USAID OFFICE OF U.S. FOREIGN DISASTER ASSISTANCE (USAID/OFDA)

GUIDELINES FOR UNSOLICITED PROPOSALS AND REPORTING

October 2008

NOTICES

- **These *Guidelines* pertain to unsolicited proposals, and do not supersede instructions contained in a Request for Applications (RFA) or an Annual Program Statement (APS). Applicants should follow specific instructions contained in an RFA or APS to ensure consideration of their proposal.**

- Unless otherwise indicated, these *Guidelines* do not apply to public international organizations (PIOs)—including U.N. agencies—unless USAID/OFDA is the sole contributor.

- This is a living document. Prior to any proposal submission, applicants are strongly encouraged to check the USAID/OFDA website for updates to these *Guidelines*: http://www.usaid.gov/our_work/humanitarian_assistance/disaster_assistance/resources/#grants

- **Electronic proposal submissions are encouraged and preferred; hard copies by regular mail are no longer required.** Proposal submissions should be directed to the appropriate point of contact at OFDA/W. The current list of regional team representatives is available on
http://www.usaid.gov/our_work/humanitarian_assistance/disaster_assistance/directory/regional_teams_new.html. If a hard copy is submitted, USAID/OFDA neither desires nor requires elaborate covers or bindings. The use of couriers or express mail is discouraged as receipt of the proposal may be delayed. It must be evident that all submissions—electronic and hard copy—originate from applicant's headquarters.

- U.S. legislation stipulates that no USAID/OFDA funds may be obligated to an organization that fails to adopt a code of conduct providing for the protection of beneficiaries of assistance from sexual exploitation and abuse in humanitarian relief operations. Such a code of conduct must be consistent with the U.N. Inter-Agency Standing Committee (IASC) Task Force on Protection from Sexual Exploitation and Abuse in Humanitarian Crises, which includes the following core principles:

  - Sexual exploitation and abuse by humanitarian workers constitute acts of gross misconduct and are therefore grounds for termination of employment.
  - Sexual activity with children (persons under the age of 18) is prohibited regardless of the age of majority or age of consent locally. Mistaken belief in the age of a child is not a defense;
  - Exchange of money, employment, goods, or services for sex, including sexual favors or other forms of humiliating, degrading, or exploitative behavior is prohibited. This includes exchange of assistance that is due to beneficiaries;
  - Sexual relationships between humanitarian workers and beneficiaries are strongly discouraged since they are based on inherently unequal power dynamics. 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 humanitarian aid agency or not, s/he must report such concerns via established agency reporting mechanisms;
  - Humanitarian workers are obliged to create and maintain an environment that prevents sexual exploitation and abuse and promotes the implementation of their code of conduct. Managers at all levels have particular responsibilities to support and develop systems that maintain this environment.

CONTENTS

I. INTRODUCTION

The 2008 USAID Office of U.S. Foreign Disaster Assistance(USAID/OFDA) *Guidelines for Unsolicited Proposals and Reporting* have been revised in accordance with updated USAID requirements and the changing global humanitarian context. These *Guidelines* apply to new awards as well as to modifications of existing awards.

The *Guidelines* are designed to:

- Provide information relevant to the proposal review and award process;
- Outline the vital components of an unsolicited proposal to USAID/OFDA;
- Detail Additional Program Description Requirements (APDRs) and other specifics to assist with the proposal writing process;
- Supply administrative and financial forms that must be included with each proposal submission;

USAID/OFDA continues to streamline and improve these *Guidelines*. The contents are formulated to solicit the array of information essential for USAID/OFDA to make efficient and effective funding decisions.

Therefore, to expedite USAID/OFDA's proposal review and funding process, applicants are strongly encouraged to use the formats suggested in the *Guidelines*. Proposals that do not include information identified within these *Guidelines* as required will not be considered for funding by USAID/OFDA.

The Guidelines and Checklist of Required Elements can also be found on our website at http://www.usaid.gov/our_work/humanitarian_assistance/disaster_assistance/resources/#grants

A.   *USAID/OFDA's Role in Humanitarian Assistance*

Belonging to USAID's Bureau for Democracy, Conflict, and Humanitarian Assistance (DCHA), USAID/OFDA is organized into three divisions under the management of OFDA's Office of the Director. The Disaster Response and Mitigation division is responsible for coordinating the provision of relief supplies and humanitarian assistance. The Operations division develops and manages logistical, operational, and technical support for field offices and disaster responses, including Disaster Assistance Response Teams, Response Management Teams, and Search and Rescue Teams. The Program Support division provides programmatic and administrative support, including budget and financial services, procurement planning, contracts and grants administration, information technology, communications, training, mapping, and information services.

USAID/OFDA's mandate is to save lives, alleviate human suffering, and reduce the economic impact of disasters. As the lead U.S. Government (USG) office for responding to natural and human-caused disasters in foreign countries, USAID/OFDA also has primary responsibility for meeting the needs of internally displaced persons (IDPs) in these emergency situations. To fulfill its mandate, USAID/OFDA provides rapid, appropriate responses to requests for assistance; strengthens the capacity of local, national, regional, and international entities on early warning of natural hazards; and fosters self-sufficiency among disaster-prone nations by helping them achieve some measure of preparedness. USAID/OFDA achieves its mandate in coordination with

affected countries, other USG agencies and offices, other donor governments, international organizations, U.N. relief agencies, and non-governmental organizations (NGOs).

B.   USAID/OFDA Organizational Chart
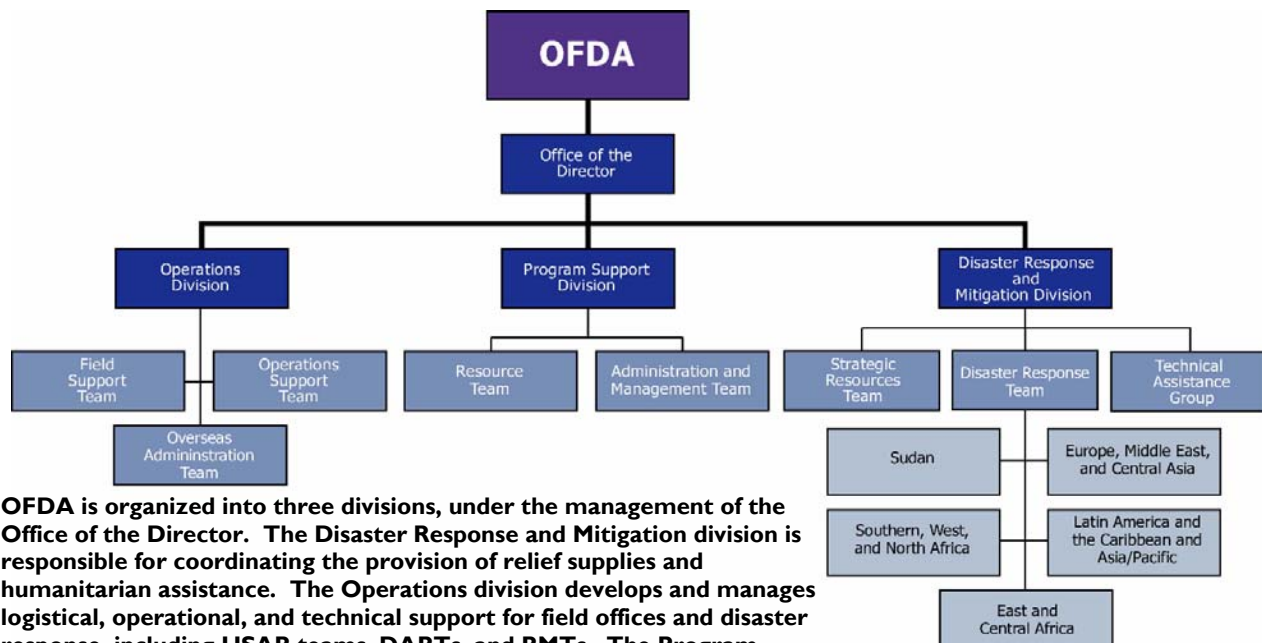
OFDA is organized into three divisions, under the management of the Office of the Director. The Disaster Response and Mitigation division is responsible for coordinating the provision of relief supplies and humanitarian assistance. The Operations division develops and manages logistical, operational, and technical support for field offices and disaster response, including USAR teams, DARTs, and RMTs. The Program Support division provides programmatic and administrative support, including budget and financial services, procurement planning, contracts and grants administration, information technology, communications support, and information services.

II. GENERAL SUBMISSION INSTRUCTIONS

These *Guidelines* apply to new agreements and to modifications of existing awards. USAID/OFDA maintains flexibility when responding to emergency situations and may issue modified proposal submission requirements for a particular disaster. In the event exceptions are made to these *Guidelines*, USAID/OFDA will notify applicants. **In all cases, USAID/OFDA headquarters in Washington, D.C. (OFDA/W) reserves the right to reject proposals that do not follow the posted submission guidelines.**

A.   Proposal Review and Award Process

1. OFDA/W will confirm receipt of the proposal. **The proposal review and award process takes approximately 45 days. Applicants should plan program start dates accordingly.**

2. If the proposal is deemed acceptable, OFDA/W will conduct a formal review to consider programmatic, technical, and cost issues per *Guidelines* requirements.

3. Any issues raised during the formal proposal review will be communicated to the applicant in writing. Applicants may address these questions by providing additional justifications, clarifying technical details, or supplying other requested information. OFDA/W cannot make a recommendation to fund a proposal until all concerns have been addressed adequately.

4. If it is determined that all issues have been resolved, OFDA/W will notify the applicant that the proposal has been recommended for funding.

5. If a proposal is rejected, OFDA/W will notify the applicant in writing.

6. For proposals recommended for funding, OFDA/W will prepare and process the necessary documentation for the award and forward it to USAID's Office of Acquisition and Assistance (USAID/OAA). USAID/OAA must provide final approval for all awards. No communication from OFDA/W, written or verbal, constitutes final approval. Once awarded, USAID/OAA will forward copies of the award document to the applicant's point of contact. It is the responsibility of the applicant to ensure internal distribution, including field staff.

> **Concept Papers**
>
> USAID/OFDA encourages prospective applicants to provide a concept paper prior to presenting a complete proposal. By submitting a concept paper, prospective applicants can obtain a quick answer to the question, "Is USAID/OFDA interested in this program?" without preparing a full proposal.
>
> Concept papers should be no longer than five pages; organized by USAID/OFDA sector(s), each with its appropriate sub-sector(s); and include a preliminary budget. Acceptance of a concept paper does not guarantee USAID/OFDA will fund the full proposal.
>
> Generally, concept papers should be submitted to USAID/OFDA field staff. Review time for concept papers does not count toward the minimum 45 days USAID/OFDA required to review and process full proposals.

7. At the request of the applicant, USAID may elect to provide a pre-award letter (PAL) that communicates USAID/OFDA's expectations about the award. If desired, applicants should request a PAL by sending an e-mail to OFDA/W at the time of application, including a justification and a willingness to begin working on the basis of a PAL. Typically, a PAL will set forth the date from which a recipient will be reimbursed for program costs prior to the signature date of the award. The PAL is generally no more than one-third of the total program budget but can be larger. USAID/OFDA cautions applicants that in the event an award is not made, incurred costs will not be reimbursed.

Cost Modifications

A cost modification is the way that additional funding is obligated to increase the total estimated amount of a grant or cooperative agreement. A pre-modification letter may be used for modifications to existing awards. This is similar to a pre-award letter, except a PAL is used for new awards.

Cost modification proposals must show a *pipeline analysis*. Please refer to the Cost/Budget Guidelines for further information.

Cost modifications must also include a revised program description as appropriate; revised budget and budget narrative; and signed and completed SF-424.

B.   Requirements for New Applications

1. Conform to a limit of 20 pages plus 1 page per sub-sector, excluding the cost proposal, proposal summary, and supporting documentation. For example, a proposal with three sub-sectors could be 23 pages.

2. Be written in English or with English translations, and saved in Word 2000 and/or Excel 2000 or newer versions. OFDA does not accept zip files. Please only submit PDF files for signed documents.

3. Include a proposal summary of approximately two pages (see Recommended Proposal Format, note: summary may be longer than two pages).

4. Incorporate page numbers and headers or footers that clearly identify the submission or revision date. All documents must be labeled as either an original or revised submission.

5. Submit proposal to OFDA/W from applicant's headquarters (note: Headquarters refers to staff with authority to sign award).

6. Use sectors, sub-sectors, keywords and indicators identified in the Guidelines. All approved sectors are listed in the section "Approved Sector, Sub-sector, Indicator Table & Keyword List" and further explained in the APDRs section.

7. Make an effort to address the APDRs in the approprite sections responding to each of the applicable technical questions outlined.

8. Clearly identify restricted goods or commodities and supply appropriate documentation as outlined in the APDRs.

9. Submit a Branding Strategy and Marking Plan (BSMP), whether the proposal is unsolicited or solicited, even if a waiver is in place (see Cost/Budget Guidelines).

10. Detail a location-specific Safety and Security Plan for proposed program sites (see Cost/Budget Guidelines).

11. Attribute costs to specific line items, rather than including "shared costs" (see Cost/Budget Guidelines).

12. Contain a detailed, itemized budget in U.S. Dollars (USD) in Excel format, a corresponding budget narrative, and a completed and signed SF-424 (see Cost/Budget Guidelines).

13. Include all required signed Certifications and Representations (see Supporting Documentation).

III. RECOMMENDED PROPOSAL FORMATS

This section contains a Proposal Summary Template; Program, Cost/Budget and Other Supporting Documentation outlines; Approved Sector, Sub-sector, Indicator Table and Keyword List.

A.   Proposal Summary Template

A proposal summary of approximately two pages is required with each application. This summary should provide a brief overview of programmatic and financial data. **Proposals without a completed proposal summary will not be reviewed.** The following summary template is strongly recommended. A blank and editable version, which includes the suggested proposal outlines, is available on
http://www.usaid.gov/our_work/humanitarian_assistance/disaster_assistance/resources/#grants

Request to USAID/OFDA for a New Award *or* Modification to an Existing Award (#)
(Choose New or Modification, if modification, include award number)

Applicant Organization Name:	
Headquarters Contact Information	**Field Contact Information**
Contact Person:	Contact Person:
Mailing Address:	Mailing Address:
Telephone:	Telephone:
Fax:	Fax:
E-mail:	E-mail:

Country/Region of Country:
Submission/Revision Date:
Program Title:
Proposed Start Date:
Program/Extension Duration:

For modifications to existing awards, please add:
Start and End Dates of Entire Program through End of Current Award:

Proposal includes the following categories of restricted goods:

Restricted Goods	Check Box if Applicable
Agricultural commodities	
Fertilizer	
Pesticides	
Pharmaceuticals—human and veterinary	
Used equipment	
USG-owned excess property	
Vehicles not manufactured in the U.S.	

Dollar Amount Requested from OFDA	$_____
Dollar Amount from Other Sources	$_____
Dollar Value of In-kind Contributions	$_____
Total Dollar Amount of Program	$_____

Program Goal:
Total Number of Individuals Affected in the Target Area:
Total Number of Beneficiaries Targeted (Individuals):
Total Number of IDP Beneficiaries Targeted (Individuals) as subset of above:

Synopsis:
Here, partners should provide a one-paragraph synopsis of the program, addressing top-line issues such as whether the program is a continuation, follow-on, or expansion of an ongoing program, and whether new innovations or methodologies are used.

Sector Table:
Applicants should complete separate Sector Table for each sector included in the proposal. Sector Tables summarize some of the information to be covered in the Program Description and Cost/Budget portion of the proposal. Specifics needed to complete this table can be found in the APDRs section and the Approved Sectors, Sub-sectors, Indicators table and Keyword list (under recommended proposal format). Applicants must report against all indicators for each sub-sector unless otherwise indicated. Applicants must strongly justify any requests to not report against a particular indicator (for example if the proposed activity has no components corresponding that indicator). The justifications will be discussed during the review process.

Sector Name:	*Of the 11 possible sectors (see APDRs or Summary Table), list the first sector of the proposed intervention. Complete a separate table for each sector included in the proposal.*
Objective:	*Describe the aim of the proposed work in this sector.*
Dollar Amount Requested:	*Specify how much money is requested for activities in this sector.*
Number of Beneficiaries Targeted:	*Indicate the total number of beneficiaries targeted for activities in this sector, including IDPs.*
Number of IDP Beneficiaries Targeted:	*Of the total number of beneficiaries targeted for activities in this sector, note how many are IDPs. Both natural and human-made disasters can result in IDPs.*
Geographic Area(s):	*Identify the geographic area or areas where the planned work for this sector will occur.*

Keyword(s)	*List all keywords (see Keyword List or Keyword Section) appropriate to the proposed activities.*
Sub-sector Name**:**	*Of the possible sub-sectors available for <u>this</u> sector (see APDRs or Summary Table), list the first sub-sector of the proposed intervention.*
Indicator 1:	*Copy the first Indicator for <u>this</u> sub-sector (see APDRs or Summary Table) to measure the success of planned activities.*
Indicator 2:	*Copy the second indicator for <u>this</u> sub-sector (see APDRs or Summary Table) to measure the success of planned activities.*
Indicator 3:	*Copy the third Indicator (if there is one) for <u>this</u> sub-sector (see APDRs or Summary Table) to measure the success of planned activities.*
Sub-sector Name**:**	*Proposed interventions must work in at least one sub-sector for each sector, and can work in more than one. If there is a second sub-sector, please list it here.* *Add rows as needed for any additional sub-sectors.*
Indicator 1:	*Copy the first indicator for <u>this</u> sub-sector (see APDRs or Summary Table) to measure the success of planned activities.*
Indicator 2:	*Copy the second indicator for <u>this</u> sub-sector (see APDRs or Summary Table) to measure the success of planned activities.*
Indicator 3:	*Copy the third Indicator (if there is one) for <u>this</u> sub-sector (see APDRs or Summary Table) to measure the success of planned activities.*

B.   *Program, Cost/Budget Guidelines and Supporting Documentation*

Further information for each section may be found under Program Guidelines, Cost/Budget Guidelines, and Supporting Documentation. Details on each program sector, sub-sector, and keyword may be found under the APDRs. In keeping with the Sector Table (*above*), applicants should present each proposed sector *together with its sub-sector information*, before moving to any additional sectors.

PROGRAM GUIDELINES OUTLINE

A) Justification
1. Problem Statement
2. Needs Assessment Summary
3. Justification for Intervention
B) Technical Description
1. Program Level
a. Goal
b. Beneficiary Numbers
c. Critical Assumptions
d. Program Strategy
e. Sectors
(Repeat for each sector)
(1). Sector Name and Objective
(2). Dollar Amount
(3). Beneficiary Numbers
(4). Geographic Areas
(5). Sector-level Coordination
(6). Keywords
(a) Keyword Name
(b) Keyword Integration
(7). Sub-sectors
(a) Sub-sector Name
(b) Technical Design
(c) Indicators
C) Transition or Exit strategy
D) Monitoring and Evaluation
1. Monitoring Plans
2. Evaluation Plans

COST/BUDGET GUIDELINES OUTLINE

A) Detailed/Itemized Budget
B) Budget Narrative
C) SF-424
D) Advance Requirements for New Applicants
1. Organization has never received USG funding
2. Organization has received USG funding, but never from USAID
E) Budget and Program Revisions Requiring Prior Approval
F) Ineligible and Restricted Goods, Services, and Countries
1. Ineligible Goods and Services
2. Ineligible Suppliers
3. Restricted Goods
4. U.S. Foreign Policy Restrictions
G) Branding and Marking(BSMP)
1. Branding Strategy and Marking Plan
2. Presumptive Exceptions
3. Waivers
4. Checklist
H) Certifications and Representations
I) Supporting Documentation
1. Cost Sharing and In-kind Contributions
2. Sub-award Arrangements
3. USG Negotiated Indirect Cost Rate Agreement (NICRA)
4. Program Income
5. Pipeline Analysis (Award Modifications Only)
6. Self-certification for U.S. NGO Compliance with USAID Policies and Procedures
J) Safety and Security Plan

SUPPORTING DOCUMENTATION OUTLINE

A) Disability Policy and Accessibility Standards
B) TIP Assistance
C) Voluntary Survey on Faith-based and Community Organizations
D) Supporting Documentation
1. Organizational Structure
2. Accountability
3. Past Performance References
4. New Vendor Information Form

C.   Approved Sector, Sub-sector, Indicator Table & Keyword List

1.   Sector, Sub-sector and Indicator Table

This table lists the approved sectors, sub-sectors, indicators, and keywords from which applicants must choose in designing proposed interventions. Additional details are available in the Additional Program Description Requirements (APDRs) section of the *Guidelines*. The Sphere Standards should be applied to all proposed activities. The standards are emphasized in specific indicators below where USAID/OFDA has noted problems with application of the standards. Non-adherence to the standards must be strongly justified in the proposal.

SECTOR	SUB-SECTOR	INDICATORS
Agriculture and Food Security	**Fisheries**	– Number of people trained in fisheries – Number of people benefiting from fisheries activities – Kilograms of fish captured/fisher/month (Capture fisheries) **or** kilograms of fish harvested/fish-farmer/six-month period (Aquaculture)
	Livestock	– Number of animals benefiting from or affected by livestock activities – Number of people benefiting from livestock activities
	Pests and Pesticides	– Number of people trained in pest and pesticide management – Number of beneficiaries practicing appropriate crop protection procedures – Number (estimated) of hectares protected from pests/diseases
	Seed Systems and Agricultural Inputs	– (Projected) increase in number of months of food self-sufficiency due to distributed seed systems/agricultural input for beneficiary families – Number of people benefiting from seed systems/agricultural input activities
	Veterinary Medicines and Vaccines	– Number of veterinary interventions, treatments or vaccinations administered – Number of animals treated or vaccinated
Economic Recovery and	**Economic Asset Development**	– Number of people assisted through economic asset development activities – Number and percent of people utilizing economic assets created to support their livelihood pattern

SECTOR	SUB-SECTOR	INDICATORS
Market Systems (ERMS)	**Economic Asset Restoration**	− Number of people assisted through economic asset restoration activities − Total USD amount channeled into the local economy (through cash grants, vouchers, livelihoods fairs, etc.)
	Market Infrastructure Rehabilitation	− Amount of market infrastructure rehabilitated (miles of road, number of bridges, etc.) − Number of cash grants to Small Micro-enterprises (SMEs) − Total USD amount of cash grants to Small Micro-enterprises (SMEs)
	Micro-credit	− Number of individuals/Small Micro-enterprises (SMEs) receiving loans − Number and percent of micro-credit loan installments repaid according to schedule
	Microfinance Institutions (MFIs)	− Number of cash grants to Microfinance Institutions (MFIs) − Total USD amount of cash grants to Microfinance Institutions (MFIs)
	Temporary Employment	− Number of people employed through Cash-for-Work (CFW) activities − Average USD amount per person earned through the Cash-for-Work(CFW) activities − Number and percent of women employed through Cash-for-Work(CFW) activities
Health	**Communicable Disease**	− Number and percent of total population, pregnant women and < 5s effectively treated for target illnesses by type (malaria, pneumonia, diarrhea) − Number of Long-lasting Insecticide-treated Nets (LLINs) distributed to target population by population type (total, < 5s, pregnant women) − Measles immunization coverage, ages 6 months to 15 years old (or 6 months to 5 years old if resources are not available)
	Health Education/ Behavior Change	− Number of community members who have received target health education messages − Number and percent of community members undertaking target health education message practices
	Health Systems and General Health	− Number of functioning primary health care centers, community health programs, or mobile clinics supported or rehabilitated − Number of health care providers trained (by type of training and type of health care provider) − Number and percent of health facilities submitting weekly surveillance reports
	Medical Commodities and Pharmaceuticals	− Number of medical kits, equipment, and consumables distributed (by type) − Number of people trained in the use and disposal of medical equipment and consumables

SECTOR	SUB-SECTOR	INDICATORS
	Non-communicable Disease	− Number and percent of people in the target population treated for chronic diseases − Number and percent of people treated for mass-casualty or violence-related injuries
	Reproductive Health	− Number and percent of pregnant women who have attended at least two comprehensive antenatal clinics (ANC) − Number and percent of pregnant women who received a clean delivery kit − Number and percent of pregnant women who deliver assisted by a skilled provider, by type (midwife, doctor, nurse [not TBAs])
Humanitarian Coordination & Information Management	Coordination	− Number of organizations coordinating
	Information Management	− Number of organizations utilizing information management services − Number of products made available by information management services that are accessed by clients
Humanitarian Studies, Analysis, or Applications	Applied Studies, Analysis or Applications	*This sub-sector is too broad in scope to identify mandatory indicators that would apply to all activities. Applicants are invited to use output and impact indicators specific to the activities proposed.*
Logistics Support, Relief Commodities	Non-food Items (NFIs)	− Total number of Non-food Items (NFIs) distributed, by type − Total USD cost of Non-food Items (NFIs), by type − Total number of beneficiaries receiving Non-food Items (NFIs), by type, in compliance with Sphere standards
	Transport (air/land/sea)	− Total USD cost of transport, by type (commodities or personnel) − Number of people or kg of commodities (by commodity type) transported, by transport type (land/sea/air) − Total number of flights/trips provided for commodities/personnel
	Local and Regional Procurement of Food (LRP)	− Total USD cost for local and regional food purchases − Number of households receiving locally and regionally purchased food − Cost per beneficiary per daily ration

