&E Plan or replace the baseline/endline survey with enhanced PDM that includes outcome monitoring.
- When you work with multiple cohorts of beneficiaries through short-term interventions (e.g., when providing one to three months of rations or cash transfers, or when serving mobile populations), BHA may not require you to measure outcome indicators (e.g., Food Consumption Score, Reduced Coping Strategies Index, Household Hunger Scale) at baseline/endline via representative surveys. Instead,

you may propose to conduct a more robust PDM survey that includes outcome monitoring during registration and conduct PDM shortly after the final transfer of assistance. This option allows you to measure outcome indicators during implementation without launching a separate baseline/endline survey exercise. If you elect to propose this approach, you should justify your choice in the Monitoring Approach (M&E Plan Narrative) for BHA review. See Section 5.3.2 of BHA's Emergency M&E Guidance (available on the BHA EAG Page) for more guidance on rolling baselines.

16.3.3. EVALUATION

If you plan to conduct an evaluation, you must submit a full SOW six months prior to the start of the evaluation through the ART module of AAMP. See the BHA Emergency M&E Guidance on the BHA EAG Page for a sample Evaluation SOW format. You must submit the evaluation report within 90 calendar days after the award end date.

16.4. INTERNATIONAL AID TRANSPARENCY INITIATIVE AND THE FINANCIAL TRACKING SERVICE

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

17. ACRONYMS

AAMP	Application and Award Management Portal
AAP	Accountability to Affected Populations
ADS	Automated Directives System
AO	Agreement Officer
AOR	Agreement Officer's Representative
ART	Award Results Tracking
AST	Activity Summary Table
BEO	Bureau Environmental Officer
BHA	Bureau for Humanitarian Assistance
BoQ	Bills of Quantity

BS/MP	Branding Strategy and Marking Plan
CFR	Code of Federal Regulations
DDL	Development Data Library
DEC	Development Experience Clearinghouse
DQA	Data quality assurance
DRR	Disaster risk reduction
EAG	Emergency Application Guidelines
EFSP	Emergency Food Security Program
e.g.	For example
FACG	Food Aid Consultative Group
FFP	Food For Peace
FTS	Financial Tracking Service
IATI	International Aid Transparency Initiative
ICT	Information and Communication Technology
IDA	International Disaster Assistance
IDP	Internally displaced person
ITSH	Internal Transportation, Storage, and Handling
ITT	Indicator Tracking Table
i.e.	That is,
LLIN	Long lasting insecticide-treated net
LOA	LIfe of award
LRIP	Local, regional, and international procurement
M&E	Monitoring and evaluation
MDT	Modality Decision Tool
M/OAA/T	Bureau for Management, Office of Acquisition and Assistance, Transportation Division
MTDC	Modified total direct costs
NGO	Nongovernmental organization

NICRA	U.S. Government Negotiated Indirect Cost Rate Agreement
NOFO	Notice of funding opportunity
OCHA	United Nations Office for the Coordination of Humanitarian Affairs
OFAC	Office of Foreign Assets Control
OIE	World Organization for Animal Health
OMB	Office of Management and Budget
OMBUG	Office of Management and Budget Uniform Guidance
ORS	Oral rehydration salts
PAL	Pre-award letter
PDM	Post-distribution monitoring
PEA	Programmatic Environmental Assessment
PERSUAP	Pesticide Evaluation Report and Safer Use Action Plan
PII	Personally identifiable information
PIO	Public international organization
PIRS	Performance Indicator Reference Sheets
PML	Pre-Modification Letter
PSEA	Protection from sexual exploitation and abuse
PVO	Private voluntary organization
RAMP	Risk Assessment and Management Plan
RDT	Rapid Diagnostic Test
RiA	Required if applicable
SAM	System for Award Management
SDN	Specially Designated Nationals
SFDRR	Sendai Framework for Disaster Risk Reduction
SMART	Specific, measurable, achievable, realistic, and time-bound
SOW	Scope of work
ToC	Theory of change

UEI	Unique Entity Identifier
UN	United Nations
UNSC	United Nations Security Council
USAID	United States Agency for International Development
USD	U.S. dollar
VPMC	Veterinary Pharmaceuticals and other Medical Commodities
WASH	Water, Sanitation, and Hygiene