SECTOR	SUB-SECTOR	INDICATORS
Natural and Technological Risks	**Disaster Preparedness, Mitigation, and Management**	- Number of people trained in disaster preparedness, mitigation, and management - Number and percent of beneficiaries retaining disaster preparedness, mitigation, and management knowledge two months after training - Number of hazard risk reduction plans, policies or curriculum developed
	Geological Hazards	- Number of people benefiting from geological disaster-related activities - Number of geological policies or procedures modified as a result of the activities to increase the preparedness for geological events - Number of people trained to reduce the impact of geological events
	Hydro-meteorological Hazards	- Number of people who will benefit from proposed hydro-meteorological activities - Number of hydro-meteorological policies/procedures modified as a result of the activities to increase preparedness for hydro-meteorological events - Number and percent of people trained in hydro-meteorological-related activities retaining knowledge two months after training
	Technological Disasters	- Number of people benefiting from technological disaster activities - Number of technological disaster policies/procedures modified to reduce risks to technological disasters - Number of people trained to respond to or prevent technological disasters
Nutrition	**Infant and Young Child Feeding (IYCF)**	- Is an Infant and Young Child Feeding in Emergencies(IYCF) policy in place? (Y/N) - Number and percent of infants 0-<6 months of age who are exclusively breastfed - Number and percent of children 6-<24 months of age who receive foods daily from 4 or more food groups (to achieve minimum dietary diversity)
	Management of Moderate Acute Malnutrition (MAM)	- Number of sites managing moderate acute malnutrition - Number of beneficiaries admitted to Moderate Acute Malnutrition (MAM) services by beneficiary type (< 5s and adults) - Number of health care providers and volunteers trained in the prevention and management of Moderate Acute Malnutrition (MAM)
	Management of Severe Acute Malnutrition (SAM)	- Number of health care providers and volunteers trained in the prevention and management of Severe Acute Malnutrition (SAM) - Number of sites established/rehabilitated for inpatient and outpatient care - Number of beneficiaries treated for Severe Acute Malnutrition (SAM) by type (< 5s; adults; inpatient care with complications; outpatient care without complications

SECTOR	SUB-SECTOR	INDICATORS
	Nutrition Education and Behavioral Change	 – Number of beneficiaries receiving nutrition education – Percent change in practice and/or knowledge pertaining to nutrition education topics – Number of providers (health care and/or community volunteers) trained in provision of nutrition education
	Nutrition Systems	– Number and percent of health providers/officials trained in established/strengthened nutrition guidelines/policies/systems for the prevention and treatment of acute malnutrition – Number of nutrition information systems established and functioning – Is a nutrition supply system established (Y/N)
Protection	**Child Protection**	– Number of people trained in child protection issues – Number of and percent increase in number of mechanisms/systems to report/refer child protection issues – Number and percent of targeted children reporting an improvement in their sense of safety and well being
	Gender-based Violence (GBV) Prevention and Response	– Number and percent of community members who can report at least two negative effects of GBV on their community – Number and percent of target population reporting increased access to Gender-based Violence (GBV) services – Number of males sensitized in Gender-based Violence (GBV) issues
	Protection Coordination and Advocacy	– Number of protection officers/personnel provided in support of protection coordination activities – Numbers of policies/procedures/practices modified in accordance with protection principles (e.g., Guiding Principles on Internal Displacement; Human Rights Law; International Humanitarian Law)
	Psychosocial Services	– Number and percent of target population participating in psychosocial activities – Number and percent of beneficiaries reporting improved capacity to carry out productive family/ community roles/responsibilities – Number and percent of beneficiaries reporting improvement in their feeling of well being or ability to cope
Shelter and Settlements (S&S)	**Camp Design and Management**	– Number of households receiving shelter in camps, pursuant to Sphere standards and FOG guidelines. – Percent of total affected population receiving shelter assistance in camps – Total USD amount and percent of approved project budget for camps spent in the affected local economy

SECTOR	SUB-SECTOR	INDICATORS
	Emergency / Transitional Shelter	- Number of households receiving Emergency/Transitional shelter, pursuant to Sphere standards and FOG guidelines - Percent of total affected population receiving Emergency/Transitional shelter assistance - Total USD amount and percent of approved project budget for Emergency/Transitional shelter spent in the affected local economy
	Shelter Hazard Mitigation	- Number of shelters incorporating hazard mitigation measures - Number of settlements adopting hazard mitigation measures - Number and percent of people retaining shelter hazard mitigation knowledge two months after training
Water, Sanitation, and Hygiene (WASH)	**Environmental Health**	- Number of community cleanup/debris removal activities conducted - Number of vector-borne disease environmental control activities implemented - Number of bathing facilities completed
	Hygiene Promotion / Behaviors	- Percent of target population demonstrating good hand-washing practices - Percent of target population demonstrating correct water usage and storage - Number and percent of clean water points functioning three months after completion
	Sanitation	- Number and percent of household latrines completed that are clean and in use in compliance with Sphere standards - Number and percent of household hand-washing facilities completed and in use - Number and percent of households disposing of solid waste appropriately
	Water Supply	- Number and percent of household water supplies with 0 coliform bacteria per 100ml - Average water usage of target population in liters per person per day prior to and after interventions - Number and percent of water points with measurable chlorine residual exceeding 0.2 mg/l

2.   Keywords List

Capacity Building/Training

Cash Distribution

Cash-for-Work (CFW)

Children

Disability

Disaster Risk Reduction (DRR)

Environmental Management

Gender Relations

HIV/AIDS

Host Communities

Host Government

Information Systems / Geographic Information Systems(GIS)

Infrastructure Rehabilitation

Internally Displaced Persons (IDPs)

Livelihoods/Income Generation

Market Rehabilitation

Micro-credit

Microfinance

Natural Resource Management

Nomads/Pastoralists

Protection Mainstreaming

Returnees

Security

Slavery/Trafficking

Vector Control

Vouchers

Youth

IV. PROGRAM GUIDELINES

Applicants should carefully review the requirements in this section as well as the relevant APDRs. The APDRs contain detailed sector, sub-sector, and keyword information, some of which is needed for applicants to complete the elements described here. The APDRs are integral to program design, and have been placed toward the end of the document due only to their length.

A.   Justification

1.   Problem Statement

Describe the disaster, the major causes of the problem to be addressed, and the populations affected, including the source and date of this information, as well as any relevant background data. Provide a backdrop for the program being proposed, without attempting a comprehensive history of the country or region.

2.   Needs Assessment Summary

A needs assessment summary should be provided for each sector. Proposed activities must be based on assessed needs, and not on assumed needs. The following is a general list of elements that should be assessed to determine and prioritize proposed interventions. Applicants should consult the needs assessment sections of the relevant APDR sub-sectors for guidance on specific information to include.

> **Program Duration**
>
> Emergency programs may be funded for up to **one year** at a time. Proposals should include discussion of any long-term planning needs.
>
> Prevention, mitigation, planning, and preparedness programs may be approved for multiple years, with funding provided in annual installments.

In addition to the needs assessment summary in the body of the proposal, **a copy of the full needs assessment justifying proposed activities should be attached as an appendix to the proposal** and should include, to the extent possible**:**

- A synthesis of surveys, assessments, and other descriptive and analytical efforts that have been conducted or reviewed to determine the nature of the problem and the need for the proposed intervention
- Quantifiable data, trends, and analysis
- A comparison of available data with Sphere Minimum Standards in Disaster Response (see http://www.sphereproject.org), as appropriate. If baseline data cannot be provided in the proposal, they must be submitted no later than 90 days after the agreed start date if the award is for more than six months. If the award is for less than six months, baseline data must be submitted no later than 30 days after the agreed start date.
- Information from surveys, assessments, and other documents describing the target area and conditions of targeted beneficiaries, including IDPs within that population; As appropriate, include the gender, age, ethnicity, and socioeconomic status of those affected.
- Descriptions of the disaster's effects on services and infrastructure; social and economic networks; power structures; and organizational structures or socio-cultural

affiliations of affected populations, i.e., frameworks that may support beneficiaries' coping mechanisms
- Details on the relationships between direct and indirect beneficiaries, as appropriate
- Impacts of the disaster on the local ecosystem and on the capacity of the affected population to access and utilize natural resources
- Notations on all data sources, collection methodologies, locations, and dates
- Award modification requests should include assessment updates and their implications for requested programmatic revisions (see Budget and Program Revisions Requiring Prior Approval under Cost/Budget Guidelines).
- Preparedness, mitigation, prevention, and/or planning initiative should include information on the strengths and weaknesses of existing activities at the local, regional, and national levels, as well as any gaps in services.

Applicants may submit needs assessments conducted by their own organization, in coordination with others, or by internationally recognized sources familiar with the situation, such as the U.N. Except in extraordinary circumstances, USAID/OFDA does not fund individual organizations' needs assessments. It is expected that an organization will cover such costs from its own resources as part of its contribution to the proposed program, and to justify why funds are being requested. For some rapid-onset disasters, a thorough needs assessment may not be possible; in these cases, applicants should seek guidance from USAID/OFDA program staff.

3.   Justification for Intervention

The proposed program should clearly respond to assessed needs. Based on assessment findings, the justification for intervention should illuminate why the current situation demands a humanitarian response or disaster risk reduction intervention, why the specific interventions proposed are the most appropriate to meet those needs, and why the identified beneficiaries, sector(s), and sub-sector(s) have priority at this time.

> **A compelling justification will clearly answer:**
>
> ⟶ **Why here?**
>
> ⟶ **Why now?**
>
> ⟶ **Why this intervention?**
>
> ⟶ **Why this applicant?**
>
> ⟶ **Why USAID/OFDA?**

Applicants should consult the justification sections of the relevant APDR sectors for detailed guidance on information to include. To establish clear connections between the activities proposed and the needs identified, applicants should organize the justification for intervention by each proposed USAID/OFDA sector together with its sub-sectors.

This section should also introduce the applicant and outline specific capacity and experience in the proposed sectors and sub-sectors, in the affected country, with the proposed target population or in the intervention area if applicable. In particular, applicants should include baseline and target data showing results from the organization's relevant programs, whether funded by USAID/OFDA or another donor, noting progress or conditions that impeded progress in obtaining results. The range of local skills and capacities that can be used to respond to and recover from the emergency should be discussed, as well as how lessons learned from previous disaster responses, transition or development programs have been applied to the proposed activities. Information may be summarized in the justification for intervention, with details included as an appendix.

B. *Technical Description*

1. Program Level

The following information should be provided at the program level, which describes the proposed intervention as a whole.

a) Goal

The goal is the overall purpose for responding to a disaster and represents the humanitarian impact sought by an organization. There should be only one goal per program.

b) Beneficiary Numbers

State how many individuals will be targeted for assistance through this program:
- Total Number of Beneficiaries Targeted
- Total Number of IDP Beneficiaries Targeted

Simply providing a number for each category above is acceptable. Details on the beneficiaries, who they are and how they are selected, for example, should be included at the sub-sector level.

c) Critical Assumptions

Critical assumptions are the applicant's best estimate of the general conditions that will prevail during program implementation. Assumptions are based on such factors as the local context, security, access, staffing, and resource availability. A significant change in a critical assumption can affect results, and therefore should be identified and weighed before undertaking implementation. In some cases, organizations may need contingency plans to manage such changes; these plans should be addressed in the technical design (*see below,* Program Description at the Sub-sector Level).

d) Program Strategy

In the context of the response or country-wide programs, describe how the applicant's proposed activities fit into its own program or programs of U.N. agencies, other NGOs, other USG agencies, other donors, local groups, and local and national government agencies in the project design and implementation, including:

- Whether this program will stand alone or support a larger strategy, implemented either by the applicant or the host government or the international community
- How this program will augment government or local community capacity or strategies to respond to the current disaster or manage potential disasters
- How program results will feed into any longer-term programs or plans of other organizations or entities
- Coordination efforts at the sector level should be described in that section, per below.

e) Sectors

Proposed program activities must fall under one or more of the sectors recognized by USAID/OFDA. These sectors are listed in 'Sectors, Sub-sectors, Indicators Table and Keyword List' and further described in APDRs. Applicants should contact the appropriate USAID/OFDA program staff if desired activities do not correspond to a sector, sub-sector, indicator, or keyword delineated in the Guidelines.

All requisite information should be supplied for each proposed sector. Each proposed sector should be presented together with its sub-sector information, before moving to any additional sectors.

(1) Sector Name and Objective
Of the 11 possible sectors (*see* APDRs or *Summary Table*), list <u>one</u> sector of the proposed intervention. Specify the <u>USAID/OFDA sector name</u> and the primary aim or intended outcome of working in this sector. Each proposed sector should have only one objective.

For example:
Sector name: <u>Health</u>
Objective: Improve the health of the IDP population

USAID/OFDA discourages overly descriptive details in objectives, such as specific locations and beneficiary numbers, as this information will be provided elsewhere. Including such details in the objective itself could also limit flexibility to respond rapidly to changing conditions and priorities.

(2) Dollar Amount
Indicate the dollar amount requested for activities in this sector. For details, refer to the Cost/Budget Guidelines.

(3) Beneficiary Numbers
State how many individuals will be targeted for assistance within this sector:
- Number of Beneficiaries Targeted (for example: 5000)
- Number of IDP Beneficiaries Targeted (for example: 250)

Note: If the proposed intervention includes only one sector, these numbers will be the same as those listed at the program level. Details on the beneficiaries, such as who they are and how they were selected, should be included at the sub-sector level.

(4) Geographic Areas
At a minimum, list the first administrative level, that is, the state or province name, for the geographic area or areas where the planned work for this sector will occur. Include as many levels as possible, for example, state or province, district, and town. Census or place codes are also appreciated. Applicants should provide of maps and geographic data, such as Global Positioning System (GPS) coordinates, when available.

USAID/OFDA recognizes that program implementation is not tied to the geographic location defined here, but rather to the program objectives. For any additional guidance, please contact USAID/OFDA program staff.

(5) Sector-level Coordination
For the proposed sector, describe how the applicant will coordinate, share information, and collaborate closely with U.N. agencies, other NGOs, other USG agencies, other donors, local groups, and local and national government agencies in the project design and implementation of activities, including:

- What other international organizations and NGOs are doing in the same sector. Identify any links between programs, and explain how the proposed work will complement these programs, if applicable

- The coordination approach for this sector, for example, frequency of meetings, how problems are identified and addressed, how information is gathered and disseminated, and how standards are set and monitored

(6) Keywords

(a) Keyword Name
Of the keywords available (see Keyword List) for the sector last described, list all keywords of the proposed intervention.

(b) Keyword Integration
A keyword is a specific approach, focus, or population that may be reflected in proposed activities for any sub-sector. Keywords correspond to subject matter that USAID/OFDA tracks and monitors in a systematic fashion across all programs for reporting and other purposes.

Applicants should specify how any and all of these keywords apply to proposed activities for each sub-sector, and how assessed needs justify this design. All keywords are available for all sub-sectors (see Protection Mainstreaming for an example of how a keyword can apply across all sectors).

In lieu of repeating information, if the relationship is outlined in the technical design, please use references, i.e., "see technical design," in the keyword integration sector. If one or more keywords and their relationship to the program are the same from one sub-sector to another, applicants should include this information in the first instance, and use references, i.e., "see previous sub-sector," in the subsequent sub-sector descriptions.

USAID/OFDA expects that for any disaster context characterized by insecurity and protection problems, Gender Relations and Protection Mainstreaming will be identified as keywords, reflecting that they are integrated components of the proposed intervention.

(7) Sub-sectors
Proposed sector interventions must fall under one or more of the sub-sectors recognized by USAID/OFDA. These sub-sectors are listed in 'Sectors, Sub-sectors and Indicator Table and Keyword List' and further described in APDRs. Applicants should contact the appropriate USAID/OFDA program staff if desired activities do not correspond to a sector, sub-sector, or keyword delineated in the Guidelines. All requests to not report against a particular indicator must be strongly justified (for example, if the indicator does not relate to any of the proposed activities),

Immediately following the appropriate sector-level description, provide all requisite information for each of its proposed sub-sectors.

(a) Sub-sector Name
Of the sub-sectors available (*see* APDRs or *Table*) for the sector last described, list <u>one</u> sub-sector of the proposed intervention.

(b) Technical Design

The information provided in this section should represent the bulk of the information provided for the sub-sector. Guidance on information to be included in the Technical Design may be found under the appropriate <u>sub-sector</u> in the APDRs. In general, technical designs should include methodologies, processes, or steps the applicant will undertake to implement each proposed activity within the requested time frame. Specific distribution and logistics plans should be included. In cases where the proposed intervention is beyond a short-term response, sustainability should be addressed. Any contingency plans to manage changes in critical assumptions should also be discussed. Applicants are invited, but not required, to include time lines, charts, or other graphics for illustrative purposes.

(c) Indicators

Indicators are used to establish intended changes, to observe progress, and to measure actual results compared with expected results. To determine progress or changes on target indicators, baseline data gathered by the implementing organization and/or from existing sources must be used as a starting point. Baseline data reflects the status of the indicators prior to the proposed intervention.

USAID/OFDA programs are primarily concerned with two types of indicators: output and impact. **Output indicators** measure a finite achievement during the implementation of the program (e.g., Number and percent of household latrines completed that are clean and in use in compliance with Sphere standards). **Impact indicators** measure medium or long-term developmental change stemming from the program (e.g., Number (estimated) of hectares protected from pests/diseases).

Applicants should list indicators and provide a measurable target value for each indicator in the Monitoring Plan.

USAID/OFDA Indicators
Each APDR sub-sector concludes with a segment on indicators. Most sub-sectors specify between one and three required indicators (see APDRs or Summary Table).

Unless otherwise indicated, applicants must select <u>all</u> Indicators to report on for each proposed sub-sector. Applicants who request to not report against a specific indicator must provide strong justification in the proposal.

Applicants should copy the exact indicator language used in the APDR.

Modification requests and new follow-on requests should use the achieved rates from previous program reporting as the new baseline targets for the current proposal. Modification and follow-on requests must also include the required sub-sector indicators, even if they were not included in the original award.

Applicant Proposed Indicators
In addition to USAID/OFDA Indicators, applicants are strongly encouraged to develop, use, and report on other output and impact indicators of their choosing. Most USAID/OFDA Indicators are output indicators. Applicants are urged to develop impact indicators appropriate to their proposed activities. Both output and impact indicators are needed to strengthen technical monitoring and measure program results.

C.   *Transition or Exit Strategy*

Applicants should include a transition strategy describing the expected end-state of the project, in terms of what conditions will ensure the sustainability of program achievements, or what measurable progress will be made toward future sustainability. If more appropriate, an exit strategy should be specified, to be employed at the completion of USAID/OFDA-funded activities such as relief supply delivery.

Transition strategies should cover beneficiary involvement, as applicable, and outline what further actions will be required or taken to ultimately ensure sustainability; within what time frame, to whom, and how the applicant plans to transition activities; how the transition will be discussed with all relevant stakeholders; and what steps, if any, the applicant will take to continue the program after USAID/OFDA funding ends.

D.   *Monitoring and Evaluation*

1.   Monitoring Plans

Provide a monitoring plan for tracking the progress of program implementation. The monitoring plan should directly relate to the overall and sector-specific information provided in the Program Description section, including the objectives, activities, and planned indicators. USAID/OFDA encourages strong monitoring plans that will facilitate prompt and accurate reporting of quantitative and qualitative data. USAID/OFDA will use this information to evaluate whether its resources are being used effectively.

The monitoring plan should specify the following:
- The source, method, and time-frame for data collection;
- The office, team, or individual identified to undertake monitoring-related tasks;
- The quality assessment procedures that will be used to verify and validate the measured values of actual performance;
- The known monitoring limitations, the impact the limitations may have on program implementation, and the plans for addressing these limitations as applicable;
- The plans for data analysis, reporting, review, and use;
- List each proposed indicator and provide a measurable target for each.

2.   Evaluation Plans

USAID/OFDA recognizes the importance of internal as well as independent evaluations as a means to identify program outcomes and impact, lessons learned, and best practices. As such, USAID/OFDA encourages independent evaluations of programs, and will consider funding these on a case-by-case basis. Please submit a justification that details the outcomes to be achieved by the evaluation process along with the budget line-item. Additionally, the applicant should describe any evaluations planned with relation to this program, the planned scope and methods, time frame, and existing and/or anticipated source of funding for the evaluation.

V. COST/BUDGET GUIDELINES

Cost proposals must be submitted as a separate section, which is not subject to the page limitation of the program proposal. Cost proposals must be in USD only. USAID/OFDA will review the cost proposal in conjunction with the program proposal for purposes of cost realism. Cost realism is the relationship between the level of resources and their relative cost to the achievement of the performance targets.

In addition to cost realism, USAID/OFDA will apply the following criteria to the cost proposal:
- Are costs allowable
- Are costs allocable
- Are costs reasonable and effective
- Levels of cost sharing or in-kind contributions
- Contributions of other donors
- Program income
- Sufficiency of justifications for any procurement of restricted goods

For further information on costs considered allowable, allocable, and reasonable, please refer to 22 CFR 230, *Cost Principles for Non-Profit Organizations*, which was formerly OMB Circular A-122 http://www.whitehouse.gov/omb/circulars/index.html

For further information on program income, refer to 22 CFR 226.24, *Administration of Assistance Awards to U.S. Non-governmental Organizations* http://www.access.gpo.gov/nara/cfr/waisidx_06/22cfr226_06.html

A. *Detailed/Itemized Budget*

The detailed/itemized budget should list and account for individual line items within each *object class category* for each sector objective. Object class categories are logical groupings of costs, such as staff salaries, fringe benefits, travel, capital equipment, supplies, and indirect costs. Samples of budgets itemized by object class category and organized by sector objective are available on http://www.usaid.gov/our_work/humanitarian_assistance/disaster_assistance/resources/#grants
(see *Sample Detailed/Itemized Budget for Primary Funding Recipient* and *Sample Detailed/itemized Budget for Sub-Partner Funding Recipient*). These sample budgets are strictly illustrative; applicants should use their own dollar figures, rates, and cost allocation methodologies. USAID/OFDA prefers budgets be provided in Excel.

Shared costs, meaning costs that are not precisely allocable to a specific objective, may no longer be budgeted as a separate category, as this tends to result in under-reporting on sector-based objectives. Instead, such costs should be allocated to each objective based on estimated utilization. For example, rather than listing office rent as lump sum, applicants should estimate the use of office space toward implementation in each sector, and assign costs to each objective accordingly.

> **Cost Proposal**
>
> A cost proposal is the financial expression of a program submitted by an applicant to USAID/OFDA either in response to a solicitation, such as an RFA or APS, or in an unsolicited application not formally requested by USAID/OFDA.
>
> The basic elements of a cost proposal are a detailed budget, a budget narrative, and a completed and signed Standard Form (SF)-424, which is the *Application for Federal Assistance,* Branding Strategy and Marking Plan (BSMP), and other administrative business documents as required.

Following the award, pursuant to 22 CFR 226.25 (c), U.S. NGOs may shift funds between objectives without approval, although notification of changes is mandatory. For non-U.S. NGOs, the standard provision entitled "Revision of Award Budget" requires the agreement officer's approval to shift funds between objectives. However, since August 2005, all *new* awards with non-U.S. NGOs permit shifting of funds between objectives without the agreement officer's approval, subject to concurrence of the OFDA/W Cognizant Technical Officer (CTO). For any recipient, USAID/OFDA has the discretion to impose a 10 percent limit on budget transfers between objectives, however, this restriction is rarely invoked.

B. Budget Narrative

The budget narrative justifies proposed expenses and explains how costs were estimated. Applicants should provide their rationale for cost development, such as the methodology and assumptions used to determine individual costs, i.e., engineering cost estimates, actual current costs incurred, costs obtained through tenders or bids, catalog prices, or published salary tables. A thorough budget narrative will expedite the cost proposal review and prevent NGO field staff from having to revisit the proposal and provide justifications following proposal submission.

For ease of review, budget narratives should follow the order of line items in the detailed budget (top to bottom), rather than by objective (left to right). Sample budget narratives for primary and sub-partner funding recipients are available on http://www.usaid.gov/our_work/humanitarian_assistance/disaster_assistance/resources/#grants. These narratives are strictly illustrative, and are based on the sample detailed budgets. Applicants should use their own rationale based on their proposed program design, associated inputs, and detailed budget.

C. SF-424

The U.S. Office of Management and Budget (OMB) requires submission of a signed SF-424 *Application for Federal Assistance* package with all proposals. The SF-424 can be accessed on http://www.usaid.gov/our_work/humanitarian_assistance/disaster_assistance/resources/#grants

D. Advance Requirements for New Applicants

This section describes additional requirements to be addressed by new applications prior to proposal submission. Those who have not previously received funding from the USG must complete sections one *and* two. If the applicant has received funding from the USG, but not from USAID, only section two must be completed. If the applicant has previously received USAID/OFDA funding, indicate "not applicable" for this section.

1. Organization has never received USG funding

- USAID/OFDA must conduct a pre-award qualification review. This review may take 60 to 90 days. Applicants should take this into account and plan submissions and program performance periods accordingly. Please contact a USAID/OFDA representative for additional guidance. A listing of USAID/OFDA regional representatives is available on http://www.usaid.gov/our_work/humanitarian_assistance/disaster_assistance/directory/regional_teams_new.html
- Applicants should provide audited financial statements for the previous three fiscal years; an organizational chart; and copies of applicable policies and procedures, such

as accounting and financial management, purchasing, property management, travel, and personnel.
- All applicants must have a unique nine-digit data universal numbering system (DUNS) number. Procedures for obtaining a DUNS number are contained in the Certifications and Representations package, which can be accessed on
http://www.usaid.gov/our_work/humanitarian_assistance/disaster_assistance/resources/#grants

2.   Organization has received USG funding, but never from USAID

- Applicants should include information demonstrating that the organization has the ability to meet various award conditions:
  – Financial and program management systems that comply with 22 CFR 226.20-28
  – Purchasing system and contracting procedures that comply with 22 CFR 226.40-49
  – Property management system that complies with 22 CFR 226.30-37
  – Personnel policy that complies with applicable USG cost principles and results in reasonable and allocable salary charges
  – Travel policy that complies with the standard provision entitled "International Air Travel and Transportation" and applicable USG cost principles
  – System of administering and monitoring sub-awards as required by OMB Circular A-133 for U.S. organizations, or by the USAID Inspector-General's Guidelines for Financial Audits Contracted by Foreign Recipients for non-U.S. organizations
  – Reports and records that comply with 22 CFR 226.50-53
  – Sufficient absorptive capacity
- Applicants should also provide:
  – Evidence that the organization has or can obtain adequate financial resources for performance of the award
  – Proof that the organization has a satisfactory record of performance, including past performance references
  – Information showing that the organization has a satisfactory record of integrity and business ethics
  – Documentation establishing that the organization is otherwise qualified to receive an award under applicable laws and regulations
  – Contact information for the contracting or agreement officer at every USG agency from which the applicant has received an award
- Applicants must have a U.S. bank account to receive payments from USAID. The *New Vendor Information Form* must be completed and submitted with the proposal
http://www.usaid.gov/our_work/humanitarian_assistance/disaster_assistance/resources/#grants

E.   *Budget and Program Revisions Requiring Prior Approval*

Following the award, recipients are required to report all deviations from budget and program plans, and to request approval in writing for particular budget and program revisions. In addition to other terms that might be set forth in individual agreements, per 22 CFR 226.25(c)(1) for U.S. NGOs, or the standard provision entitled "Revision of Award Budget" for non-U.S. NGOs, the following revisions require prior written approval:

- A change in the scope or objectives of the program, including extension of the grant or cooperative agreement duration, even if there is no associated budget revision requiring prior written approval.
- For non-U.S. NGOs, revision of funding allocations among objectives. All new awards since August 2005 permit non-U.S. NGOs to shift funds between program objectives with the concurrence of the CTO.

- The departure or replacement of key program staff personally identified in the application or award document.
- The absence of the approved program director for more than three months, or a 25 percent reduction in the time the approved program director will devote to the program.
- The need for additional USG funding.
- The transfer of funds budgeted for indirect costs to absorb increases in direct costs, or vice versa.
- The transfer of funds allotted for training allowances, meaning direct payment to trainees, to other categories of expense.
- The sub-award, transfer, or sub-contracting of any work under an award, unless this activity is described in the application and funded in the approved budget of the award. This provision does not apply to the purchase of equipment, materials, supplies, or general support services.
- The inclusion of costs that require prior approval in accordance with 22 CFR 230, *Cost Principles for Non-Profit Organizations*, formerly OMB Circular A-122 http://www.whitehouse.gov/omb/circulars/index.html, unless this requirement is specifically waived in the USAID/OFDA award.   The two most commonly encountered types of costs that required approval prior to award are
    - Capital equipment, defined as any article of tangible, non-expendable personal property having a useful life of more than one year and a per-unit acquisition cost of $5,000 or more, and
    - International travel (Define as travel between two countries)

Understanding these post-award requirements during the proposal process can significantly reduce administrative burdens during the implementation of the award. To the extent these items are identified in the proposal and budget, and incorporated into the award, prior approval is deemed to have been given. International travel is considered "identified" in the proposal if the following information has been provided: number of trips, number of travelers per trip, destination(s), and purpose of each trip. **In this section of the proposal, applicants should provide a list of capital equipment, international travel, and other costs for which prior approval is sought.**

When a proposal successfully completes the review process and is approved, funding is obligated through a grant or cooperative agreement, or a modification thereto. **It is important that the recipient read the agreement and become familiar with the terms and conditions associated with the use of USAID funding.**

Although prior written approval for these budget and program revisions must be provided by the agreement officer, except to the extent that an award may explicitly delegate such authority to the CTO, requests should be addressed to the CTO named in the agreement. Requests should be submitted separately from other routine correspondence, such as program updates or reports.

Post-award requests should describe the purpose of the change and detail the impact that change will have on the program as originally proposed. They should be submitted as soon as a change is needed, as USAID/OFDA will require time to provide written approval. USAID/OFDA encourages organizations to allow a minimum of 10 days for unfunded changes and a minimum of 45 days for funded changes.

Approvals may be conferred by letter or through formal modification to the award. Additional funding will always be confirmed through a formal modification.

F. *Ineligible and Restricted Goods, Services, and Countries*

For more information on this subject than the summaries provided below, please see the USAID Automated Directives System (ADS) *Major Functional Series 300: Acquisition and Assistance, Chapter 312 - Eligibility of Commodities* http://www.usaid.gov/policy/ads/300/312.pdf

1.   Ineligible Goods and Services

Budgets must not contain, and award recipients may not procure, the following items with USAID/OFDA funds:
- Military equipment
- Surveillance equipment
- Commodities and services for support of police or other law enforcement activities
- Abortion equipment and services
- Luxury goods and gambling equipment
- Weather modification equipment

2.   Ineligible Suppliers

Recipient may not procure goods or services furnished by any firm or individual whose name appears on the "List of Parties Excluded from Federal Procurement and Non-procurement Programs" (*see* http://epls.arnet.gov). Applicants should also consult the Office of Foreign Assets Control (OFAC) in the U.S. Department of the Treasury to review the lists of specially designated nationals and blocked persons.

3.   Restricted Goods

Purchase of the following items requires approval in the initial award or prior to procurement:
- Agricultural commodities, including food and seeds
- Fertilizers
- Pesticides
- Pharmaceuticals, both veterinary and human, including oral rehydration salts and contraceptives
- Motor vehicles that are not manufactured in the U.S., including vehicle leases of six months or more
- Used Equipment
- USG-owned excess property

To facilitate award and program implementation and to reduce administrative burdens, the following additional information is requested at the time of application. Budget line items and justifications also must be included.

a) Agricultural Commodities
Food—other than for nutritional and health purposes—is generally not financed by USAID/OFDA. Seeds are subject to the USAID *Seed Grower Certification Requirement* (*see box*). If a Seed Grower's Certificate is not available, for example in a seed fair situation, the recipient must document what quality assurance practices were followed in lieu of certification.

SEED GROWER CERTIFICATION REQUIREMENT

Seeds. The Grantee shall obtain from the suppliers of all seeds procured under this Grant, a "SEED GROWER'S CERTIFICATE," which attests to the following:

    a) The seed was grown in ____(Name of Country)____

    b) The seed was sampled by an official of, and tested in, a laboratory of ____(Name of Country and City)____

    c) The seed was put up in packages of containers used by end-users, labeled with all of the following:

        (1) Seed lot number;

        (2) Kind, or kind and variety;

        (3) Weed seeds;

        (4) Inert matter;

        (5) Germination and hard seed;

        (6) Names and rates of noxious weed-seed occurrence (which must conform to the laws of the Importing Country);

        (7) Month/year in which purity and germination tests were completed; and

        (8) If seed was treated, chemicals with which treated and cautionary statement, if advisable.

    d) Not more than twelve (12) calendar months have elapsed since last day of month when germination test was completed (when seed is packaged in hermetically sealed containers).

    e) Samples of the shipping lot will be retained for one (1) year by _(the Grower)_, and a copy of the laboratory purity and germination test analysis will be retained by the laboratory for not less than three (3) years.

The laboratory report shall be prepared under the letterhead of the laboratory, dated, and signed by a person, such as a seed technologist, making the analysis, and shall be attached to the "SEED GROWER'S CERTIFICATE."

The "SEED GROWER'S CERTIFICATE" shall be issued under the letterhead of the Grower. It shall identify the Supplier's transaction by letter of credit number and bank, and identify the lot involved. The Certificate shall be dated and signed by an individual authorized to bind the grower and shall be issued to the Supplier.

The documents provided under this provision shall be available in English for audit purposes.

If Grantee cannot obtain a Seed Grower's Certificate, Grantee shall document their files to indicate what quality assurance practices were followed in lieu of the certification.

b) Fertilizers

Although fertilizers are considered to be restricted commodities under USAID policies, USAID/OFDA does provide funding for fertilizers in some circumstances. Regarding USAID restrictions on fertilizer purchases:

1. Restrictions are placed in support of the U.S. "Buy America" Policy, price parity, and the potential impact of large fertilizer purchases on availability. However, there are no limitations on the quantity of fertilizer that can be purchased locally. USAID policies

regarding fertilizer and special approval requirements do not apply to fertilizer purchased locally, only to fertilizer purchased elsewhere. Policies are based on the purchase location, not the production location.

2. Regardless of place of origin, specifications must be followed per the *USAID Commodity Eligibility Listing* (*see* http://www.usaid.gov/policy/ads/300/31251m.pdf), however, these stipulations deal only with confirming the quality of inorganic fertilizers. There are no specifications for organic fertilizers.

3. Any non-local purchase of fertilizer requires special approval, which may prove problematic due to the time required.

When USAID/OFDA funds a proposal that includes fertilizers, a special provision is included authorizing local purchase, and making the recipient responsible for compliance with the specifications in the *USAID Commodity Eligibility Listing*, to the extent there are requirements for the desired type of fertilizer.

c) Pesticides

USAID/OFDA usually will not finance the purchase of pesticides and generally will only consider such purchases in response to agricultural pest outbreaks and public health emergencies. Obtaining internal USAID approval for pesticide purchases is generally time-consuming and contrary to rapid response; hence, if possible, pesticides should not be proposed for USAID/OFDA funding.

d) Pharmaceuticals

Proposals requesting pharmaceutical products or veterinary drugs should include in the program proposal a "drug list" specifying: generic and brand name, strength or concentration, dosage form, quantity, unit package size, intended therapeutic uses, and anticipated sources (see *USAID/OFDA Checklist for Reviewing/Approving Purchases of Essential Medications. See Health APDR/* Sub-sector Medical Commodities/Pharmaceuticals).

All purchases will be subject to a special provision for the procurement of medicines and pharmaceutical products that limits such purchases to U.S. Food and Drug Administration (FDA)-approved products and sources unless otherwise authorized; directs the recipient to assume the risk for purchases of non-FDA approved products and sources; and requires submission of safety and efficacy information. USAID/OFDA funds may not be used for non-U.S. pharmaceuticals that infringe on valid U.S. patents.

e) Motor Vehicles

Proposals that include non-U.S. vehicles should include a rationale for their purchase or long-term lease. If non-U.S. vehicles are approved, all vehicles will be subject to the order of preference and file documentation requirements in paragraph (b)(1) of the standard provision titled "USAID Eligibility Rules for Goods and Services" and a supplemental descending order of preference, as follows: U.S.-manufactured vehicles; vehicles assembled in the cooperating country or a Code 941 country using a substantial number of parts and sub-assemblies manufactured in the U.S.; vehicles manufactured in any Code 935 country by a subsidiary of a U.S. manufacturer; and vehicles manufactured in a Code 935 country by other than subsidiaries of U.S. manufacturers (*see* http://www.usaid.gov/policy/ads/200/260.pdf for geographic codes).

f) Used Equipment

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

g) USG-owned Excess Property

It is not anticipated that any USG-owned excess property will be purchased.

4. U.S. Foreign Policy-restricted and Ineligible Countries, U.S. Economic Sanctions, and U.S. Export Restrictions

"Foreign Policy-restricted Countries" are countries not included in Geographic Code 935. Geographic Codes pertain to procurement of goods and services, and are described in more detail in the standard provision entitled "USAID Eligibility Rules for Goods and Services" and 22 CFR 228 http://www.access.gpo.gov/nara/cfr/waisidx_08/22cfr228_08.html. Geographic codes can be viewed on http://www.usaid.gov/policy/ads/200/260.pdf

In addition, OFAC administers U.S. economic sanctions against certain countries, entities, and individuals, which are listed on http://www.treas.gov/offices/enforcement/ofac. In some cases, it may be necessary for USAID and/or the applicant to obtain an OFAC license. Applicants are reminded that U.S. executive orders and U.S. laws prohibit transactions with, and provision of resources and support to, individuals and organizations associated with terrorism. It is the legal responsibility of the applicant to ensure compliance with these executive orders and laws.

Moreover, the U.S. Department of Commerce administers the U.S. Export Administration Regulations found in 15 CFR 730, *et seq.* Further information about export restrictions may be found on http://www.gpo.gov/bis/index.html and http://www.gpo.gov/bis/ear/ear_data.html. It is the legal responsibility of the applicant to ensure compliance with these regulations.

Finally, some countries may be ineligible for assistance under the Foreign Assistance Act of 1961 (FAA), as amended, or under acts appropriating funds for foreign assistance. For example, a host country's delinquency in loan repayments (FAA Section 620[q] and Brooke Amendment), military coups (FAA Section 508), assistance to military, police, or prison forces (FAA Section 660), countries with which diplomatic relations between the U.S. and the host government have been severed (FAA Section 620[t]), host governments that have repeatedly supported international terrorism (FAA Section 620[a]), or nuclear proliferation (Arms Export Control Act, Sections 101 and 102). This is not an exhaustive list. However, USAID/OFDA has statutory "notwithstanding authority," which permits it to waive these restrictions. Applicants should confirm country eligibility before submitting a full proposal.

G.   *Branding and Marking*

USAID requires all programs, projects, activities, public communications, and commodities that are partially or fully funded by USAID to be marked with the latest USAID Standard Graphic Identity of a size and prominence equal to, or, in cases where USAID is the major donor, greater than the recipient's or other donors' identities or logos. Further information may be found on http://www.usaid.gov/branding

1.   Branding Strategy and Marking Plan (BSMP)

USAID also requires that applicants for grants and cooperative agreements submit a BSMP. The Branding Strategy describes how the proposed program, project, or activity will be named and positioned, and how it will be promoted and communicated to beneficiaries and host country citizens. The Marking Plan details the public communications, commodities, activities, program materials, and other items that will visibly bear the USAID Standard Graphic Identity.

- **New Awards**

All applicants presenting a proposal for a new award are required to submit a BSMP with the initial proposal submission. Applicants should also include, in the total estimated amount of the grant or cooperative agreement, all costs associated with branding, such as press conferences, media and promotional materials, photography, site visits, success stories; and all costs associated with marking, such as plaques, banners, signs, and stickers.

USAID/OFDA will not competitively evaluate BSMPs; rather, BSMPs will be negotiated pre-award and included as part of the award. It is recommended that items to be marked not be quantified.

- **Award Modifications**

Branding Strategies and Marking Plans are not required for modifications, unless there are changes to the BSMP or the award does not already include a BSMP.

2.   Presumptive Exceptions

The applicant may request, and the USAID Agreement Officer may approve, a *Presumptive Exception* which relieves the applicant from the general marking requirements for a *particular* USAID-funded public communication, commodity, program material, or other deliverable, or for a *category* of USAID-funded public communications, commodities, program materials, or other deliverables, which would otherwise be required to visibly bear the USAID Standard Graphic Identity.

USAID marking requirements may not apply if they would have the following undesirable results:

- Compromise the intrinsic independence or neutrality of a program or materials where independence or neutrality is an inherent aspect of the program and materials, such as election monitoring or ballots, and voter information literature; political party support or public policy advocacy or reform; independent media, such as television and radio broadcasts, newspaper articles and editorials; and public service announcements or public opinion polls and surveys *(Presumptive Exception [i])*.

- Diminish the credibility of audits, reports, analyses, studies, or policy recommendations whose data or findings must be seen as independent (Presumptive Exception [ii]).
- Undercut host-country government "ownership" of constitutions, laws, regulations, policies, studies, assessments, reports, publications, surveys or audits, public service announcements, or other communications better positioned as "by" or "from" a cooperating country ministry or government official (Presumptive Exception [iii]).
- Impair the functionality of an item, such as sterilized equipment or spare parts (Presumptive Exception [iv]).
- Incur substantial costs or be impractical, such as items too small or otherwise unsuited for individual marking, including food in bulk (Presumptive Exception [v]).
- Offend local cultural or social norms, or be considered inappropriate on such items as condoms, toilets, bed pans, or similar commodities (Presumptive Exception [vi]).
- Conflict with international law (Presumptive Exception [vii]).

Applicants must provide detailed justification and supporting information in any request for a Presumptive Exception. The proposal also must indicate whether the applicant will accept the award in the event the USAID Agreement Officer does not approve requested Presumptive Exceptions.

3. Waivers

The applicant or recipient may request, and the USAID/OFDA director may approve, at any time before or after award, a waiver, in whole or in part, of the marking requirement and Marking Plan for compelling political, safety, or security reasons, or if marking would cause adverse reaction in the host country. Implementing partners can submit waiver requests through the appropriate USAID/OFDA/W contact covering their respective country program. The request should describe the compelling political, safety, or security concerns, or adverse impacts, that necessitate a waiver; explain the circumstances and rationale for the waiver; detail the specific requirements to be waived, the specific portion of the Marking Plan to be waived, or the specific marking to be waived; and specify how or whether program materials would be marked in lieu of the USAID Identity.

The request should also provide a rationale for any use of the recipient's own identity or logo, or that of a third party, on materials that will be subject to the waiver. Approved waivers are not limited in duration but are subject to review by the USAID/OFDA director at any time, due to changed circumstances. The BSMP must be prepared regardless of whether a waiver exists or is being requested. Approved waivers apply to primary awardees as well as sub-recipients. The waiver may also include the removal of USAID markings already affixed, if circumstances warrant. Determinations regarding waiver requests are subject to appeal to the assistant administrator of DCHA. The recipient may appeal by submitting to the assistant administrator a written request to reconsider the USAID/OFDA director's waiver determination. The proposal must also indicate whether the applicant will accept the award in the event any requested waiver is not approved.

Note: Checklists for Branding Strategies, Marking Plans, Presumptive Exceptions, and Waivers are available in Appendix I. These checklists are intended as tools to assist NGOs in the preparation of Branding Strategies and Marking Plans and requests for Presumptive Exceptions and Waivers, but should not be used as the applicant's actual Branding Strategy or Marking Plan or request for Presumptive Exception or Waiver; nor do they supersede any USAID policies or requirements related to branding and marking.

H. *Certifications and Representations*

All proposals must include the complete, current, and signed Certifications and Representations package, which is available on
http://www.usaid.gov/our_work/humanitarian_assistance/disaster_assistance/resources/#grants

I. *Supporting Documentation*

1. Cost Sharing and In-kind Contributions

If applicable, give details of cost sharing, i.e. matching funds, and in-kind contributions. USAID/OFDA will view in-kind contributions favorably during the cost proposal review.

2. Sub-award Arrangements

To the extent they are known at the time of proposal development, describe details of planned sub-awards. For any sub-awards not covered in the original proposal, the agreement officer's post-award approval will be required before sub-agreements may be executed.

3. USG Negotiated Indirect Cost Rate Agreement (NICRA)

Include a copy of the organization's USG *Negotiated Indirect Cost Rate Agreement* (NICRA), if applicable.

4. Program Income

Program income refers to recovered costs or other revenues generated under the award, except for interest earned on USAID advances. If program income is anticipated, the estimated amount should be reflected in the budget. The budget narrative should describe how the program income is proposed to be treated, for example, as additive program funding, cost-sharing, or deductive, or a combination thereof (*see* 22 CFR 226.24, *Administration of Assistance Awards to U.S. Non-governmental Organizations* http://www.access.gpo.gov/nara/cfr/waisidx_06/22cfr226_06.html).

5. Pipeline analysis (Award Modifications only)

Cost extension proposals must have a pipeline analysis that shows, by objective:
- actual costs incurred through the end of the most recent financial reporting period
- estimated costs through the end of the current award period
- the balance of funds that will not be expended by the end of the current award period

Given that unexpended funds will carry over into the cost extension period, the budget for the extension period should be reduced by this amount. Cost modifications must also include a revised budget narrative and signed and completed SF-424. The revised budget and narrative should complement the modified program description, if any.

6. Self-certification for U.S. NGO Compliance with USAID Policies and Procedures

For U.S. organizations only, include a completed copy of the Self-certification for Compliance with USAID Policies and Procedures for Personnel, Procurement, Property Management, and Travel. To obtain a self-certification form, contact the division chief of

Cost Audit and Support within USAID's Office of Assistance and Acquisition (USAID/M/OAA/CAS) at telephone number (202) 712-5321. For additional information, please reference ADS 303.5.b, Additional Help (Procurement Reform Documentation Requirement for Non-Profit Recipients {self-certification}).

J.   Safety and Security Plan

Among USAID/OFDA's primary programming concerns is that humanitarian workers not be exposed to undue or avoidable risks wherever they operate. Safety and security for program and field staff are integral to any operational or programmatic plan funded by USAID/OFDA, and therefore adequate, appropriate, and specific safety and security measures must to be incorporated into all proposals.

USAID/OFDA requires applicants to include a safety and security plan for proposed operational areas that is appropriate to the environment and the organization, and that addresses staff safety and security concerns. Applicants should submit the program's actual Safety and Security Plan or documented security protocols used on the ground, and should justify security-related budget line items. If the Safety and Security Plan was written in a language other than English, applicants must submit an accompanying summary in English to demonstrate the plan's specific applicability to the program area and to highlight any security-related costs or budget considerations. **USAID/OFDA will not explicitly or implicitly evaluate or approve the content of any safety and security documents submitted.**

Applicants are encouraged to consider the application of the *InterAction Minimum Operating Security Standards* http://www.interaction.org/files.cgi/5173_MOSS_May_2006.pdf. Further information is available in the *Suggested Guidance for Implementing InterAction's Minimum Operating Security Standards* http://www.interaction.org/files.cgi/5174_MOSS_Implementation_May_2006.pdf

Additional security resources include
- *InterAction Security Planning Guidelines* http://www.interaction.org/files.cgi/687_Security_Planning_Guidelines.pdf
- local U.N. security guidelines
- U.S. Department of State travel advisories http://www.travel.state.gov

USAID/OFDA recommends that all NGO personnel deployed to the field complete training in personal security management appropriate to the program, organization, and location.

Recent studies indicate that globally, 79 percent of humanitarian security incidents involve national staff members, and this number is on the rise.[1] The "pervasive risk for national staff"[2] is of great concern to USAID/OFDA. Implementing partners are urged to pay particularly close attention to the unique threats and vulnerabilities faced by national staff and to directly address these in safety and security plans.

In addition, USAID/OFDA encourages sharing security information within the humanitarian community, and specifically requests that security incidents or threats involving any NGO staff be promptly reported to the U.N. Department of Safety and Security or the U.N. Office for the Coordination of Humanitarian Affairs (OCHA).

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[1] Stoddard, Harmer & Haver: "Providing aid in insecure environments: Trends in policy and operations"; Humanitarian Policy Group; Overseas Development Institute; London; 2006.
[2] Fast,L: "Characteristics, context and risk: NGO insecurity in conflict zones"; *Disasters* - June 2007 (Vol. 31, Issue 2, Pages 130-54).

VI. SUPPORTING DOCUMENTATION

A.   *Disability Policy and Accessibility Standards*

1.   USAID Disability Policy

The full text of the *USAID Disability Policy Paper* is available on
http://www.usaid.gov/about_usaid/disability. The policy has four primary objectives:
- To enhance the attainment of U.S. foreign assistance program goals by promoting the participation and equalization of opportunities for individuals with disabilities in USAID policies, country and sector strategies, activity designs, and program implementation.
- To increase awareness of issues of people with disabilities both within USAID programs and in host countries.
- To engage other U.S. government agencies, host country counterparts, governments, implementing organizations, and other donors in fostering a climate of nondiscrimination against people with disabilities.
- To support international advocacy for people with disabilities.

USAID/OFDA therefore requires that implementing partners not discriminate against people with disabilities in the implementation of USAID-funded programs, and make every effort to comply with these policy objectives. To that end, and to the extent possible within the scope of program objectives, partners should demonstrate a comprehensive and consistent approach for including women, men, and children with disabilities.

2.   Accessibility Standards for the Disabled in USAID Awards Involving Construction

Among the objectives of the USAID Disability Policy is to engage other USG agencies, host country counterparts, governments, implementing organizations, and other donors in fostering a climate of nondiscrimination for people with disabilities. As part of this effort, USAID has established standards for any new or renovation construction project funded by USAID, to allow access by people with disabilities.

The full text of *Standards for Accessibility for the Disabled in USAID-Financed Construction* is available on http://www.usaid.gov/about_usaid/disability. USAID, and therefore USAID/OFDA, requires implementing partners to comply with standards of accessibility for people with disabilities in all structures, buildings, or facilities resulting from new or renovation construction or alterations to an existing structure.

Implementing partners must comply with the host country or regional standards for accessibility in construction, when such standards result in at least substantially equivalent accessibility and usability to the standards in the Americans with Disabilities Act (ADA) of 1990 and the Architectural Barriers Act (ABA) *Accessibility Guidelines for Buildings and Facilities* of July 2004. Where there are no host country or regional standards for universal access, or where the host country or regional standards fail to meet the ADA/ABA threshold, the standard prescribed in the ADA and the ABA will be used.

All new construction must comply with these accessibility standards. Changes to an existing structure that affect, or could affect, the usability of the structure must comply with

these accessibility standards unless the implementing partner obtains the agreement officer's advance approval that compliance is technically infeasible, constitutes an undue burden, or both. Compliance is technically infeasible when structural conditions would require removing or altering a load-bearing member that is an essential part of the structural frame, or when other existing physical or site constraints prohibit modification or addition of elements, spaces, or features in full and strict compliance with the minimum requirements. Compliance is an undue burden when it entails either a significant difficulty or expense or both.

The following construction-related activities are exempted from these requirements:

- Normal maintenance, re-roofing, painting, wallpapering, or changes to mechanical or electrical systems, unless they affect the accessibility of the building or facility.
- Emergency construction intended to be temporary in nature, for example providing plastic sheeting or tents, minor repair and upgrading of existing structures, reconstructing parts of existing structures, or supplying temporary structures. A portion of emergency construction assistance may be provided to people with disabilities in the process of targeting the most vulnerable disaster-affected populations. (See also: Disability Keyword under APDRs.)

B.   Trafficking in Persons (TIP) Assistance

ORGANIZATIONS ELIGIBLE FOR TIP ASSISTANCE (MAY 2007):
The USG is opposed to prostitution and related activities, which are inherently harmful and dehumanizing, and contribute to the phenomenon of trafficking in persons. No funds made available under an agreement funded by USAID/OFDA for the purpose of monitoring or combating trafficking in persons may be used to promote, support, or advocate the legalization or practice of prostitution. This does not preclude assistance designed to combat trafficking in persons, including programs for prevention, protection of victims, and prosecution of traffickers, by ameliorating the suffering of, or health risks to, victims while they are being trafficked or after they are out of the situation that resulted from being trafficked.

U.S. and foreign organizations, public international organizations, and collaboration agreement non-traditional partners, whether prime or sub-recipients, that receive USG funds to conduct programs targeting victims of severe forms of trafficking cannot promote, support, or advocate the legalization or practice of prostitution. Severe forms of trafficking include sex trafficking in which a commercial sex act is induced by force, fraud, or coercion, or in which the person induced to perform such an act is under 18 years of age. This policy does not apply to such organizations or non-traditional partners that provide services to individuals solely after they are no longer engaged in activities that resulted from being trafficked.

In accordance with the information-sharing requirements in Section 105(f)(4) of the 2003 Trafficking Victims Protection Reauthorization Act and subject to the review procedures of the Senior Policy Operating Group (SPOG)—an interagency coordinating body statutorily established by the 2003 Act—before USAID makes any award for anti-trafficking programs or activities or makes an award with a significant anti-trafficking component, USAID is required, to the extent permitted by law, to share information on its proposed action with the other primary grant-making SPOG member agencies: Department of State, Department of Justice, Department of Labor, Department of Health and Human Services, and Department of Homeland Security. Such information shared by the

awarding SPOG member agency shall include the name of the funding recipient, including sub-grantees or sub-awardees; location of proposed project; proposed amount of the award; and a one or two sentence description of the project.

SPOG member agencies shall have the opportunity to comment on, but not to approve, any proposed USAID anti-trafficking award with respect to whether the proposed action will duplicate anti-trafficking activities of other member agencies; whether the proposed action presents opportunities for partnership with anti-trafficking activities of other member agencies; or whether the proposed action or award to a funding recipient is consistent with USG policies on combating trafficking in persons. This review and comment process may take 27 business days or longer.

C.   Voluntary Survey on Faith-based and Community Organizations

Executive Order 13279 of December 12, 2002, Equal Protection of the Laws for Faith-Based and Community Organizations, requires select federal agencies, including USAID, to collect data regarding the participation of faith-based and community organizations in social service programs that receive federal financial assistance. Completion of the survey by an applicant for USAID/OFDA funding is voluntary, and is not a requirement. The absence of a completed survey in a proposal may not be a basis upon which the proposal is determined incomplete or non-responsive. A sample survey on Ensuring Equal Opportunity for Faith-Based and Community Organizations, which has been approved by OMB for this purpose, is accessible from http://www.usaid.gov/our_work/humanitarian_assistance/disaster_assistance/resources/#grants

D.   Supporting Documentation

1.   Organizational Structure

 Applicants should explain how their headquarters and field office(s) are organized, and how this structure is coordinated to achieve performance targets.

2.   Accountability

Applications should address whether the organization has a written management plan that provides for systems to ensure that staff members adhere to international humanitarian laws, codes of ethics, and standards of practice.

3.   Past Performance References

Applicants should offer examples of past performance and sector expertise that demonstrate the organization's success in implementing similar programs. Include contact names, telephone numbers, and e-mail addresses for any references provided.

4.   New Vendor Information Form

If the applicant has never before received a USAID award, the proposal must include a completed New Vendor Information Form, accessible from http://www.usaid.gov/our_work/humanitarian_assistance/disaster_assistance/resources/#grants

VII. POST-AWARD AND REPORTING GUIDELINES

The following guidance reflects USAID/OFDA's information needs during program implementation and close-out. In addition to the required reports listed, USAID/OFDA appreciates frequent information sharing on program activities and results, challenges and success stories.

A.   Performance Baseline Data

Unless the award requires submission of a Monitoring and Evaluation Plan, or unless baseline data were included in the proposal, recipients must submit performance baseline data, which describe the prevailing conditions of the beneficiary population or situation at the onset of the disaster or program; the magnitude of the problem; and the needs to be addressed by the program. If necessary or appropriate, revised performance indicators and/or numerical performance targets must be submitted, with appropriate rationale. If the award is for six month or longer, baseline data must be submitted no later than 90 days from the effective date of the award. If the award is for less than six months, baseline data must be submitted no later than 30 days from the effective date.

B.   Quarterly Program Performance Reports

Quarterly Program Performance Reports are widely viewed as helpful monitoring tools for both USAID/OFDA and the implementing partner. In some cases, reports will be required less frequently. Please refer to the award "Schedule" to determine submission frequency. USAID/OFDA asks that these reports be concise and include cumulative achievements and a comparison of actual accomplishments against the objectives and indicators. These data (both qualitative and quantitative) should be presented using indicators identified in the proposal and supported by a narrative. **Please use the exact indicator language in the APDR to report on indicators.** In areas where health and nutrition programs are being implemented, USAID/OFDA requires that implementing partners track/gather representative data on wasting and crude mortality rates by age and gender. USAID/OFDA uses these data to examine the overall health and nutrition profile in the affected area.

C.   Informal Reporting and Quantitative Data Collection

Informal reporting and quantitative data collection, such as periodic informal updates on program activities, are appreciated. During a large response, USAID/OFDA often requires additional quantitative data to meet internal and external reporting requirements. In these cases USAID/OFDA may request voluntary submission of additional information regarding accomplishments on a more frequent basis. USAID/OFDA will provide guidance as necessary on desired content, format, and submission parameters.

D.   Financial Reporting

In addition to the standard financial reporting requirements outlined in the award document, USAID/OFDA requires pipeline analysis and projected funds availability with requests for budgetary changes or additional funding. For further information about pipeline analysis and cost extension proposals, see the Cost/Budget Guidelines.

E.   Annual and Final Results Reports

Results reports should cover the USG fiscal year (October 1 through September 30) or any part thereof. If the award ends during the fiscal year, a final results report must be

submitted not later than 90 days after expiration. Otherwise, the annual results report must be submitted not later than December 31. This report should emphasize quantitative as well as qualitative data, and should show program impact through the measured change in target value for each indicator, comparing baseline data to year-end or project-end data.

F.   Notifications

Recipients must notify USAID/OFDA of developments that have a significant impact on activities supported by the award, as well as problems, delays, or adverse conditions that materially impair the recipient's ability to meet the objectives for each sector. This notification shall include a statement of actions taken or contemplated to overcome the obstacle, any assistance needed to resolve the problem, or plans to submit a request for budget and/or program modification.

G.   Award Close-out

Award close-out requires submission of the final results report, property inventory list, final financial report, and proposed equipment disposition. Refer to the award document for details, including the address to which final materials should be sent.

H.   Audits

Pursuant to 22 CFR 226.26, all U.S. NGOs that expend more than $500,000 in USG funds, cumulative for all USG awards and sub-awards, in any of their fiscal years must have an independent audit conducted in accordance with OMB Circular A-133. In accordance with the standard provision for non-U.S. NGOs entitled "Accounting, Audit, and Records," all non-U.S. NGOs that expend more than $300,000 in USG funds, cumulative for all USAID awards and sub-awards, in any of their fiscal years must have an independent audit conducted in accordance with the USAID Inspector General's *Guidelines for Financial Audits Contracted by Foreign Recipients*.

I.   OFAC Certification, Reporting, and Record Keeping

If an OFAC license is required and issued for a particular award (*see* U.S. Foreign Policy-restricted and Ineligible Countries, U.S. Economic Sanctions, and U.S. Export Restrictions, under Cost/Budget Guidelines), it may direct the recipient to comply with specific certification, reporting, and record-keeping requirements.

VIII. ADDITIONAL PROGRAM DESCRIPTION REQUIREMENTS (APDRs)

This section offers information on each sector, sub-sector, indicator, and keyword. It is organized alphabetically by sector. If proposed program areas are not listed, and therefore do not correspond to a USAID/OFDA-approved sector, sub-sector, or keyword, please contact the appropriate USAID/OFDA program staff.

Each sector description begins with sections on Background and Information Resources, which are provided for the applicant's information and utilization. The Justification for Intervention offers elements the applicant should cover at the outset of the proposal, to substantiate the Program Basis. Applicants need only address points relevant to the proposed intervention. Available Sub-sectors and Sample Activities are listed to clarify applications for each sector and to introduce its sub-sectors.

Each sub-sector description begins with information on Restricted Goods, if applicable. Overviews are provided as appropriate. The Needs Assessment Summary should be used at the outset of the proposal, to substantiate the Program Basis. Information found under Technical Design, Beneficiary Details, and Indicators should be used for the Program Description at the Sub-sector Level. Again, applicants need only address points relevant to the proposed intervention.

Applicants must report against all of the indicators listed for each sub-sector. Target values for each indicator must be identified no later than 30 days after the beginning of the program. If an applicant determines that a particular indicator does not apply to its activities, the option of not reporting against that indicator must be discussed and cleared with OFDA/W staff. A reporting value of "0" for an indicator is possible if data has not yet been gathered.

Descriptions of Keywords constitute the final component of this section. Choose all keywords that apply to proposed activities for each sub-sector.

A. Sector

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1. Agriculture and Food Security

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Background

Agriculture and Food Security initiatives supported by USAID/OFDA are designed to be timely and immediately useful for vulnerable populations. In addition, any relief or mitigation intervention undertaken should tie directly into ongoing development programs, or should set the stage for later development work. Disaster risk reduction (DRR) activities within each sub-sector should focus on addressing the underlying causes of agricultural crises, and/or increasing the population's resiliency to shocks. For both response and risk reduction, USAID/OFDA supports innovative programs in agriculture and food security, and is willing to pilot new methodologies, tools, and techniques. To the extent possible under the circumstances, interventions should be sustainable and community-focused.

Information Resources

- *Livestock Interventions: Important Principles for OFDA.* Provides further detail on what USAID/OFDA will fund, and under what circumstances. http://www.usaid.gov/our_work/humanitarian_assistance/disaster_assistance/resources/pdf/livestock_guidances_11-19-02.pdf
- World Fish Center (an international research organization devoted to improving the productivity and management of aquatic resources for the benefit of users and consumers in developing countries) http://www.worldfishcenter.org/v2/index.html
- *The Livestock Emergency Guidelines and Standards*, to be published January 2009. http://www.livestock-emergency.net
- USAID Assistance for Emergency Locust/Grasshopper Abatement. http://www.usaid.gov/our_work/humanitarian_assistance/disaster_assistance/locust
- USAID Environmental Regulations (22 CFR 216). http://www.usaid.gov/our_work/environment/compliance/22cfr216.htm#216.3
- Sections of Regulations 216 applicable to emergency transboundary outbreak pests, as described in USAID *Emergency Transboundary Outbreak Pest Management in Africa and Asia: Revised Programmatic Environmental Assessment*. U.S. Department of Agriculture's Animal and Plant Health Inspection Service, 2001. http://www.encapafrica.org/sea_&_pea.htm
- U.S. Environmental Protection Agency. http://www.epa.gov/ebtpages/pesticides.html
- *The International Code of Conduct on the Distribution and Use of Pesticides*. U.N. Food and Agriculture Organization (FAO). http://www.fao.org/ag/agp/agpp/Pesticid/Default.htm
- *Pesticide User's Guide: A Handbook for African Extension Workers*. USAID Assistance for Emergency Locust/Grasshopper Abatement. Hard copies available in Arabic, English, French, and Portuguese.
- *Guidelines for Rapid Environmental Impact Assessment in Disasters* by Charles Kelly. Benfield Hazard Research Center and CARE International, 2005. http://www.benfieldhrc.org/disaster_studies/rea/rea_guidelines.htm

- *Agriculture System Interventions: Important Principles for USAID/OFDA.* http://www.usaid.gov/our_work/humanitarian_assistance/disaster_assistance/sectors/mods/docs/seed_guidance.pdf
- *Seed Aid for Seed Security: Advice for Practitioners, Practice Briefs 1–10.* International Center for Tropical Agriculture and Catholic Relief Services, Rome, 2001. Available in English, French, and Portuguese. http://www.ciat.cgiar.org/africa/practice_briefs.htm
- *When Disaster Strikes: A Guide to Assessing Seed System Security.* International Center for Tropical Agriculture and Catholic Relief Services, Rome, 2008. http://www.ciat.cgiar.org/africa/pdf/sssa_manual_ciat.pdf

Justification for Intervention

Proposed activities must be based on assessed needs, and not on assumed needs. Explain what shock or shocks led to vulnerability of the population and why a humanitarian response is a priority for this sector at this time. If seed or agricultural inputs are proposed, provide a time line of the agricultural cycle. If inputs related to livestock are suggested, discuss the implications for environmental impacts, and take into account the carrying capacity of the region. For interventions addressing pests and/or diseases, include the potential impact of these pests or pathogens on food security and the livelihoods of vulnerable populations.

The justification should indicate specifically why the proposed activities are appropriate for the assessed needs. Where applicable, distinguish between needs due to lack of access, i.e., inputs are too expensive or too distant, and needs due to lack of availability, i.e., inputs are out of stock. In addition, discuss why the situation cannot be addressed without outside assistance.

For ongoing programs, analyze the transition out of the emergency phase or, if the transition is not occurring, explain why the emergency is ongoing. For DRR activities, cover how the proposed program will mitigate against a particular hazard or how it will serve to increase community and household resiliency.

Available Sub-sectors and Sample Activities

Fisheries: Capture or Aquaculture
- Provision of boats or fishing gear, or equipment for fish culture
- Training and sensitization in capture technologies, ecosystem and fisheries management
- Equipment and training for fish processing or marketing

Livestock
- Training / equipping community animal health workers
- Destocking
- Restocking
- Feed provision
- Improved grazing lands

Pests and Pesticides
- Mitigation, prevention, and treatment of pests and diseases
- Establishment of monitoring / surveillance / control systems for emergency transboundary outbreak pests

- Training in pesticide handling and disposal
- Establishment of safety protocols for pest interventions
- Production and use of natural or biological pesticides

Seed Systems and Agricultural Inputs
- Provision of seeds / seedlings / tools / irrigation supplies
- Seed multiplication programs
- Kitchen gardens / home gardens / urban agriculture
- Organic fertilizer production
- Improved seed storage
- Training in agricultural production techniques

Veterinary Medicines and Vaccines
- Veterinary vaccination campaigns
- Disease management and control

Sub-sector: Fisheries

Needs Assessment Summary
- Target population's past experience or participation in fisheries activities
- Estimates of the current fish harvest and production
- Estimates of the current post-harvest or post-production fish losses
- How benefits from the proposed activity, such as nutrition and enhanced income, will outweigh possible costs, such as environmental degradation, overexploitation of fish, and social tensions
- For capture fisheries, how much the harvest could increase through this program; For aquaculture, how much the production could increase through this program
- Improvements that can be made in transportation, marketing, and fish processing (drying, smoking, salting)
- How the technical capacity of fisherfolk could be enhanced

Technical Design
- How proposed activities will be implemented, including technical considerations, equipment, and training activities
- Whether project participants own the land on which the pond or ponds will be located, or have ready access to the waters where the pen or pens will be located. Whether participants have use rights, and what use-rights mechanisms will be put in place for this intervention; How the ponds or pens will be protected from theft
- How proposed activities will help improve the resiliency and well-being of the target population, and how the program will fit into longer-term transition and recovery efforts in the fisheries arena; *All proposed interventions must address potential negative impacts on local fish stocks and associated aquatic ecosystems*
- Many fisheries systems are characterized by large, avoidable post-harvest losses. How will improved marketing and processing activities be carried out, or why are they unnecessary to the program?
- What will be done to prevent aquaculture systems from spreading fish diseases
- Having staff trained specifically in fisheries science or management is key to the success of fisheries programs; List the fisheries personnel who will be hired to

manage the proposed program, and how they will collaborate with local, regional, and/or national fisheries officers and specialists

Beneficiary Details
- Local fisherfolk should be the focus of all fisheries initiatives; How will participants be selected? How will fisherfolk be protected from displacement by entrepreneurs, businessmen, and other influential individuals?

Capture Fisheries
- How any existing women fishers, processors, and traders will maintain or enhance their roles through this program
- How the social and economic tensions associated with the distribution of high-value inputs, such as engines, boats, and large nets, will be mitigated

Aquaculture
- How women and adolescents will be able to fit fisheries work or chores into their schedules and how they will benefit

Indicators (required)
- Number of people trained in fisheries
- Number of people benefiting from fisheries activities
- Kilograms of fish captured/fisher/month (Capture fisheries) or kilograms of fish harvested/fish-farmer/six-month period (Aquaculture)

Sub-sector: Livestock

Needs Assessment Summary
- Provide a summary for each community where livestock is a significant livelihood Detail community size, numbers and types of livestock, and other livelihood activities Separate communities into agricultural groups, for example, nomadic, community livestock farmers, individual owners, primarily crop farmers with livestock, primarily non-agricultural livestock owners
- Effects of the disaster on these communities, their water resources, crops, and livestock; Have individuals been displaced, and what is the status of livestock and agriculture resources; Disposition of livestock and agricultural assets as a result of the disaster and/or displacement
- Estimated livestock nutritional needs and available feed, such as forage for grazing animals, harvested fodder or feedstuffs for small herds
- Livestock markets available both historically and currently; Changes in market structure and potential for redeveloping markets
- Significant livestock diseases in the region that are relevant to the disaster; Current or anticipated effects of these diseases on the livestock population, with zoonosis where applicable; Veterinary resources available; Frequency of livestock disease occurrence in program area
- Restocking proposals should be supported by a detailed analysis of traditional restocking mechanisms, data on the extent to which they are still functioning, and sound reasons why these mechanisms should be disrupted or supported; In many cases, nature enforces stocking levels by producing only minimal forage; In cases where the stocking rate has been exceeded and/or pastoralism is no longer a viable livelihood, can other livelihoods be introduced? In the case of animal provision,

where would the animals be sourced, how could veterinary care be provided, and what is the availability of feed and water for additional livestock in the region?

Technical Design
- For all interventions proposed within this sub-sector, relate the proposed activities to carrying capacity and stocking rates in the region
- How the proposed intervention will help build a more sustainable community, and how the program will fit into overall recovery and stability plans.
- Most disasters cause a reduction in food resources for livestock. How severe is the depletion of feed and reserves? What are the plans for reestablishing or creating feed reserves? Often this will involve a forage development plan. How are sustainability and community livelihoods covered by this plan?
- Disease intervention plans may involve quarantine, vaccination, education, and training. Describe each component with a justification, and explain its relationship to the overall proposed program. Veterinary Medicines and Vaccines are restricted goods (*see below*, Veterinary Medicines and Vaccines Sub-sector). That sub-sector must be used whenever the purchase of veterinary vaccines or medicines is proposed. All other interventions related to animal health should be under the Livestock Sub-sector
- For interventions focused on highly contagious diseases, zoonotic diseases, and some diseases which limit trans-boundary movement and marketing, contingency plans are needed for emergency situations; Such diseases include avian influenza, foot and mouth disease, and rift valley fever; What are the contingency plans for any such diseases during this and future disasters?
- Outreach approaches, such as using extension workers, health workers, or the private sector, are often an important component of livestock disaster rebuilding. How will training be incorporated across planned activities?

Beneficiary Details
- Communities and individuals to be the primary beneficiaries, and the criteria for selecting them
- How the technical design will benefit the most vulnerable populations, including women and youth; Any guidelines for addressing major obstacles, with possible alternative approaches
- How the applicant is situated to implement the proposed program, including the relationships and partnerships that will enable direct interaction with beneficiaries

Indicators (required)
- Number of animals benefiting from or affected by livestock activities
- Number of people benefiting from livestock activities

Sub-sector: Pests and Pesticides

Restricted Goods
Pesticides are restricted goods. USAID/OFDA usually will not finance the purchase of pesticides and generally will only consider such purchases in response to agricultural pest outbreaks and public health emergencies. (*See also* Documentation on Ineligible and Restricted Goods, Services, and Countries under Cost/Budget Guidelines)

Needs Assessment Summary

- Types and life stages of pests or diseases affecting crops, pastures, or produce. Types and quantities of crops, pastures, or produce that have been, and are expected to be, damaged, spoiled or destroyed
- Location of crops or produce affected, for example, in the field or in storage facilities. If in the field, how many hectares have been infested or infected
- How pest infestations or disease infections are impacting food security and the livelihoods of vulnerable populations and communities; Number of people affected
- If disposal of obsolete pesticides is being considered, describe the quantity of pesticides involved, and the threats these materials pose to the communities and environment

Technical Design
- If non-chemical pest control tools are proposed, explain why and discuss how their safety to humans, beneficial organisms, and the environment will be ensured. If any traditional tools or methodologies are being proposed for the control of pests and diseases, describe how they will be promoted, encouraged, improved, and disseminated.
- USAID/OFDA discourages direct involvement by farmers or pastoralists in the handling and use of pesticides. However, if pesticides are vital to program success, the proposal must clearly explain how the requirements of USAID Environmental Regulations (22 CFR 216) will be addressed, particularly those in Pesticide Procedures Section 216.3 (b) (*see above* Agriculture and Food Security Information Resources)
- If pesticides are misused, mishandled, or improperly transported or stored, they can seriously affect human health and environmental safety. All proposals that may involve pesticides must adequately describe what procedures will be implemented to ensure the safety of humans, the environment, non-target and beneficial organisms (*see above* Agriculture and Food Security Information Resources, for Regulations 216 and the U.N./FAO *International Code of Conduct on the Distribution and Use of Pesticides*).
- The temporary storage, removal, or disposal of obsolete, unusable, and dangerous pesticides and old pesticide containers requires qualified, skilled, and experienced personnel. If disposal of pesticides or containers is proposed, what safety procedures will be followed? Under no circumstances can empty pesticide containers be used for storing food, water, or animal feed. Rather, they must be collected, triple-rinsed, punctured or crushed, and stored in a secure place until they are removed by qualified and authorized persons for final and safe disposal.
- Opportunities for sharing resources on crop diseases, pests, and obsolete pesticides with local communities, including farmers, pastoralists, extension agents, crop protection staff, and other stakeholders operating in the region such as NGOs, FAO, and other U.N. agencies

Beneficiary Details
- Number of beneficiaries or households to receive technical and/or material assistance in pest or disease control, or to otherwise benefit from proposed activities
- Criteria for selecting beneficiaries; How gender equality will be addressed
- How beneficiaries' awareness and level of competence will be raised in understanding the importance of controlling pests and safe handling and use of pesticides

- Under what circumstances, if any, beneficiaries will be allowed to handle or use pesticides, and how this activity will be targeted, monitored and supervised
- How vulnerable communities and their assets will be protected during the course of pest and disease control, as well as during disposal of obsolete pesticides
- Specifically how any disposal of obsolete pesticides and empty pesticide containers will benefit target populations and communities

Indicators (required)
- Number of people trained in pest and pesticide management
- Number of beneficiaries practicing appropriate crop protection procedures
- Number (estimated) of hectares protected from pests/diseases

Sub-sector: Seed Systems and Agricultural Inputs

Restricted Goods
Implementing partners are responsible for using quality agricultural inputs. Seeds, seedlings, and other agricultural commodities are restricted goods, and require approval in the initial award or prior to procurement. Fertilizers are also restricted commodities under USAID policies, however, USAID/OFDA does provide funding for fertilizers under some circumstances. For further information on seed, agricultural commodity, and fertilizer requirements, *see* Documentation on Ineligible and Restricted Goods, Services, and Countries under Cost/Budget Guidelines.

Needs Assessment Summary
- Proposals to provide seeds require an assessment of seed needs as distinct from immediate food needs
- Proposal to provide other inputs must be based on assessed needs
- Limiting factors to agricultural productivity or storage in the region as a whole, and for the target population
- Stress the agricultural system is currently under as compared to normal times
- Amount of land available for each farmer, distance from the land to their homes, and any potential for conflict
- For irrigation programs, the effects of proposed interventions on regional water tables, and potential for conflict with other populations who may be competing for scarce water resources

Technical Design
Seed provision
- Rationale for crop choices, data on market access and availability of appropriate seeds, and sources of the seeds to be provided
- How farmer choice will play a role in program design and interventions
- Effects of seed distribution on local markets and on seed sourcing for non-beneficiaries
- How distribution methods links directly to seed systems or needs assessments
- Strong justification for any non-local or hybrid seed purchases; Any proposals involving distribution of hybrid seeds require pre-approval by OFDA/W technical staff
- USAID/OFDA does not consider disaster situations to be appropriate for introducing new crops or unfamiliar varieties to farmers. The introduction of

improved varieties is encouraged on a small scale allowing farmers to experiment with new varieties and reduce risk

Provision of other agricultural inputs
- Rationale, including sustainability and program impact over the long term
- Tool distributions should be carefully considered and justified in conflict settings
- Provision of irrigation supplies must include technical design information (*see bullet below,* irrigation systems), and must address issues of protection, particularly in areas where water is scarce

Seed multiplication
- Potential market effects of the program, and how vulnerable farmers will be affected.
- Who will be involved in the activities, and who will benefit from them
- How seed quality and long-term sustainability will be achieved

Kitchen gardens/home gardens/urban agriculture
- Because home gardens are commonly proposed to serve the dual purpose of increasing production while improving household nutrition and diversifying diets, please refer to the Nutrition Sector (*below*) for technical specifications.

Fertilizer
- Production by farmers of organic fertilizers, such as composting and animal manure, is encouraged. Inorganic fertilizers must adhere to USAID specifications (*see above* Restricted Goods for Seed Systems and Agricultural Inputs)
- For provision of any fertilizers, describe sustainability and environmental impact

Community seed storage
- The construction of seed or cereal banks is discouraged, due to their inherent lack of sustainability once the implementing agency leaves the area; If seed banks are being considered, what is the detailed plan for long-term sustainability and management?

Training in agricultural production techniques or increasing agricultural diversity
- What training programs will include, who will be involved, and why training is needed, particularly if basic farming techniques are to be covered.

Irrigation systems
- Detailed plan for long-term sustainability of the systems, including availability of parts on local markets, training for repair and maintenance, and ability of other farmers to adopt the technology without additional assistance
- Irrigation programs should be small-scale, sustainable, and well-justified as emergency interventions

For proposals with crop cultivation, pasture maintenance, and seed and produce storage, describe how pre- and post-harvest crop pests and diseases will be identified, controlled, prevented, and mitigated

Beneficiary Details

- How beneficiaries will be selected; If female-headed households are targeted, how availability of labor will be ensured; In insecure regions, how protection will be addressed
- Analysis showing adequate land and labor will be available to target beneficiaries prior to distribution of inputs
- Security concerns for beneficiaries in terms of farm access and potential sources of conflict
- How proposed activities will affect the ability of beneficiaries and non-beneficiaries to obtain agricultural inputs
- Whether the land/seed combinations provided will produce enough to feed a family. If not, how shortfalls will be supplemented

Indicator (required)
- (Projected) increase in number of months of food self-sufficiency due to distributed seed systems/agricultural input for beneficiary families
- Number of people benefiting from seed systems/agricultural input activities

Sub-sector: Veterinary Medicines or Vaccines

Veterinary Medicines and Vaccines are restricted goods. Recipients are required to follow USAID regulations governing the purchase of veterinary vaccines and medicines (*see* attached *USAID/OFDA Pharmaceutical Procurement Guidelines; see also* Documentation on Ineligible and Restricted Goods, Services, and Countries under Cost/Budget Guidelines).

The Livestock Sub-sector contains guidance on needs assessment, technical design, and beneficiary details for this sub-sector. The Veterinary Medicines and Vaccines Sub-sector must be used whenever the purchase of veterinary vaccines or medicines is proposed. Other interventions related to animal health fall under the Livestock Sub-sector.

Indicators (required)
- Number of veterinary interventions, treatments or vaccinations administered
- Number of animals treated or vaccinated

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2. Economic Recovery and Market Systems (ERMS)

Background

Both natural and human-caused disasters can severely disrupt the economy in areas where they strike. These disasters significantly alter people's livelihood patterns by robbing them of productive assets, damaging traditional marketplaces, and destroying their homes, which oftentimes double as their places of business. Disasters can also damage transportation routes, severing supply chains and disrupting the local economy. Because disasters can abruptly interrupt people's livelihoods, disaster-affected populations may experience a significant decrease in purchasing power that, without economic assistance, keeps them in positions of sustained economic vulnerability.

The third leg of USAID/OFDA's mandate is to reduce the economic impact of disasters. Working at household, local, and regional levels, ERMS interventions should be designed to help target populations restore their livelihoods, to increase their purchasing power, and to support the resumption of market activities. All programs within the ERMS Sector should be based on a comprehensive understanding of pre-disaster livelihoods patterns and economic structures in the implementation area. Activities should rely on local skills and capacities, and minimize damage to the natural environment.

USAID/OFDA is a proponent of cash-based interventions when and where feasible, as an alternative to direct distributions of commodities. Traditional commodity distributions often bypass local markets, thereby marginalizing area merchants and significantly distorting local economies. Cash-based interventions, such as cash grants, cash-for-work (CFW), and voucher programs, are designed to increase the purchasing power of disaster-affected individuals, who can then utilize local markets for needed goods. This approach creates economic benefits far beyond the direct target population. Cash-based interventions are generally considered appropriate when there are adequate supplies of needed commodities in the region and markets are functioning, but there is a lack of purchasing power among affected individuals. When commodities are not available locally, or markets are not functioning adequately and cannot be repaired quickly, direct commodity distributions can be justified.

Information Resources

- The Economic Life of Refugees by Karen Jacobsen. Kumarian Press, Bloomfield, 2005.
- Rural Resources & Local Livelihoods in Africa by Katherine Homewood. Palmgrave MacMillan, Oxford, 2005.
- Livelihoods Connect: creating sustainable livelihoods to eliminate poverty. Institute of Development Studies, Sussex University. http://www.livelihoods.org
- The Household Economy Approach: A Resource Manual for Practitioners by J. Seaman, et al. Save the Children Fund, London, 2000.
- The Small Enterprise Education and Promotion Network. http://www.seepnetwork.org
- Sustainable livelihoods *Guidance* Sheets, U.K. Department for International Development (DFID). Available in English, French, Spanish, Portuguese, Chinese, Tamil, and Arabic. http://www.livelihoods.org/info/info_guidancesheets.html

- *Cash-Transfer Programming in Emergencies: A Practical Guide* by Pantaleo Creti and Susanne Jaspars. Oxfam, 2006.
  http://publications.oxfam.org.uk/oxfam/display.asp?isbn=0855985631

Justification for Intervention
- How the disaster has negatively affected livelihoods and the economic environment. Predominant pre-disaster livelihoods patterns and activities, how they have been interrupted, and how people are coping
- USAID/OFDA seeks to support economic asset restoration where traditional patterns have been disrupted and cannot be resumed in a timely fashion without external assistance. If disaster-affected populations are proactive in restoring their livelihoods, assistance may not be required. What assistance is required to restore livelihoods patterns?
- How disaster-affected populations are being proactive in rebuilding their own livelihoods, and how USAID/OFDA assistance can support rather than replace these efforts
- How the economic environment has been affected at household, local, and regional levels, and how proposed assistance will jumpstart economic activity

Available Sub-sectors and Sample Activities
Economic Asset Development
- Development of core productive assets through direct distribution or cash grants or vouchers or livelihoods fairs
- Capacity building
- Vocational training

Economic Asset Restoration
- Replacement of core livelihoods assets through direct distribution or cash grants or vouchers or livelihoods fairs
- Cash grants to small micro-enterprises (SMEs)

Market Infrastructure Rehabilitation
- Road restoration
- Marketplace reconstruction
- Supply chain reestablishment

Micro-credit
- Rotating savings and credit associations (ROSCAs)
- Small loans to individuals
- Small loans to SMEs

Microfinance Institutions (MFIs)
- Cash grants
- Technical assistance

Temporary Employment
- Cash-for-work (CFW)

Sub-sector: Economic Asset Development

Overview
Under some circumstances, disaster-affected populations cannot resume their pre-disaster livelihoods patterns. Reasons can include insecurity, environmental degradation, or forced migration. Activities under this sub-sector are designed to assist populations in developing new economic assets for alternative livelihoods.

Alternative livelihoods development, while necessary in some contexts, is generally a long-term developmental activity, not an emergency intervention. Because USAID/OFDA response programs run for 12-month periods, proposals must have a strong justification for how alternative livelihoods will be achieved, and how they will be sustainable once assistance ends.

Needs Assessment Summary
- Predominant pre-disaster livelihoods pattern and how that pattern has been interrupted
- An alternative livelihood program must stem from a dire situation that precludes pre-disaster livelihoods. Why cannot traditional livelihoods patterns be expected to resume in the near or medium-term future?

Technical Design
- Rationale for the proposed alternative livelihood: how it was selected and why it is the best option in the current context
- How development of an alternative livelihood is viable within the project period, and how it will be sustainable
- Details on how training and capacity-building activities can be expected to prepare beneficiaries for alternative livelihoods beyond the program period
- Details on how the alternative livelihood integrates with the area economy and current marketplace demand

Beneficiary Details
- Beneficiaries and selection process

Indicators (required)
- Number of people assisted through economic asset development activities
- Number and percent of people utilizing economic assets created to support their livelihood pattern

Sub-sector: Economic Asset Restoration

Overview
When disasters interrupt livelihoods patterns, affected populations often do not have sufficient resources to replace the key assets upon which their livelihoods were built. [Livelihood assets refers to items that contribute to livelihoods activities (a loom, farming tools, fishing nets, etc., and not to non-food items (NFIs)]. Economic Asset Restoration activities enable target beneficiaries to reestablish those productive assets and thereby resume their livelihoods. While Economic Asset Restoration seeks to restore the economic assets that sustained pre-disaster livelihoods, Economic Asset Development

(*see* next sub-sector) seeks to develop new economic assets that will provide the foundation for alternative livelihoods.

Needs Assessment Summary
- Predominant pre-disaster livelihoods patterns of the target population.
- How the disaster has interrupted these livelihoods
- Activities beneficiaries are undertaking to restore their own livelihoods
- How proposed program activities will support these self-help initiatives

Technical Design
- Details on how proposed activities will directly support livelihoods rehabilitation
- Key assets that have been identified as essential for livelihoods restoration
- How these assets will be provided to beneficiaries, for instance, through direct distribution, vouchers, or livelihoods fairs, at which vouchers can be redeemed with vendors for a variety of goods
- For direct distribution, why a market-based intervention is not viable; Whether needed commodities can be procured locally, and in the quantities required

Beneficiary Details
- Beneficiaries and selection process

Indicators (required)
- Number of people assisted through economic asset restoration activities
- Total USD amount channeled into the local economy (through cash grants, vouchers, livelihoods fairs, etc.)

Sub-sector: Market Infrastructure Rehabilitation

Overview
Disasters can destroy the market infrastructure of a region, paralyzing economic activity. Supply chains may be severed. Marketplaces destroyed. Farm-to-market roads or market-to-market roads left impassable. USAID/OFDA provides assistance to support local and regional economic activity through the rehabilitation of such market infrastructure.

Needs Assessment Summary
- Damage to market infrastructure and to what degree economic activity has been interrupted
- How local populations are dealing with the damage, and what creative solutions they are employing
- Importance of the damaged market infrastructure to economic activity of the wider area

Technical Design
- How the rehabilitation activities will be performed, i.e., by local labor, by local contractors, via CFW
- Whether market infrastructure will be rehabilitated to its pre-disaster state or improved *beyond* its pre-disaster state, as is often the case with roads

- How local communities will manage and maintain the rehabilitated market infrastructure

Beneficiary Details
- Information about the infrastructure and why it was selected for rehabilitation

Indicators (required)
- Amount of market infrastructure rehabilitated (miles of road, number of bridges, etc.)
- Number of cash grants to Small Micro-enterprises (SMEs)
- Total USD amount of cash grants to Small Micro-enterprises (SMEs)

Sub-sector: Micro-credit

Overview
Micro-credit activities can play a crucial role in livelihoods rehabilitation. However, research indicates that micro-credit programs require at minimum 18 months to produce results. For disaster response, USAID/OFDA cannot fund programs running longer than 12 months. Therefore, micro-credit activities will be considered for funding only under special circumstances. The same holds true for ROSCAs. USAID/OFDA encourages partners interested in these types of activities to support an existing local MFI, for example through a cash grant or technical assistance. The MFI can, in turn, expand its existing micro-credit programs or ROSCAs. Assistance of this type would fall under the MFI Sub-sector (*see final ERMS sub-sector*).

Needs Assessment Summary
- How access to capital has been interrupted by the disaster and what impact Micro-credit is expected to have within the program period
- What other donors are doing in support of micro-credit activities and why USAID/OFDA should provide assistance, rather than another donor or USAID office
- Existing MFIs in the proposed implementation area and why they cannot be expected to expand micro-credit services
- Prevailing security situation and whether it is conducive to micro-credit activities.
- History of micro-credit programs in the area, including results
- Details on how the micro-credit program is expected to produce the intended results within the implementation period

Technical Design
- Beneficiaries, individual or SME loan types, loan distribution mechanisms, and expected repayment periods
- Enforcement of repayment, i.e., collateral or peer groups
- How the program will recycle repaid money, for example, will it be returned to USAID/OFDA or used to support additional micro-credit activities during the program period
- How the program income generated by loan repayments will be used
- For the establishment of ROSCAs: Whether this approach has been tried before in the implementation area; Why this approach is preferable to the extension of micro-credit; How groups will be selected; How much money each person will pay to the group; How the rotating process will work and how often the rotation will occur; How the security situation will allow a ROSCA to succeed

Beneficiary Details
- Beneficiary selection and rationale

Indicators (required)
- Number of individuals/Small Micro-enterprises (SMEs) receiving loans
- Number and percent of micro-credit loan installments repaid according to schedule

Sub-sector: Microfinance Institutions (MFIs)

Overview
Critical economic assistance services are often extended through local or regional MFIs. These services can include micro-credit, ROSCAs, savings accounts, and insurance.

MFI cash reserves may be depleted suddenly due to a number of disaster-related consequences. For example, clients may need their savings to fund repairs; businesses may be damaged, leaving borrowers unable to make scheduled loan payments; payouts may be due on insurance claims for disaster-related losses; or the MFI may forgive loans as part of a disaster response intervention. Resulting liquidity problems may force the MFI to cease operations or limit its range of services.

USAID/OFDA is reluctant to support NGOs in the direct implementation of MFI-type activities. However, given the importance of these services to individual livelihoods and overall economic recovery, USAID/OFDA encourages partners to identify long-standing MFIs in a region that may be experiencing liquidity problems and to target these institutions for economic assistance, whether in the form of a cash grant or technical assistance. Where cash grants are provided, the money must be used to refill the MFI's account for service extension, and not to cover day-to-day operational expenses.

Needs Assessment Summary
- Importance of the MFI's services to the economic life of the area
- How the disaster has affected the MFI's cash flows, and how reduced cash flow is projected to result in fewer services extended
- The MFI's operational history and capacity to expand services if provided with additional resources

Technical Design
- How the proposed cash grant will enable the MFI to maintain or expand its pre-disaster level of services
- Monitoring plan to ensure the MFI uses the cash grant as intended
- Implementing partners' relationship with the MFI, i.e., whether this is a long-standing relationship with support being provided over an extended period, or a short-term relationship in which the cash grant will be an isolated support activity

Beneficiary Details
- Information about the MFI and why it was selected; Is it the only one in the area? Does it offer significantly different services from other available MFIs?

Indicator (required)
- Number of cash grants to Microfinance Institutions (MFIs)
- Total USD amount of cash grants to Microfinance Institutions (MFIs)

Sub-sector: Temporary Employment

Overview

A key objective of USAID/OFDA's work in livelihoods and market systems is to increase the purchasing power of individuals. Income-generating activities allow disaster-affected populations the opportunity to earn money so they can buy essential goods. Temporary Employment produces benefits that extend beyond the direct beneficiary population to other players in the local economy: The increase in purchasing power can jumpstart economic activity for the area.

Temporary employment, by definition, is not sustainable. These activities are distinct from economic asset restoration and development, which are both designed to produce sustainable results. The aim of temporary employment is a short-term increase in purchasing power made possible through the creation of income-generating activities.

Cash-for-work projects should benefit entire communities, not just individual families. Therefore, USAID/OFDA will not fund CFW activities that pay beneficiaries to engage in work they would normally do on their own, such as plant their crops and rebuild their homes. CFW projects should be designed around the rehabilitation of community assets and should target common property.

CFW is a methodology through which a variety of larger program objectives can be achieved.

If CFW is used primarily to increase purchasing power, the activities should be listed under the Temporary Employment Sub-sector. But if, for example, CFW is used to rehabilitate irrigation canals, it should be listed as a keyword under the appropriate Agriculture and Food Security sub-sector.

Cash-for-work (CFW) Keyword: When CFW is proposed, the CFW Keyword should be used. Whether the sub-sector used would be Temporary Employment or some other sub-sector (either within ERMS or another sector entirely) would depend on the overall program objective. CFW should be seen as a methodology, through which a larger objective is achieved. It is this larger objective that will determine which sub-sector is used. Below are some examples to illustrate the point:

- Objective: Improve irrigation as an agricultural intervention. Proposed Activity: CFW to build irrigation canals. In this example, CFW would be a Keyword within the Agriculture and Food Security Sector.
- Objective: Restore market activity among villages. Proposed Activity: CFW to rehabilitate a bridge on a key market route that was damaged in a disaster. In this example, CFW would be a Keyword within the ERMS Sector (sub-sector: Market Infrastructure Rehabilitation).
- Objective: Increase purchasing power of affected population so that beneficiaries can afford to purchase needed relief items in the local marketplace. Proposed Activity: CFW to clear disaster debris. In this example, CFW would be a Keyword within the ERMS Sector (sub-sector: Temporary Employment).

Needs Assessment Summary

- How temporary employment can expedite the recovery process for disaster-affected populations
- Pre-disaster wages for skilled and unskilled workers

Technical Design

- Why the proposed employment is temporary in nature and what output that employment is expected to produce
- To prevent the distortion of local labor markets, USAID/OFDA encourages partners to establish CFW wage rates slightly lower than the prevailing wage rates of the area; What are the proposed wage rates, based on pre-disaster wages for skilled and unskilled workers?
- Where insecurity is an issue, how the relative safety of beneficiaries engaged in CFW activities can be ensured

Beneficiary Details

- Beneficiary population with selection rationale

Indicators (required)

- Number of people employed through Cash-for-Work (CFW) activities
- Average USD amount per person earned through the Cash-for-Work(CFW) activities
- Number and percent of women employed through Cash-for-Work (CFW) activities

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3.   Health

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Background

USAID/OFDA-supported health interventions should be based on internationally recognized, evidence-based strategies with proven track records for achieving the highest public health impact. Programs should address the major causes of morbidity and mortality according to the local epidemiologic situation. Areas to consider include malaria prevention and treatment, measles, diarrhea, pneumonia, malnutrition, reproductive health, epidemic and pandemic influenza preparedness and response, and psychosocial and mental health. It is essential that prevention strategies, including health education with awareness raising and behavior change, accompany treatment protocols to work toward cost-effective programming for sustainable health systems.

USAID/OFDA strongly supports community-based prevention and management of common illnesses by community-level health providers. This includes the treatment of malaria, diarrhea, and pneumonia by community health workers (CHWs) according to the national strategy. USAID/OFDA also encourages activities to strengthen health systems, allowing increased access to essential health care while aiding in transitions from relief to development.

To avoid establishing parallel systems, health strategies must be designed to use national treatment and prevention protocols. In addition, interventions must be coordinated with the Ministry of Health (MoH) and the health sector coordination system or health cluster lead organization, such as the U.N. World Health Organization (WHO).

For disaster contexts characterized by insecurity and the risks of violence, abuse, harassment, or exploitation, USAID/OFDA requires implementing partners to incorporate protection into their programs (*see keyword* Protection Mainstreaming). For situations in which protection is a major objective, targeted activities should be proposed under the Protection Sector.

Information Resources

- *The Sphere Project: Humanitarian Charter and Minimum Standards in Disaster Response* handbook. Geneva, 2004. http://www.sphereproject.org
- *Communicable disease control in emergencies: A field manual*. WHO, 2006. http://whqlibdoc.who.int/publications/2005/9241546166_eng.pdf
- Integrated Management of Childhood Illness (IMCI). http://www.who.int/child_adolescent_health/topics/prevention_care/child/imci/en/
- *Malaria control in complex emergencies: an inter-agency field* handbook. WHO, 2005. http://www.who.int/malaria/docs/ce_interagencyfhbook.pdf
- *Reproductive Health in refugee situations: an Inter-agency Field Manual*. http://www.reliefweb.int/rw/lib.nsf/db900SID/LGEL-5JHKQF/$FILE/hcr-repr-1999.pdf?OpenElement
- *Minimum Initial Service Package for Reproductive Health in Crisis Situations* fact sheet. http://www.rhrc.org/pdf/fs_misp.pdf

- *Integrated Management of Pregnancy and Childbirth: WHO Recommended Interventions for Improving Maternal and Newborn Health.*
  http://whqlibdoc.who.int/hq/2007/WHO_MPS_07.05_eng.pdf
- *Guidelines for HIV/AIDS interventions in emergency settings.*
  http://data.unaids.org/Publications/External-Documents/IASC_Guidelines-Emergency-Settings_en.pdf
- ***Reducing excess mortality from common illnesses during an influenza pandemic: WHO guidelines for emergency health interventions in community settings.***
  http://www.who.int/diseasecontrol_emergencies/common_illnesses2008_6.pdf
- WHO integrated disease surveillance programme.
  http://www.who.int/csr/labepidemiology/projects/surveillance/en/index.html
- *IASC Guidelines on Mental Health and Psychosocial Support in Emergency Settings.* IASC, 2007. http://www.icva.ch/doc00002621.pdf
- *Behaviour Change Communication in Emergencies: A Toolkit.*
  http://www.unicef.org/ceecis/BCC_full_pdf.pdf
- Regulations governing the procurement of pharmaceuticals using USAID funds.
  http://www.usaid.gov/policy/ads/300/312.pdf
- *The Interagency Emergency Health Kit: Medicines and medical devices for 10,000 people for approximately 2 months.*
  http://www.who.int/medicines/publications/WEB_IEHK_EN.pdf
- *The WHO Model Lists of Essential Medicines.*
  http://www.who.int/medicines/publications/essentialmedicines/en/index.html

Justification for Intervention
- Recent assessments or surveys (including household-level knowledge, attitude, and practice (KAP) surveys). If none, when assessments or surveys will take place and who will conduct them. Methodology used for surveys, including details on study design.
- How the proposed intervention will address any gaps in the current system supporting the MoH's efforts to prevent and respond to:
    - the most common diseases, i.e., malaria, diarrhea, pneumonia, and measles
    - maternal and infant morbidity and mortality
    - human immunodeficiency virus / acquired immune deficiency syndrome (HIV/AIDS)
    - sexually transmitted infections (STIs)
    - expanded program of immunizations (EPI), including measles
    - psychosocial and mental health (*see also* Protection Sector: Psychosocial Services Sub-sector)
    - gender-based violence (GBV)
    - epidemic / pandemic influenza preparedness
    - natural disasters
- Human, financial, and commodity resources needed to address these gaps. How the applicant will ensure a continuous supply of resources.
- Related activities of the MoH, other donors, U.N., local and international NGOs in the target area. How the proposed program will complement partners' activities.
- How the intervention will support health systems strengthening and community-level programs to enable longer-term sustainability and transitions to development.

Available Sub-sectors and Sample Activities

All sub-sectors are components of a comprehensive primary health care (PHC) system and optimally should be implemented together. While the activities listed are acceptable examples, USAID/OFDA welcomes innovative program ideas.

For all sub-sectors, the following beneficiary details are suggested:
- Proposed beneficiaries and selection criteria
- Whether the target community will represent a balance of individuals, taking into consideration gender, age, ethnicity, religion, and domiciliary status, i.e., refugee, IDP, returnee
- At what stage and to what degree beneficiaries are involved in planning, decision-making, and implementation. How they will remain involved; Whether there is diverse representation of the population and not just leaders
- To what extent health care services will be accessible to all groups with regard to location, including distance and safety, confidentiality, and gender of health care provider
- Specialized health services, if any, and who will be covered

Communicable Disease
- Strengthen national communicable disease surveillance and early warning systems
- Implement prevention and treatment programs for common communicable diseases, such as measles, malaria, diarrhea, pneumonia, tuberculosis (TB), and prevention programs for HIV/AIDS
- Distribute and promote use of long-lasting insecticide treated nets (LLINs) or conduct indoor residual spraying for vector control
- Distribute and promote use of oral rehydration solution and zinc
- Vaccinate children according to national EPI, particularly measles with vitamin A
- Promote key family practices, such as hygiene, sanitation, exclusive breastfeeding and complementary feeding, home care of illnesses, care seeking
- Integrate epidemic preparedness and response activities into PHC
- Implement Integrated Management of Childhood Illness
- Support the MoH in preparing an influenza pandemic plan

Health Education/Behavior Change
- Train CHWs or health promoters to provide health education to communities
- Develop or reproduce information, education, communication (IEC) materials or behavior change communications (BCC) using participatory approaches
- Provide health education messages to families and communities
- Implement social mobilization
- Conduct formative qualitative research to understand what factors influence target behaviors
- Measure behavior change through KAP surveys or other quantitative methods

Health Systems and General Health
- Coordinate with the MoH, appropriate health cluster lead, and partners
- Conduct health assessments and surveys
- Health facility rehabilitation and construction
- Train and supervise health providers, including training of trainers

- Provide essential medical supplies (*see below*, Medical Commodities and Pharmaceuticals Sub-sector)
- Strengthen health information systems
- Develop or strengthen national policies, plans, protocols, and guidelines
- Support transition initiatives for long-term sustainability, including health systems strengthening, MoH and community-level capacity building

Medical Commodities and Pharmaceuticals
- Train staff such as pharmacists in the management of medical commodities
- Provide essential medicines, medical equipment, and medical consumables; these can be in the form of a kit, such as The Interagency Emergency Health Kit (*see* Health Information Resources)
- Give trainings on the use of essential medicines, medical equipment, and medical consumables, including proper disposal

Non-communicable Disease
- Provide emergency medical services in the event of catastrophic natural disaster or violent conflict
- Build community-based programs to mitigate against psychological stress and to manage mental health (*see also* Protection Sector: Psychosocial Services Sub-sector)
- Establish a specialist referral system and equip facilities to address chronic diseases including psychiatric disorders
- Provide PHC services and essential medicines for chronic diseases including psychiatric disorders

Reproductive Health
- Provide the Minimal Initial Service Package (MISP)
- Provide comprehensive reproductive health care including family planning, antenatal care, basic and comprehensive obstetric care, essential neonatal care, programs for GBV and STI management and HIV prevention
- Train health providers such as midwives, nurses, doctors, and traditional birth attendants (TBAs) according to level of care
- Integrate comprehensive reproductive health services into PHC
- Implement referral systems for obstetric emergencies
- Provide essential medical supplies to support reproductive health programs (*see below*, Medical Commodities and Pharmaceuticals Sub-sector)

Sub-sector: Communicable Disease

Overview
USAID/OFDA supports interventions that decrease morbidity and mortality from common communicable diseases. Work in this sub-sector should link closely with activities in the Health Education and Behavior Change Sub-sector, the Nutrition Sector, and the Water, Sanitation, and Hygiene (WASH) Sector. USAID/OFDA funds interventions that address the prevention of HIV/AIDS as a component of a general PHC program. However, for routine HIV/AIDS testing, voluntary counseling and testing (VCT) centers, and treatment programs with antiretrovirals (ARVs), available funding should be accessed through regional or national programs

supported by other entities, such as The U.S. President's Emergency Plan for AIDS Relief (PEPFAR) and The Global Fund to Fight AIDS, Tuberculosis and Malaria.

Needs Assessment Summary

- Incidence and/or prevalence of common causes of morbidity and mortality, such as malaria, diarrhea, pneumonia, measles, HIV/AIDS, and TB. Age distribution of morbidity and mortality from these diseases
- Common local diseases of epidemic significance; Outcomes of the most recent epidemics, including case fatality rates; Reasons why these epidemics recur in this region
- Mortality rate among children under age five, or age-specific death rates among children ages zero to five
- Infant mortality rate
- Presence of functioning communicable disease early-warning and surveillance systems; Whether there is an integrated disease surveillance and response program in place, and if so, how it is working
- Existing communicable-disease control strategies to prevent and treat the most common causes of morbidity and mortality, including malaria, diarrhea, and pneumonia, and whether there is a national influenza pandemic preparedness plan. Where services are provided, for example, at community level, health facility, or hospital; Deficiencies in the current strategies and services, and how disease control initiatives have changed since the disaster
- What CHWs are allowed to treat under the MoH, for example, whether they are able to provide antimalarials or antibiotics at the community level; How well this system is functioning and what improvements could be made
- National EPI system and vaccine coverage for children; Coverage rate for measles vaccination with vitamin A supplementation for children under age five; When the last measles vaccination campaign was conducted and whether one is required now
- HIV prevalence rate, whether there is a functional national HIV/AIDS program, and whether there is general and equal access to treatment services
- TB and multi-drug resistant TB (MDR-TB) prevalence rates
- National protocols and guidelines being used, such as Integrated Management of Childhood Illness
- Available IEC and BCC materials

Mosquito and Other Vector Control

Long-lasting insecticide treated nets

Partners are encouraged to use LLINs for malaria prevention. The distribution of LLINs should link into a national malaria control program or a public health initiative that includes health education and follow-up for use at the household level. If the proposed intervention includes support for LLIN acquisition, distribution, or marketing, partner organizations will be required to use WHO-approved brands, such as Permanet 2.0 and Olysnet, that adhere to all relevant stipulations in the USAID Africa Bureau Programmatic Environmental Assessment for Insecticide-Treated Materials in USAID Activities in Sub-Saharan Africa (*clickable link* – ITM PEA). This PEA evaluates the risks associated with using insecticide-treated materials (ITMs) and proscribes steps to minimize these risks, including proper pesticide product selection, appropriate labeling, and user education campaigns. Programs should also actively monitor for adverse health and environmental effects, to confirm that risks are adequately understood and to enable suitable and timely risk-reduction interventions. If a need arises for net treatment or re-treatment, applicants may draft and seek approval for a *Pesticide Evaluation Report and Safer Use Action Plan*.

Vector control

Vector control can include the use of LLINs, larvicides, and some indoor residual spraying. If the proposed intervention requests support for Integrated Vector Management (IVM), partner organizations will be required to adhere to all relevant stipulations in the USAID Africa Bureau Programmatic Environmental Assessment for Integrated Vector Management Programs for Malaria Vector Control (*clickable link* – Malaria PEA). This PEA provides policy, procedural, and technical guidelines for choosing appropriate interventions and insecticides, and for developing and implementing mitigation, monitoring and evaluation activities, allowing applicants to design vector control programs in more efficient and cost-effective ways. The objective of this PEA is to "assist with the preparation of country and activity-specific *Supplemental Environmental Assessments* (SEAs) and *Pesticide Evaluation Reports and Safer Use Action Plans* (PERSUAPs) for malaria control projects employing IVM strategies."

- Organizations involved in disease control initiatives, such as PEPFAR, the U.S. President's Malaria Initiative, and The Global Fund to Fight AIDS, Tuberculosis and Malaria.

Technical Design
- How the proposed program will ensure effective management of communicable diseases of epidemic significance, given the functionality of early warning and surveillance systems
- How the intervention will address gaps in existing strategies and services for prevention and treatment of the most common causes of morbidity and mortality, specifically malaria, diarrhea, and pneumonia
- How the program will support the MoH to strengthen influenza pandemic preparedness and to formulate contingency response plans
- How activities will bridge gaps in the CHW system
- Whether and how a measles vaccination campaign will be conducted
- Proposed activities for HIV prevention, such as condom distribution, standard precautions, blood safety, health education and behavior change, STI treatment, capacity building for health providers, and linking with Protection Sector activities. If there is a national HIV/AIDS program, how the proposed intervention will refer patients
- How the applicant and partners will address TB prevention and management

- How the program will use or strengthen existing national protocols and guidelines, such as Integrated Management of Childhood Illness, IEC and BCC materials
- How this intervention will coordinate with other national or regional disease control platforms, such as PEPFAR, the U.S. President's Malaria Initiative, and The Global Fund to Fight AIDS, Tuberculosis and Malaria

Beneficiary Details
(*See above,* Available Sub-sectors and Sample Activities for Health Sector)

Indicators (required)
- Number and percent of total population, pregnant women and < 5s effectively treated for target illnesses by type (malaria, pneumonia, diarrhea)
- Number of Long-lasting Insecticide-treated Nets (LLINs) distributed to target population by population type (total, < 5s, pregnant women)
- Measles immunization coverage, ages 6 months to 15 years old (or 6 months to 5 years old if resources are not available)

Sub-sector: Health Education/ Behavior Change

Overview
USAID/OFDA supports health education and behavior change activities as they integrate with other health programs, or in some cases, as stand-alone projects. These interventions are intended to inspire healthy behavior changes among target communities.

Needs Assessment Summary
- Existing health education programs and priority needs
- Human resources available to provide community-level health education messages. Number and type of CHWs
- Details on recent training programs for CHWs for the provition of health education
- Recent health education campaigns: what messages have been provided, how they have been delivered, which ones were created by and for the community, how successful they were in promoting behavior change, when the last campaign was conducted
- Available and needed IEC and BCC materials and activities, as well as social mobilization programs
- Existing research on behavior change efforts, results, and methods used to measure results
- Household coverage, i.e. frequency, of behaviors to be targeted
- Formative qualitative research to understand what factors will influence the target behaviors

Technical Design
- What the proposed program will do to bridge current gaps in health education programming
- Whether the intervention will conduct any CHW trainings on delivery of health education messages

- Details on any planned health education campaigns, such as how to prevent diarrhea, how to identify the transmission and prevention of malaria, when to seek care for a sick family member
- Intended IEC and BCC materials and activities
- Planned social mobilization programs
- Behavior change requires more than relaying health messages: interventions must be informed by a solid understanding of what factors influence the target behaviors. What are the key barriers to target beneficiaries adopting the recommended behaviors, how have these been identified, and how will the program overcome them?
- Proposed survey methods to measure desired behavior changes

Beneficiary Details
(*See above,* Available Sub-sectors and Sample Activities for Health Sector)

Indicators (required)
- Number of community members who have received target health education messages
- Number and percent of community members undertaking target health education message practices

Sub-sector: Health Systems and General Health

Overview
USAID/OFDA encourages interventions that strengthen national health system support for PHC and disease control programs. For proposals covering essential medical supplies, see the Medical Commodities and Pharmaceuticals Sub-sector (*below*).

Needs Assessment Summary
- Number, type, quality, quantity, and location of health care facilities, or community-level health posts, available to deliver health services in the target area
- Quantity and quality of available health care providers, including level, training, and gender
- Role of traditional healers and whether they are integrated into the health system.
- Availability of essential medicines, medical consumables, equipment, and vaccinations
- System for financing the health sector, including staff
- Health information system data collection, analysis, and dissemination
- Types of national policies, plans, protocols, and guidelines
- Coordination system for the health sector and how it is functioning
- Completed assessment or survey outcomes, when they were done, where, by whom, and the methodologies used
- Planned assessments or surveys, how they will fill information gaps, and the methodologies to be used
- Transition initiatives for the health sector, including health systems strengthening.
- Crude mortality rate or crude death rate

Technical Design

- Based on assessments of how health care access has changed as a result of the disaster, how the program proposes to fill service gaps
- Proposed construction or rehabilitation of health facilities, with justification including how service delivery will be improved; How staffing and supplies will be ensured
- Plans for new or rehabilitated mobile clinics, with rationale including how they will extend and not replace existing services, and how they will eventually be integrated into the PHC system
- Human resources available to deliver health care for the program; Any further training required and how it will be achieved How these personnel will be compensated
- Whether health information will be managed through existing or improved systems
- How the MoH will be involved, and how the intervention will work within the health sector coordination system, or health cluster if applicable
- How the program will attempt to overcome barriers such as cost; gender, age, ethnicity, religion; refugee, returnee, or IDP status; How existing supports may be utilized
- Proposed transition plans and partners, if applicable

Beneficiary Details
(*See above,* Available Sub-sectors and Sample Activities for Health Sector)

Indicators (required)
- Number of functioning primary health care centers, community health programs, or mobile clinics supported or rehabilitated
- Number of health care providers trained (by type of training and type of health care provider)
- Number and percent of health facilities submitting weekly surveillance reports

Sub-sector: Medical Commodities and Pharmaceuticals

Applicants proposing to use USAID/OFDA funds for the purchase of essential medicines should provide all requested information in a separate section of the proposal clearly labeled "Pharmaceuticals."

Restricted Goods
Pharmaceuticals and vaccines are restricted goods. Recipients are required to follow USAID regulations governing the purchase of pharmaceuticals and vaccines (*see* attached *USAID/OFDA Pharmaceutical Procurement Guidelines*. (*See also* Documentation on Ineligible and Restricted Goods, Services, and Countries under Cost/Budget Guidelines.)

Needs Assessment Summary
Applicants requesting the purchase of essential medicines, consumable medical supplies and medical equipment should cover the following points under the "Medical Commodities and Pharmaceuticals" proposal section. In addition, relevant needs assessment information should be covered from each sub-sector for which essential medicines are being requested. If one or more of these sub-sectors is included in the proposal for reasons in addition to essential medicines, redundant assessment information need not be repeated.

- Essential medicines and medical commodities and quantities that may be needed to treat identified health needs
- Description of the procurement process for essential medicines
- The MoH essential medicines formulary or, if none, the *WHO Model List of Essential Medicines*, with the proposed essential medicines to be purchased clearly marked, should be included as an attachment to the proposal, and will not count toward the page limit

Technical Design

Applicants requesting the purchase of essential medicines consumable medical supplies and medical equipment should cover the following points under the "Medical Commodities and Pharmaceuticals" proposal section. In addition, relevant technical design information should be covered from each sub-sector for which essential medicines are being requested. If one or more of these sub-sectors is included in the proposal for reasons in addition to essential medicines, redundant information need not be repeated.

- Essential medicines selected for the proposed project, appropriateness for the situation, and drug resistance patterns in the region; What if any emergency health kits will be used, such as The Interagency Emergency Health Kit (*see* Health Information Resources), Italian Trauma Kits, Interagency Diarrheal Disease Kits, or UNFPA Reproductive Health Kits
- Recipients must maintain essential medicine ordering records and supporting information as required in the attached *USAID/OFDA Pharmaceutical Procurement Guidelines*; How will the applicant provide the documentation that only quality, safe, and effective medicines, consumables, and equipment are purchased?
- How affordable and reliable sources of essential medicines will be established and maintained throughout the project period, as well as following program completion.
- How essential medicines and medical supplies will be distributed
- How the essential medicines, consumables, and equipment will be securely stored to protect against theft, pests, and environmental damage
- How the medical equipment will be properly maintained with correct replacement parts, service agreements, and trained technicians, both during and following the program period
- How supply and demand will be managed to avoid stock rupture, overstocking, and expired drugs
- A major source of infection is the re-use of disposable medical supplies or the use of reusable medical supplies without proper sterilization; What steps will be taken to ensure the target population will be treated with quality medical supplies?
- How prescription records will be maintained for each patient
- How the confidentiality of medical information will be assured
- How the target population will pay for essential medicines. Whether there is a co-payment or other cost recovery plan, and if so, how these costs will be determined and where the collected funds will go

Applicants should also include lists of proposed consumable medical supplies and medical equipment:

Consumable Medical Supplies—commodities that are disposed of after treating a patient. Medical supplies include such items as single-use syringes, bandages, tongue

depressor blades, suture materials, and both surgical and exam gloves. USAID/OFDA is interested in whether the medical supplies and quantities used in an intervention are appropriate. Please provide a list of medical supplies with rationale, type, number of units, and cost per unit.

Medical Equipment—commodities that may generally be reused after proper cleaning and disinfection have taken place. Medical equipment includes such items as sphygmomanometers, baby scales, and exam tables. USAID/OFDA is interested in whether the medical equipment purchased for use in an intervention is appropriate. Please provide a list of medical equipment with rationale, type, number of units, and cost per unit.

Beneficiary Details
(*See above,* Available Sub-sectors and Sample Activities for Health Sector)

Indicators (required)
- Number of medical kits, equipment, and consumables distributed (by type)
- Number of people trained in the use and disposal of medical equipment and consumables

Sub-sector: Non-communicable Disease

Overview
USAID/OFDA supports non-communicable disease interventions. These include psychosocial (*see also* Protection Sector, Psychosocial Services Sub-sector), mental health, chronic illness in locations where this is the most common cause of morbidity and mortality, and support for victims of trauma resulting from mass casualty and violent conflict situations.

Needs Assessment Summary
- Mass casualty or violent conflict conditions. Number of deaths and injuries. Emergency response programs in place for injury management, and unaddressed needs
- Prevalence of target chronic diseases, including mental health
- Existing and needed programs for chronic disease
- Existing and needed programs for psychological well-being (*see also* Protection Sector, Psychosocial Services Sub-sector)

Technical Design
- How the proposed program will cover unmet needs in injury management
- How this intervention will support the mental health needs of chronically and acutely mentally ill beneficiaries; Plans regarding the availability of essential drugs, counseling, and associated mental health rehabilitation mechanisms
- Activities to support medical and referral care for chronic diseases, including psychiatric disorders

Beneficiary Details
(*See above,* Available Sub-sectors and Sample Activities for Health Sector)

Indicators (required)

- Number and percent of people in the target population treated for chronic diseases
- Number and percent of people treated for mass-casualty or violence-related injuries

Sub-sector: Reproductive Health

Overview
USAID/OFDA funds interventions to decrease maternal and neonatal morbidity and mortality, and to improve services available to this target group. Reproductive health activities should be an integral part of a comprehensive PHC package.
USAID/OFDA supports the MISP (*see above,* Health Information Resources).

Needs Assessment Summary

- Maternal mortality ratio
- Neonatal mortality rate
- Status of MISP implementation
- Coverage rates and quality of antenatal care, including: tetanus toxiod (TT) vaccination, iron and folate supplementation, intermittent preventive treatment for malaria, syphilis and HIV testing, HIV/AIDS treatment, preventing mother-to-child HIV transmission, health education and planning for safe and clean delivery, nutrition, essential newborn care, and family planning
- Where women normally deliver babies, where they prefer to deliver, and what the delays are for women to get essential obstetric services
- What services are provided or needed for safe and clean delivery, including: access to skilled birth attendants, referral services for complicated deliveries, basic emergency obstetric care at the health facility level, and comprehensive emergency obstetric care at the hospital level
- What commodities are available or needed, such as clean delivery kits, midwife kits, referral kits for comprehensive emergency obstetric care at the hospital level
- Coverage of births attended by a skilled provider, that is, a midwife, nurse, or doctor, or by a trained provider, such as a TBA. Need for additional training or support
- Existing community-level prevention programs for the active management of the third stage of labor, use of a partograph, and pre-referral management of complications
- Existing referral systems
- Provision and quality of essential care for newborns, including clean cord care, early warming, early and exclusive breastfeeding
- Postnatal care quality and coverage rates
- Family planning availability and coverage rates, i.e., contraceptive prevalence rates; Existing or needed family planning services, including a contraceptive procurement and logistics system, and training for health providers in family planning service delivery and record keeping; Whether current services were established with the participation of refugees or IDPs, with the male community, and with an assessment of attitudes
- Programs in place for the medical management of GBV, including: emergency contraception, STI treatment, post-exposure HIV prophylaxis, and a comprehensive physical exam including injury care, hepatitis B and tetanus vaccinations; Links between these programs and other services for survivors, such as social and legal services. (See also Protection Sector)
- Other existing GBV, STI management, and HIV prevention programs

Technical Design

- How the proposed program will deliver the MISP or missing components of the MISP; This includes coordination, prevention, and management of sexual violence; reduction of HIV transmission; prevention of high maternal and neonatal morbidity and mortality rates; and plans for a comprehensive reproductive health program;
- Given the coverage rates and quality of antenatal and obstetrical care, additional services to be provided by the intervention
- How the program will improve safe and clean delivery services and the availability of related commodities
- Any additional training and assistance planned for health providers attending deliveries, i.e., doctors, nurses, midwives, TBAs
- Proposed support of community-level interventions for the active management of the third stage of labor, use of a partograph, or pre-referral management of complications
- How the program will improve essential neonatal and postnatal care
- Planned activities to improve family planning availability or access
- How the program will integrate GBV management, HIV prevention, and STI prevention and treatment

Beneficiary Details

(*See above,* Available Sub-sectors and Sample Activities for Health Sector)

Indicators (required)

- Number and percent of pregnant women who have attended at least two comprehensive antenatal clinics (ANC)
- Number and percent of pregnant women who received a clean delivery kit
- Number and percent of pregnant women who deliver assisted by a skilled provider, by type (midwife, doctor, nurse [not TBAs])

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4. Humanitarian Coordination and Information Management

Background

In response to humanitarian crises, good coordination saves lives. Information management is a key component of effective coordination. Coordination and information management are essential to the delivery of humanitarian assistance in a cohesive and successful manner.

For these reasons, all proposed programs should address coordination at the program and sector levels (*see above* Program Description section, Program-level Coordination and Sector-level Coordination). In addition, proposals that include specific activities related to coordination or information management should follow the guidance in this section.

USAID/OFDA supports coordination with the government of the country concerned, with international NGO coordinating bodies, and with and by U.N. coordinating agencies.

Information Resources

- "Making humanitarian relief networks more effective: operational coordination, trust, and sense making" by Max Stephenson. *Disasters* 29 (4):337-350, 2005. http://www.odi.org.uk/hpg/papers/ochacoordination.pdf
- *Humanitarian Coordination: Lessons from Recent Field Experience* by Nicola Reindorp and Peter Wiles. 2001. ODI. http://www.reliefweb.int/rw/lib.nsf/db900sid/LGEL-5D9CBZ/$file/odi-coord-jun.pdf?openelement
- *The Application of Geographic Information Systems and Global Positioning Systems in Humanitarian Emergencies: Lesson Learned, Programme Implications and Future Research* by Kaiser, et al. *Disasters 27(2)*:127-140, 2003. *http://www3.interscience.wiley.com/journal/118841153/abstract?CRETRY=1&SRETRY=0*
- *An Evaluation of Humanitarian Information Centers, including Case Studies of HICs for Iraq, Afghanistan, and Liberia* by Lewis Sida and Chris Szpak. 2004. Funded by USAID/OFDA and the U.K. Department for International Development (DFID). http://www.usaid.gov/our_work/humanitarian_assistance/disaster_assistance/resources/pdf/Evaluation_HIC2004.pdf#search=%22HIC%20evaluation%20usaid%22

Justification for Intervention

- Country-level or regional coordination among humanitarian actors.
- Coordination among multiple NGOs or agencies to address specific topics of importance.
- How existing information and coordination gaps hamper the delivery of effective humanitarian assistance.
- Proposed system of coordination and how it will address these gaps.
- Expected outcomes of proposed intervention.
- How the proposed activity will support:
  - tracking of humanitarian needs and activities to meet those needs, by location

- planning, and reporting
- data collection, processing, and analysis
- How the resulting data will be shared across the humanitarian community for coordination purposes.
- Positive and negative impacts of the intervention at global, regional, or country levels, as appropriate.
- Sustainability of the proposed activity, including continued use of the system or service and transfer to a government or other organization, if appropriate.

Available Sub-sectors and Sample Activities
Coordination
- Activities that enhance liaisons with U.N. coordinating mechanisms
- Coordination of sector or cluster activities
- Coordination of security activities

Information Management
- Coordination of general information
- Web-based or other systems to assist response planning and information sharing across organizations
- Information management services to enable or improve coordination within and/or among sectors or clusters

Sub-sector: Coordination

Needs Assessment Summary
- Current systems of coordination; For example, what meetings are taking place, how they are organized, who organizes and attends them
- Shortcomings in the existing system of coordination; Outcomes of current efforts and why they are insufficient

Technical Design
- How the proposed intervention will make services available as broadly as possible across the humanitarian community
- How the program will strengthen existing international or host government coordination mechanisms
- Proposed activities should not duplicate other efforts, including those of the host government and other local and international organizations

Beneficiary Details
- Direct and indirect beneficiaries of the proposed activity; How they will be targeted and how each group will benefit
- How the proposed intervention will assist disaster-affected populations

Indicators (required)
- Number of organizations coordinating

Sub-sector: Information Management

Needs Assessment Summary

- Description and purpose of current information systems, tools, and related services used by applicant's organization or the organizations to be supported
- Weaknesses in existing information management

Technical Design
- How training and capacity building will be incorporated into the proposed program
- How data and information will be shared as widely as possible throughout the humanitarian community
- To the extent possible, proposed activities should not duplicate other efforts, including those of the host government and other local and international organizations

Beneficiary Details
- Direct and indirect beneficiaries of the proposed activity; How they will be targeted and how each group will benefit
- How the intervention will assist disaster-affected populations
- How beneficiaries, both organizations and disaster-affected people, will gain access to program services and products

Indicators(required)
- Number of organizations utilizing information management services
- Number of products made available by information management services that are accessed by clients

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5.   Humanitarian Studies, Analysis or Applications

Background
Applied studies, research and analysis has played an important role in improving humanitarian preparedness, mitigation, response, and coordination. USAID/OFDA will consider support of relevant activities that aim to fulfill that function.

Information Resources
Information resources and background studies should be defined for each proposal in the *technical design* section.

Justification for Intervention
This sector is designed for global, regional, or local humanitarian research or activities of broad interest that do not have a specific focus in other technical sectors. Proposed activities must:
- fill an identified gap,
- demonstrate significant value to the field of humanitarian assistance, and
- have concrete implications for and applications to disaster planning, implementation, and/or monitoring and evaluation.

Research or activities that cannot demonstrate this applicability and relevance will not be considered.

Available Sub-sector and Sample Activities
Applied Studies, Analysis, or Applications
- Policy studies, including humanitarian trends or effects
- Metrics development, i.e., indicators, benchmarks, measurements of success or impact
- Monitoring methodologies
- Evaluation methodologies
- DRR for both conflict-related and natural disasters
- Integration of good practices and lessons learned
- Results of humanitarian law, human rights, or justice initiatives
- Security studies or activities
- Integration of conflict resolution or peace building into disaster-response planning and implementation
- Disaster transition and recovery management
- Other global, regional, local, thematic, or topical research and analysis

Sub-sector: Applied Studies, Analysis or Applications

Needs Assessment Summary
- Need for the proposed activities and their ethical, practical, and/or scientific value
- How the need for the proposed work has been voiced or demonstrated within the humanitarian community
- Brief overview and analysis of previous work done in this domain

Technical Design

- Proposed studies or activities, methodologies to be used, and time frame
- How the proposed program will complement, further the aims of, or challenge in useful ways the work that has already been done in this subject area
- Details on the implementers and their qualifications to conduct the proposed activities
- Expected program outcomes

Beneficiary Details
- Depending on the program, beneficiaries may range from disaster-affected individuals to implementing organizations and institutions. Who will benefit from the proposed activities, both directly and indirectly, and how will they benefit?

Indicators
This sub-sector is too broad in scope to identify mandatory indicators that would apply to all activities. Applicants are invited to use output and impact indicators specific to the activities proposed.

6. Logistics Support, Relief Commodities

Background
The provision of relief commodities and logistics support is an important component of humanitarian response. The types and manner of delivery should be tailored to the disaster context to avoid causing tensions, wasted resources, or duplication of efforts. Note that cash contributions in lieu of NFI distributions are encouraged whenever local markets are able to absorb the increased demand. Local and regional procurement of food commodities must be linked to the global food price crisis, or to a declared disaster, and the sub-sector should be selected only after discussions with the OFDA/Washington representative for the country or region in question since there are various criteria that must be met in order to OFDA to consider funding these activities.

Information Resources
* *Field Operations Guide for Disaster Assessment and Response.* USAID/OFDA and the U.S. Department of Agriculture's Forest Service, 2005.
  http://www.usaid.gov/our_work/humanitarian_assistance/disaster_assistance/resources/#fog
* *The Sphere Project: Humanitarian Charter and Minimum Standards in Disaster Response* handbook. Geneva, 2004. http://www.sphereproject.org

Justification for Intervention

* Requests for relief commodities and their transport, as well as transport support for personnel, must be supported by detailed needs assessments. Why are the commodities in question needed, and by whom? Are there constraints to obtaining these resources locally? If not, what is the rationale for importing them?
* Transportation requests call for a full explanation of the transport needs and uses. If the organization is functional and is requesting additional transportation support for its operations, USAID/OFDA requires a solid justification for new or additional support.
* For local and regional procurements of food commodities, the following three conditions must be satisfied:
  1. Demonstrated urgent need for food assistance;
  2. Precipitating, contributing, and/or exacerbating factors associated with the emergency must be directly related to the global food price crisis, or linked to a declared disaster; and
  3. Compelling evidence that the use of local procurement will save lives, reduce suffering, and/or serve more people than by using international procurement of Title II food aid

Available Sub-sectors and Sample Activities
Non-food Items (NFIs)
* Acquisition, distribution, and storage of NFIs

Transport (air/land/sea)
- Air, sea, or land transport of NFIs and/or personnel

Local and Regional Procurement of Food
- Distribution of locally and regionally procured food commodities

Sub-sector: Non-food Items (NFIs)

Needs Assessment Summary
- What commodities are needed and why. Total number of beneficiaries requiring assistance
- Availability of commodities in the local market or need to import
- Adequacy, in numbers and skills, of potential labor force for commodities handling and storage

Technical Design
- If commodities are being imported: whether these items are normally imported. Whether proposed imports will compete with locally manufactured goods; What steps will be taken to prevent disruption of the local economy and markets; Anticipated effects on employment; Relevant government regulations
- If commodities are being resourced locally: how existing capacity within the country can support the volume of commodities needed without depleting the supply required for normal use; Anticipated effects on supply and demand and the potential for price increases that local residents cannot afford
- Whether the proposed commodities are common or foreign to the culture or norms of the country
- Any similar items that can be made locally; Analysis of local manufacturing costs versus imports plus transportation
- Whether commodities can be replenished locally or through normal import channels following the disaster response, and whether they can be replaced affordably
- Any alternatives considered to meet needs more affordably, have a lesser impact on the affected area, better utilize local labor, move more money into the local economy, or be more sustainable; Why these alternatives were discarded
- Availability of transport for commodities to distribution sites
- Ability of beneficiaries to transport commodities from distribution sites to their homes or places of use
- Adequacy of storage facilities and capacity; How commodities will be kept secure until they are distributed
- Sphere or other proposed standards that will be used to measure quantities
- Coordination plans to prevent overlap with distributions being implemented by other NGOs or partners
- LLIN acquisitions must adhere to all relevant stipulations in the USAID Africa Bureau [Programmatic Environmental Assessment for Insecticide-Treated Materials in USAID Activities in Sub-Saharan Africa](link) (*clickable link; for further information* s*ee box*, Health sub-sector on Communicable Disease)
- If clothing is being considered, describe in detail the type, to whom it will be distributed, and why
- For commodities that are technical and require servicing or maintenance, the availability of parts and personnel to support operation in the short and long terms

Beneficiary Details
- Number of beneficiaries to be targeted and selection criteria
- How beneficiaries are expected to use the proposed NFIs
- Plans to ensure the NFIs are acceptable to target beneficiaries
- Whether distributions will be full or partial, and how tensions over who is chosen will be managed
- If introducing an imported item into an IDP or refugee setting, how potential social and cultural ramifications will be mitigated

Indicators(required)
- Total number of Non-food Items (NFIs) distributed, by type
- Total USD cost of Non-food Items (NFIs), by type
- Total number of beneficiaries receiving Non-food Items (NFIs), by type, in compliance with Sphere standards

Sub-sector: Transport (air/land/sea)

Needs Assessment Summary
- Transport needs, whether for commodities, personnel or both, and why these needs are not being met currently
- Transport modes, distances, and personnel needed; If air transport is requested, why less expensive ground or sea transport cannot be used instead

Technical Design
- Proposed transport modes, distances, and personnel
- Commodities and/or personnel to be transported; Details showing that all personnel and commodities are to be moved for humanitarian purposes
- Whether all commodities have a designated consignee at points of arrival, or will be transported to secure storage facilities
- Safety and security records and protocols of the transport mode for personnel
- Any cost-sharing arrangements and how they will be managed

Beneficiary Details
- Who will benefit from the transport of commodities or personnel; Selection criteria
- How commodities or personnel will be prioritized in case of competing demand for transport services
- Protocols, processes, or procedures for personnel access to the transport

Indicators (required)
- Total USD cost of transport, by type (commodities or personnel)
- Number of people or kg of commodities (by commodity type) transported, by transport type (land/sea/air)
- Total number of flights/trips provided for commodities/personnel

Sub-sector: Local and Regional Procurement of Food (LRP)
- Local procurement refers to the process of buying food aid commodities in the same country where the food aid is distributed; regional procurement is the purchase of

these commodities in a different country in the same region.

- Please note that this sub-sector should only be selected after discussions with the OFDA/Washington representative for the country or region in question, since there are various criteria that must be met in order for OFDA to consider any proposals for these activities. At a minimum, the proposal must: demonstrate an urgent need for food aid; directly relate the precipitating, contributing, and/or exacerbating factors associated with the emergency to the global food price crisis, or to a declared disaster; and provide compelling evidence that the use of local procurement will save lives, reduce suffering, and/or serve more people than by using international procurement of Title II food aid.

- Although LRP programs may be proposed within a larger, multi-sectoral intervention, please note that the review process has the potential to be more time consuming than a proposal that only addresses this one sub-sector. Partners interested in submitting a proposal for local or regional procurement of food carefully weigh the benefits of proposing a multi-sectoral program against the need for an urgent response.

- ALL programs in this sub-sector have specific reporting requirements that are laid out below. Prior to proposal submission, please be sure that your organization has the capacity to collect and forward this information to OFDA.

Needs Assessment Summary
- Identify need for food aid based on humanitarian need and potential of food aid pipeline breaks (if a food aid pipeline exists)
- Specify if this is a new food aid program or part of an on-going program
- Provide a rationale for local and regional procurement of food rather than external import and distribution through standard Title II methods

Technical Design
- Expertise and experience in design and implementation of food aid programs, including procurement, logistics and distribution
- Expertise and experience purchasing food commodities, including undertaking competitive procurements
- Identification of the basis for commodity specifications, safety standards and methods to be used to ensure compliance in satisfying these standards
- Brief description of the approach to be used to ensure that procurement does not result in undue increases in consumer food prices in the market of origin (e.g., market survey)
- Describe the procurement plan, including the type and volumes of commodities to be procured and country(ies) of origin
- Provide estimated commodity and transport costs. Disaggregate transport costs into ocean freight, inland (transport costs from discharge port to designated port of entry within the recipient country. and internal (transport within country of distribution) transportation, as applicable
- Specify procurement modalities to be used (i.e., through competitive public tender, commodity exchange market, trader, farmer associations etc.)
- Describe the food distribution method(s)
- Composition of, and justification for, the proposed food aid ration(s)

- Estimate the expected time required from (1) agreement with donor to tender; (2) tender to procurement; (3) procurement to possession by grantee in country of distribution and (4) possession to beneficiary distribution
- Describe the feasibility of using standard USAID bag markings as described in the USAID branding and marking policy (http://www.usaid.gov/branding/)
- In insecure regions, describe how beneficiary protection will be addressed

Beneficiary Details
- Anticipated number of beneficiaries; anticipated number of child beneficiaries under the age of five years
- Targeting criteria and methods to be used to identify eligible beneficiaries

Indicators (required)
- Total USD cost for local and regional food purchases
- Number of households receiving locally and regionally purchased food
- Cost per beneficiary per daily ration

Reporting requirements
Please note that ALL programs in this sub-sector must report the following information to OFDA at the close of their program, or quarterly, whichever is sooner. Also note that one form must be completed for each commodity procured and distributed.

Local and Regional Procurement Reporting Tables
Complete one form for each commodity procured and distributed

Commodity Procured/Distributed: (provide commodity specifications) _____

General Procurement Information

	Actual
Volume (MT)	
Commodity Cost (USD/MT)	
Transport Costs (USD/MT) (as applicable)	
- Ocean freight	
- Inland (from discharge port to designated port of entry within the recipient country)	
- Internal (within country of distribution)	
Country of origin	
Procurement modality (percentage share)	
- Commodity exchange	
- Farmers association	
- Trader	
- Other	

Time Line

	Actual days
Number of days from:	
Donor agreement to tender	
Tender to procurement	
Procurement to possession by grantee in country of distribution	

Impact on Procurement Market

Time of year of purchase at site of purchase relative to main local harvest (i.e. one month post-harvest; during harvest, etc.) _____

Name of Market _____

	Market price (USD/MT)
Two weeks prior to purchase	
Two weeks after purchase	
Actual procurement price (procurement date: _____):	

Beneficiaries (for commodity reported)

	Actual number
Number of beneficiaries	

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7.   Natural and Technological Risks

Background
Perhaps the single most important cause of natural disaster casualties and economic losses is the vulnerability of people living in risk-prone areas. Population growth, increased settlement in marginal lands, environmental degradation, and unstable socio-economic conditions make populations extremely vulnerable to the impacts of natural disasters. Technological advances and large modern infrastructures increase the economic impact of disasters while exposing populations to additional hazards. Risk identification, reduction, and management are vital for increasing the resilience of vulnerable populations to potential disasters, and ultimately for supporting sustainable development.

As part of its mandate to save lives and alleviate suffering and economic impacts, USAID/OFDA's strategic plan includes support for the adoption of mitigation measures in countries at greater risk for natural and human-made disasters. USAID/OFDA assists in preparedness and mitigation activities worldwide by implementing a variety of programs on natural hazard mitigation; on technological disaster preparedness, prevention, and mitigation; and on multi-hazard disaster preparedness and management. USAID/OFDA accomplishes this by working with all levels of government, international and regional organizations, NGOs, and local communities. Through fostering multi-sector linkages that improve understanding and implementation of hazard management, USAID/OFDA helps reduce people's vulnerability to potential disasters.

Information Resource
- *Disaster Reduction: A Practitioner's Guide.* USAID/OFDA, 2002. http://www.usaid.gov/our_work/humanitarian_assistance/disaster_assistance/resources/pdf/disaster_reduction_2002.pdf

Justification for Intervention
- How the proposed intervention will respond to assessed needs
- Which natural or technological hazards led to vulnerability of the target population
- Why these risks or vulnerabilities cannot be addressed without outside assistance
- Why specific DRR interventions are necessary for the target location
- How proposed activities relate to the USAID/OFDA mandate

Available Sub-sectors and Sample Activities
Disaster Preparedness, Mitigation, and Management
- Building capacity of community, local, national, and regional entities on effective disaster preparedness and response
- Training on multi-sector risk reduction; developing DRR curricula; and sensitization at all levels
- Risk identification, analysis, prioritization, and reduction activities
- Developing and implementing regional, national, local, or community-based hazard reduction policies and plans
- Post-disaster recovery projects
- Early warning systems at global, regional, national, or community levels

Geological Hazards
- Community-based preparedness and mitigation activities for geological events such as earthquakes, volcanic eruptions, landslides
- Technical training on mitigation
- Information and warning disseminations to populations at risk
- Early warning systems at global, regional, national, or community levels

Hydro-meteorological Hazards
- Community-based preparedness and mitigation activities for hydro-meteorological events such as floods, droughts, tsunamis, cyclones, avalanches
- Capacity building on various aspects of disaster risk reduction
- Information and warning disseminations to populations in remote locations
- Community-based watershed and natural resource management interventions to reduce impact of hydro-meteorological disasters
- Early warning systems at global, regional, national, or community levels

Technological Disasters
- Community-based preparedness for responding to technological disasters such as industrial accidents, chemical, or nuclear events
- Activities to raise public awareness on technological hazards and their potential impacts
- Response to life-threatening technological disasters

Sub-sector: Disaster Preparedness, Mitigation, and Management

Needs Assessment Summary
- Current vulnerabilities, capabilities, resources, and systems of target population
- Relevant programs being implemented at all levels of government, by communities, NGOs, and international entities
- Current unmet needs and gaps

Technical Design

- How the proposed intervention will help build needed capacities, resources, and systems, and meet information and other assessed needs and gaps
- Appropriateness of program with respect to achieving USAID/OFDA objectives for better preparing communities, local, national, and regional entities to respond efficiently to potential hazards in the target region
- Involvement of local entities, communities, and organizations in designing and running proposed activities; How program implementers will elicit maximum input, participation, and commitment from target communities; How proposed interventions fit with existing cultural norms and realities
- How organizational and management capacity will be improved through training, or through increased national policy and budgetary support
- How DRR tools, plans, policies, regulations, or curricula will be developed and implemented at all stakeholder levels
- How proposed DRR curricula development will be integrated into educational systems and how these activities will be sustained following program completion.

- Incorporation of a multi-hazard risk reduction approach
- How the intervention will link with existing programs at the local, national, regional, and international levels; Potential program impacts on current systems and capacities, both positive and adverse; Multi-sector impacts and linkages
- Integration of relevant governmental and emergency response agencies into the program
- Coordination among partner agencies; Strengthening of national and regional linkages among relevant risk management entities
- How proposed programs will increase awareness and understanding of disaster preparedness, mitigation, and management at regional, national, local, or community levels
- Dissemination and institutionalization of successful interventions and lessons learned within government policies and training programs at all levels
- Cost-effectiveness of implementing proposed activities
- Potential replication of interventions beyond the program period

Beneficiary Details

- USAID/OFDA interventions should reflect the decision-making dynamics of target populations, fostering self-sufficiency and productivity over the long term. How will proposed activities include or improve beneficiaries' decision-making processes or capacities?
- Programs should help beneficiaries support themselves and enhance their capacity to maintain or improve their ways of life. To reach those most in need and gain their participation in strategy development and decision making, activities should be blended with beneficiaries' own coping strategies. How will the proposed projects, products, or information be designed for access by and transfer to the target population?
- Activities should be socially equitable and should help beneficiaries avoid potential conflicts over program access and resources. How will this be accomplished?

Indicators (required)
- Number of people trained in disaster preparedness, mitigation, and management
- Number and percent of beneficiaries retaining disaster preparedness, mitigation, and management knowledge two months after training
- Number of hazard risk reduction plans, policies or curriculum developed

Sub-sector: Geological Hazards

Needs Assessment Summary
- Current systems, capabilities, tools, data, and resources of target population in the proposed location, as well as physical, social, environmental, and economic vulnerabilities
- Related interventions being implemented by local and national governments, communities, international and regional entities or NGOs
- Current unmet needs and gaps

Technical Design
- How the proposed intervention will improve existing systems, capacities, tools, resources, and data

- How activities will reduce vulnerability to geological hazards and increase resiliency of the population at risk
- How mitigation objectives will be fulfilled in the short, medium, or long terms
- Involvement of local entities, communities, organizations, and governments during program development and implementation
- How proposed activities will link to other relevant programs at national, regional, and international levels
- How real-time and historical data and information will be shared nationally, regionally, and internationally
- Cost-effectiveness of implementing proposed intervention
- How activities will be sustained beyond the program period

Beneficiary Details
- Target beneficiaries and how they were chosen
- Whether beneficiaries are engaged in other geological disaster mitigation activities
- Beneficiaries' comprehension of the hazard being addressed
- Any history of geological disasters affecting the target community
- Any other natural hazards posing a risk to beneficiaries

Indicators (required)
- Number of people benefiting from geological disaster-related activities
- Number of geological policies or procedures modified as a result of the activities to increase the preparedness for geological events
- Number of people trained to reduce the impact of geological events

Sub-sector: Hydro-meteorological Hazards

Needs Assessment Summary

- Current systems, capabilities, tools, data, and resources of target population in the proposed location, as well as physical, social, environmental, and economic vulnerabilities
- Local, national, international, and regional capacities for early warning, forecasting, or other relevant applications
- Related interventions being implemented by local and national governments, communities, international and regional entities or NGOs
- Current unmet needs and gaps

Technical Design

- How the proposed activities will address the needs and gaps identified
- How the proposed intervention will improve existing systems, capacities, tools, resources, and data
- How activities will reduce vulnerability to hydro-meteorological hazards and increase resiliency of the population at risk
- How mitigation objectives will be fulfilled in the short, medium, or long terms
- Involvement of local entities, communities, regional and international organizations, and all levels of government in developing proposed program
- How an integrated approach will be applied, taking into account the up- and downstream consequences of proposed activities, and social equity measures to prevent conflict over natural resources:

- Potential effects on relevant sectors such as agriculture, livestock, natural resource management, health, settlement, energy, and tourism. How proposed activities will be coordinated with relevant sectors to optimize benefits and minimize adverse impact.
- How the intervention will link with existing programs at the local, national, regional, and international levels. Potential program impacts on current systems and capacities, both positive and adverse.
- Potential negative environmental and physiographic impacts of proposed structural measures on watersheds. Comparative advantages of planned activities over natural or environmentally friendly approaches, such as watershed management.
- How real-time and historical data and information will be shared nationally, regionally, and internationally
- Cost-effectiveness of implementing proposed activities
- How systems developed will be transferred to communities and local, national, or regional authorities to enable sustainability following program completion

Beneficiary Details

- USAID/OFDA supports interventions that reflect the decision-making dynamics of target populations and foster participation at all levels to develop strategies and improve decision-making processes; How will the proposed intervention include or improve beneficiaries' decision-making processes or capacities while reaching those most in need?
- Interventions should help beneficiaries support themselves and enhance their capacity to maintain or improve their way of life; To enable beneficiaries to sustain program benefits in the long term, activities should be blended with beneficiaries' own coping strategies and locally and culturally acceptable approaches; How will the proposed projects, products, or information be designed for access by and transfer to the target population?
- How the program will address any social equity issues and prevent potential conflicts over resources

Indicators (required)
- Number of people who will benefit from proposed hydro-meteorological activities
- Number of hydro-meteorological policies/procedures modified as a result of the activities to increase preparedness for hydro-meteorological events
- Number and percent of people trained in hydro-meteorological-related activities retaining knowledge two months after training

Sub-sector: Technological Disasters

Needs Assessment Summary
- Area and number of people affected
- Source of the disaster
- Potential impacts on human and environmental health in the short, medium, and long terms
- Current environmental conditions
- Local and national capacity to handle the situation
- Response by local and national governments, NGOs, and international entities
- Immediate actions needed to inform the population of current and potential impacts and to help protect those at risk

- Other immediate needs

Technical Design
- How proposed intervention will address immediate needs
- Cost-effectiveness of implementing proposed activities
- Alternative interventions and why they were not selected

Beneficiary Details
- How the immediate safety and protection of the affected population will be addressed
- How the physical safety and protection of response personnel will be managed
- How any social equity issues will be handled. How any potential conflicts over resources will be prevented

Indicators (required)
- Number of people benefiting from technological disaster activities
- Number of technological disaster policies/procedures modified to reduce risks to technological disasters
- Number of people trained to respond to or prevent technological disasters

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8.	Nutrition

Background

USAID/OFDA supports emergency nutrition programs that focus on the prevention and treatment of moderate acute malnutrition (MAM), severe acute malnutrition (SAM), and micronutrient deficiencies. Programs should use evidence-based approaches that decrease morbidity and mortality from malnutrition, micronutrient deficiencies, and health conditions exacerbated by malnutrition.

Nutrition education and support of appropriate infant and young child feeding (IYCF) are integral to the prevention and treatment of malnutrition in emergencies. Community-based approaches, when implemented correctly, have been shown to have a higher coverage rate and better outcomes than traditional, health center-based approaches.

USAID/OFDA supports nutrition interventions that integrate with health systems and build system capacity to deal with acute malnutrition in a sustainable manner during non-emergency times. Every effort must be made to support the MoH at all levels, as well as communities, in their efforts to address the malnutrition crisis.

The nature of the disaster will determine the appropriateness of a specific nutrition intervention and its target population. It is critical for the applicant to provide clear data on mortality and malnutrition, including wasting, stunting, and underweight; how the data was collected, i.e., assessments, surveys, surveillance; and any additional information, such as health, WASH, and food security analysis, that will help USAID/OFDA staff understand the causes of the current nutrition situation. Even if the applicant is not asking USAID/OFDA to support a comprehensive response program, proposals must discuss a multi-sector approach to address root causes.

Prevention and management of micronutrient deficiencies will be supported as part of an intervention for the treatment of MAM and/or SAM. Such programs should ensure beneficiaries have access to micronutrient-fortified foods. Should there be a need to provide micronutrient supplementation to a population at high risk of micronutrient deficiencies, or to provide specific micronutrient supplementation to an affected population, as in cases of scurvy, pellagra, beriberi, and ariboflavinosis, the intervention should be incorporated with PHC services, and not proposed as a stand-alone program.

Therapeutic milks (F75, F100) and ready-to-use foods are not considered pharmaceuticals and do not require a waiver for procurement with USAID/OFDA funding. However, medicines needed to treat malnourished children must follow the rules and regulations outlined under restricted goods (*see* Health sub-sector Medical Commodities and Pharmaceuticals) in order to be purchased with USAID/OFDA funds.

To simplify reporting, USAID/OFDA requires reporting against the three indicators listed under each sub-sector, in addition to the global acute malnutrition prevalence and mortality rates, which are required for every nutrition sub-sector (see Quarterly Program Performance Reports page 43). Applicants are also encouraged to share the impact and program quality indicators they already collect, particularly for programs dealing with the management of moderate and severe acute malnutrition. These indicators could include

cure rates, default rates, death rates, non-responder rates separated by transfers to therapeutic feeding, as well as failure of treatment, coverage rate, and length of stay in the program. For each indicator included in the proposal, targets must be established to measure impact. Targets should adhere to universally accepted standards such as Sphere.

Information Resources

- *A Toolkit for Addressing Nutrition in Emergency Situations.* IASC Nutrition Cluster, June 2008. http://www.humanitarianreform.org/humanitarianreform/Portals/1/cluster%20approach%20page/clusters%20pages/Nutrition/Global_Nutrition_Cluster_Nutrition_Emergencies_Toolkit_June_2008.pdf
- *Harmonized Training Materials Package* addressing nutrition in emergencies. IASC Nutrition Cluster, 2008. http://www.humanitarianreform.org/Default.aspx?tabid=488
- *Indicators for Assessing Infant and Young Child Feeding Practices: Conclusions of a consensus meeting held 6-8 November 2007 in Washington D.C., USA.* WHO, 2008. http://www.who.int/child_adolescent_health/documents/pdfs/iycf_indicators_for_peer_review.pdf
- *WHO Child Growth Standards: Methods and development – Length/height-for-age, weight-for-age, weight-for-length, weight-for-height and body mass index-for-age.* 2006. http://www.who.int/childgrowth/standards/technical_report/en
- *The Sphere Project: Humanitarian Charter and Minimum Standards in Disaster Response* handbook. Geneva, 2004. http://www.sphereproject.org
- *The management of Nutrition in Major Emergencies.* WHO, Geneva, 2000. http://www.who.int/bookorders/anglais/dartprt1.jsp?sesslan=1&codlan=1&codcol=15&codcch=2154
- *Management of severe malnutrition: a manual for physicians and other senior health workers.* WHO, Geneva, 1999. http://whqlibdoc.who.int/hq/1999/a57361.pdf
- *International Code of Marketing of Breast-milk Substitutes.* WHO, Geneva, 1981. http://www.who.int/nutrition/publications/code_english.pdf
- *Infant and Young Child Feeding in Emergencies: Operational Guidance for Emergency Relief Staff and Programme Managers.* IFE Core Group, February 2007. http://www.ennonline.net/pool/files/ife/ops-guidance-2-1-english-010307.pdf
- *WHO, UNICEF and SCN Informal Consultation on Community-Based Management of Severe Malnutrition in Children* meeting report. Geneva, November 2005. http://whqlibdoc.who.int/hq/2005/a91065.pdf
- *Community-based Therapeutic Care (CTC): A Field Manual.* Valid International and Concern Worldwide, 2006. http://www.validinternational.org/docs/CTC%20Field%20Manual%20First%20Edition,%2020065.pdf
- *Standardized Monitoring and Assessment of Relief and Transitions: Protocol and Methods.* http://www.smartindicators.org/protocol.htm
- *Field Operations Guide for Disaster Assessment and Response.* USAID/OFDA and U.S. Department of Agriculture's Forest Service, 2005. http://www.usaid.gov/our_work/humanitarian_assistance/disaster_assistance/resources/#fog
- *Food-security assessments in emergencies: a livelihoods approach* by H. Young, et al. The Overseas Development Institute's Humanitarian Practice Network, London, 2001. http://www.odihpn.org/documents/networkpaper036.pdf

Justification for Intervention

- The proposed nutrition intervention must be based on assessed needs through a nutrition and mortality survey when possible, including a causal analysis of malnutrition; or through assessments, surveillance data, and a detailed analysis of factors aggravating the nutritional status of the population; Any assessments will provide characteristics of the affected population, and therefore will inform the selection of target populations; What data are available to support the need for an emergency nutrition program, and what methods were used for data collection?
- Why USAID/OFDA should provide assistance specifically for the proposed sub-sector(s)
- Geographic areas of proposed activity, with rationale
- Commitment to the intervention within the community, including community leaders, women's groups, traditional healers, and religious leaders, and at all levels of the MoH; how these groups will be engaged in planning, implementing, monitoring, and reporting
- Complementary activities of other donors and organizations
- Full extent of the human, financial, commodity, and other resources needed to address the malnutrition crisis, and how the proposed program fits within the larger humanitarian response
- Describe the organization's experience in addressing nutritional problems in the target area

Applications for an extension to a current program must include achievements to date, progress through tracking of indicators from baseline to the end of the existing grant, and a clear rationale for continuing the program, in addition to an explanation of if targets were not met, why, and how additional time and/or funding would enable implementing partners to achieve the proposed results. At a minimum include the total numbers of beneficiaries admitted to the program; distinction in admissions and discharges, between moderately malnourished beneficiaries admitted to the program and beneficiaries admitted from therapeutic feeding for follow up; information on the following exit groups as percentages and totals of exits: recovered, defaulted, died, non-responded (failure to treatment and referred to hospital for further investigation). Additional information: referred from outpatient care to inpatient care (for development of complication) and relapse (return to services within 1 year after discharged cured); and program coverage rate, methodology used to determine coverage, problems encountered, plans to deal with constraints, etc

Available Sub-sectors and Sample Activities
Infant and Young Child Feeding (IYCF)
- Infant feeding interventions
- Breastfeeding promotion
- Complementary feeding initiatives

Management of Moderate Acute Malnutrition (MAM)
- Targeted supplementary feeding programs
- Blanket supplementary feeding programs
- Community outreach

Management of Severe Acute Malnutrition (SAM)
- Community-based management of SAM without complications, through outpatient care

- Community-based management of SAM with complications, through inpatient care
- Community outreach

Nutrition Education and Behavior Change
- Train community nutrition workers, community health workers, and/or community members, including traditional healers and religious leaders
- Develop or reproduce IEC materials focusing on malnutrition prevention and treatment
- Provide nutrition information to families of malnourished children, clients accessing the health system, and the community at large
- For nutrition education interventions lasting more than a year, conduct KAP surveys to assess impact

Nutrition Systems
- Build national, sub-national, local, and community capacity to prevent and treat acute malnutrition
- Establish, improve, or expand nutrition information system, including early warning and surveillance
- Create or strengthen nutrition supply systems, such as means of delivering nutrition products to health facilities
- Assist the government in establishing, updating, disseminating, and training on nutrition guidelines and policies
- Conduct operational research to advance best practices in the prevention and treatment of malnutrition

Sub-sector: Infant and Young Child Feeding (IYCF)

Needs Assessment Summary

For detailed information on needs assessment for this sub-sector, please refer to *Infant and Young Child Feeding in Emergencies(pages 8-9): Operational Guidance for Emergency Relief Staff and Programme Managers*
http://www.ennonline.net/pool/files/ife/ops-guidance-2-1-english-010307.pdf

Examples of issues to include:
- Nutrition data, stratified by age for 0–<6 months, 6–<12 months, and 12–<24 months
- Predominant feeding practices, including the early initiation of breastfeeding, exclusive breastfeeding, feeding techniques and hygiene practices, and appropriateness of complementary feeding
- Problems feeding infants and young children, especially factors disrupting breastfeeding and poor access to appropriate complementary foods for infants and young children
- Conspicuous availability of breast-milk substitute, milk products, bottles, and teats
- Security situation, mothers' workloads and psycho-social status, and how these factors may affect feeding and caring practices for infants and young children; This is particularly important if the applicant is also planning to implement CFW or food-for-work programs targeting women
- How the program will involve community leaders, women's groups, grandmothers/mother-in-laws, traditional healers, religious leaders, and men in the protection of breastfeeding and implementation of appropriate complementary feeding and caring practices throughout the emergency

Technical design

How the proposed intervention will:

- Prepare humanitarian staff to support mothers and caregivers in appropriately feeding their infants during the emergency situation, including education and support for re-lactation
- Monitor infant feeding practices
- Ensure health services in emergency situations include a focus on infant care, and encourage early and optimal breastfeeding: exclusive for six months and continued for two or more years
- Incorporate breastfeeding promotion and education into partner programs
- Improve access to and promote consumption of appropriate nutrient-dense foods among children ages 6–<24 months
- Target pre-pregnant, pregnant, and lactating women with nutritious foods
- Monitor distributions of breast-milk substitute, other milk products, bottles and teats; Monitor adherence to the *International Code of Marketing of Breast-milk Substitutes* (*see* Nutrition Information Resources)
- Implement program and demographic data collection for monitoring, evaluation, and planning purposes; Stratify data by age groups: 0–<6 months, 6–<12 months, and 12–<24 months
- Advocate for policies and procedures to enhance appropriate IYCF in emergencies
- Assist the MoH to establish or disseminate policies on IYCF in emergencies
- Develop and implement appropriate interagency policies and guidelines on IYCF in emergencies
- Coordinate with and, if possible, eventually transition to nutrition development programs

Beneficiary Details

- Numbers of direct beneficiaries, by type: mothers, men, communities
- Numbers of indirect beneficiaries, by age group: 0–<6 months, 6–<12 months, and 12–<24 months
- Beneficiary selection criteria

Indicators (required)

- Is an Infant and Young Child Feeding in Emergencies(IYCF) policy in place? (Y/N)
- Number and percent of infants 0-<6 months of age who are exclusively breastfed
- Number and percent of children 6-<24 months of age who receive foods daily from 4 or more food groups (to achieve minimum dietary diversity)

Sub-sector: Management of Moderate Acute Malnutrition (MAM)

Overview

The use of national nutrition protocols is strongly recommended for the management of MAM. If national protocols are unavailable or outdated, internationally accepted protocols must be used. *Please attach the protocol to be followed for the proposed intervention as an appendix or provide a web link.*

Needs Assessment Summary

- Any data on nutrition and mortality among those under age five from surveys conducted in the past three to six months; Data on aggravating factors which, if not addressed, will lead to deterioration in nutrition status
- Data on maternal malnutrition
- Morbidity information on prevalent diseases, such as measles outbreak, diarrhea, acute respiratory infections, malaria, HIV/AIDS, and maternal health
- Summary of the WASH situation and how it affects nutritional status
- Ongoing nutrition programs, by intervention type; implementing agency; number of children, pregnant and lactating women treated; changes in admission numbers and the reasons; ration type, size, and frequency; and referral systems among programs
- Health care system, including the existence of functioning health facilities; availability of trained staff; capacity of health system to provide the national essential basic package of care, and to handle the number of malnourished children in the community
- Household and community food security, including changes in eating behavior, such as quality, variety, quantity, frequency of meals; last and upcoming harvest; availability of food on local markets; and ability of the target population to purchase food
- Availability of food aid; types of food; quantities provided; frequency of distributions; beneficiary selection; Details on the systems available to link families of moderately malnourished children into food aid programs
- Availability of nutrition commodities to be used in the proposed program, by type, quality, acceptability, and quantity available in country

Rapid assessments and surveys
- Details on methodologies used or planned, i.e., Initial Rapid Assessment as prepared by the IASC Health Cluster, Nutrition Cluster, and WASH Cluster; Standardized Monitoring and Assessment of Relief and Transitions (SMART) methodology; 30x30 cluster; Lot Quality Assurance Sampling (LQAS)
- For surveys, nutrition data should include at a minimum: edema and weight-for-height Z-score, using standards from WHO and references from the National Center for Health Statistics at the U.S. Department of Health and Human Services' Centers for Disease Control and Prevention for estimating prevalence of global acute malnutrition and SAM; mid-upper arm circumference (MUAC) for estimating patient case load; and confidence intervals
- Context, such as mortality; WASH; food security; timing of assessment, i.e., lean season or post harvest; disease outbreak; displacement

Technical Design
- Proposed number and location of supplementary feeding sites and specific activity at each site, whether coverage will be targeted or blanket
- Ration composition and amounts to be provided, by target group: children under age five, pregnant and lactating women, others
- Program admission and discharge criteria
- Distinction in admissions and discharges between moderately malnourished beneficiaries admitted to the program and beneficiaries admitted from therapeutic feeding for follow up;
- Follow-up on the following exit groups as percentages and totals of exits: recovered, defaulted, died, non-responded (failure to treatment and referred to hospital for further investigation). Additional information: referred to outpatient care for SAM (because of deterioration of status) and relapse
- Community mobilization and screening
- Training plan: what training will be conducted, where, how, and who will be trained

- Whether a general food ration will be provided to the family of the moderately malnourished patient. If not, why not, especially if malnutrition is due to food insecurity
- How the program will be designed to minimize adverse impacts, i.e., not to increase the opportunity costs for families of malnourished children and pregnant and lactating women, or lead to displacement of populations, or increase mothers' workloads
- How the program will use or develop referral systems between supplementary and therapeutic feeding programs, and between supplementary feeding and food distribution programs
- Nutrition development interventions and how this program will coordinate with and eventually transition to them, if possible
- How proposed activities will help improve the resiliency and well-being of the target population

Beneficiary Details
- Numbers of direct beneficiaries under age five, by age group: 6–<12 months, 12–<24 months, 24–<60 months
- Number of direct beneficiaries who are pregnant and lactating
- How these numbers were set
- Percent of children who actually need assistance and are benefiting by this intervention
- Beneficiary descriptions and selection criteria

Indicators (required)
- Number of sites managing moderate acute malnutrition
- Number of beneficiaries admitted to Moderate Acute Malnutrition (MAM) services by beneficiary type (< 5s and adults)
- Number of health care providers and volunteers trained in the prevention and management of Moderate Acute Malnutrition (MAM)

Sub-sector: Management of Severe Acute Malnutrition (SAM)

Overview
The use of national nutrition protocols for the management of SAM is strongly recommended. If national protocols are unavailable or are outdated, internationally accepted protocols must be used. *Please attach the protocol to be followed for the proposed intervention as an appendix or provide a web link.*

Needs Assessment Summary
- Any data on nutrition and mortality among those under age five from surveys conducted in the past three to six months; Data on aggravating factors which, if left unaddressed, will lead to deterioration in nutrition status
- Morbidity information on prevalent diseases, such as measles outbreak, diarrhea, acute respiratory infections, malaria, and HIV/AIDS
- Summary of the WASH situation and how it affects nutritional status
- Ongoing nutrition programs, by intervention type; implementing agency; number of children and adults treated; changes in admission numbers and the reasons; ration type, size, and frequency; and referral systems among programs
- Health care system: existence of functioning health facilities; availability of trained staff; capacity of health system to provide the national essential basic package of care, and to treat severely malnourished children; ability of the MoH to handle

financing for ready-to-use therapeutic food (RUTF), monitoring and supervising of nutrition interventions
- Household and community food security, including changes in eating behavior, such as quality, variety, quantity, frequency of meals; last and upcoming harvest; availability of food on local markets; and ability of the target population to purchase food
- Availability of food aid; types of food; quantities provided; frequency of distributions; beneficiary selection; Details on the system available to link families of severely malnourished children into food aid programs
- Availability of nutrition commodities to be used for the treatment of SAM, by type, quality, acceptability, and quantity available in country

Rapid assessments and surveys
- Details on methodologies used or planned, i.e., Initial Rapid Assessment as prepared by the IASC Health Cluster, Nutrition Cluster, and WASH Cluster; Standardized Monitoring and Assessment of Relief and Transitions (SMART) methodology; 30x30 cluster; Lot Quality Assurance Sampling (LQAS)
- For surveys, nutrition data should include at a minimum: edema and weight-for-height Z-score, using standards from WHO and references from the National Center for Health Statistics at the U.S. Department of Health and Human Services' Centers for Disease Control and Prevention for estimating prevalence of global acute malnutrition and SAM; mid-upper arm circumference (MUAC) for estimating patient case load; and confidence intervals
- Context, such as mortality; WASH; food security; timing of assessment, i.e., lean season or post harvest; disease outbreak; displacement

Technical Design
- Proposed number and location of outpatient care sites and inpatient care sites
- Separate information on targeted age groups (under six months of age, 6-<12 months, 12-<24 months, 24-<60 months)
- Ration composition and amounts to be provided
- Program admission and discharge criteria
- Distinction in admissions and discharges between severely malnourished beneficiaries admitted to the program and beneficiaries admitted from supplementary feeding programs;
- Follow-up on the following exit groups as percentages and totals of exits: recovered, defaulted, died, non-responded (failure to treatment and referred to hospital for further investigation), and relapse.
- Community mobilization and screening
- Training plan: what training will be conducted, where, how, and who will be trained
- Whether a general food ration or supplementary food will be provided to the family of the severely malnourished patient. If not, why not, especially if malnutrition is due to food insecurity
- How the program will be designed to minimize adverse impacts, i.e., not to increase the opportunity costs for families of malnourished children, or lead to displacement of populations, or increase mothers' workloads
- How the program will use or develop referral systems between therapeutic and supplementary feeding programs, between outpatient and inpatient treatment in therapeutic feeding programs, and between therapeutic feeding programs and hospitals
- Nutrition development interventions and how this program will coordinate with and eventually transition to them, if possible

- How proposed activities will help improve the resiliency and well-being of the target population

Beneficiary Details
- For inpatient care, numbers of targeted direct beneficiaries under age five, by age group: 0–<6 months, 6–<12 months, 12–<24 months, 24–<60 months
- For outpatient care, numbers of targeted direct beneficiaries under age five, by age group: 6–<12 months, 12–<24 months, 24–<60 months
- How these numbers were determined
- Beneficiary descriptions and selection criteria
- Percent of children needing assistance who are targeted to benefit from this intervention

Indicators (required)
- Number of health care providers and volunteers trained in the prevention and management of Severe Acute Malnutrition (SAM)
- Number of sites established/rehabilitated for inpatient and outpatient care
- Number of beneficiaries treated for Severe Acute Malnutrition (SAM) by type (< 5s) adults; inpatient care with complications; outpatient care without complications

Sub-sector: Nutrition Education and Behavior Change

Overview
USAID/OFDA supports nutrition education and behavior change activities as a component of other nutrition and health interventions, or in some rare cases, as a stand-alone program. These activities are intended to achieve tangible modifications in target beneficiaries' behavior for both prevention and treatment of malnutrition.

Needs Assessment Summary
- Available data regarding the extent of desired behaviors in the community, for example, rates of exclusive breastfeeding
- Role of the MoH, nutrition bureau, and other ministries in providing nutrition education and behavior change
- Human resources available to provide community-level nutrition education and behavior change messages; Number and type of health and nutrition workers and volunteers
- Training these workers and volunteers have received: when, for how long, and types of training
- Training available in nutrition education and behavior change
- Nutrition messages that have been provided to the community: delivery methods, time frames, and locations, such as health centers, markets, schools, community gatherings
- Available and needed IEC materials
- Barriers that mothers may face in implementing the recommended behaviors and how the proposed program could assist them in overcoming these obstacles

Technical Design
- Behavior change requires more than relaying health messages: interventions must be informed by a solid understanding of what factors influence the target behaviors. What

are the key barriers to target beneficiaries adopting the recommended behaviors, how have these been identified, and how will the program overcome them?
- Details on nutrition education sessions: how often they will be conducted, where, by whom, and topics to be covered
- How the program will include both men and women in behavior change to prevent and treat acute malnutrition
- Standards and protocols to be used, including IEC materials, for training and implementing nutrition education and behavior change; Compelling justification if these differ from government standards and protocols
- Current rates of behaviors being targeted for change, and how changes will be measured, i.e., by what survey methods
- Links or integration with health education and hygiene education initiatives
- Nutrition development programs in the intervention area and how the proposed program will coordinate with and eventually transition to them, if possible
- How the proposed intervention will support overall recovery and stability and help rebuild a more sustainable community

Beneficiary Details
- Number of targeted direct beneficiaries, i.e., mothers, men, community elders
- Number of targeted indirect beneficiaries, i.e., infants and children 0–<6 months, 6–<12 months, 12–<24 months, 24–<60 months added targeted again
- Beneficiary selection criteria

Indicators (required)
- Number of beneficiaries receiving nutrition education
- Percent change in practice and/or knowledge pertaining to nutrition education topics
- Number of providers (health care and/or community volunteers) trained in provision of nutrition education

Sub-sector: Nutrition Systems

Needs Assessment Summary
- Existing nutrition systems at national and proposed intervention levels
- Number, type, quality, and location of nutrition programs and facilities
- Quantity and quality of health care providers trained in the prevention and treatment of malnutrition, including their level, training, and gender
- Types of therapeutic and supplementary foods, such as F75, F100, ready-to-use therapeutic and supplementary foods, that are available locally either from the MoH, the U.N. Children's Fund (UNICEF), or local producers; Regulations and taxes that could hinder importation and utilization of these products
- Existing and needed policies, plans, protocols, and guidelines for the prevention and treatment of acute malnutrition
- National protocols for assessments and surveys
- Coordination systems or mechanisms for the nutrition sector; Whether there is a cluster approach
- Existing and needed health and nutrition information systems, including data collection, analysis, and dissemination
- Presence or absence of a nutrition early warning system; If such a system was in place before the current crisis, how well it worked and how it could be improved

- Existing and needed operational research to advance best practices in the prevention and treatment of malnutrition
- Possibilities for nutrition sector transition initiatives from emergency to development

Technical Design
- Whether and how the proposed program will create or strengthen nutrition supply systems, such as means of delivering nutrition products to health facilities
- Any activities to assist the government in nutrition guideline and policy establishment, revision, dissemination, training, monitoring, and utilization
- Whether and how the program will establish, improve, or expand the nutrition information system, including early warning and surveillance; Plans for short- and long-term maintenance of these systems
- Any operational research to be conducted for advancement of best practices in the prevention and treatment of malnutrition
- Nutrition development programs in the intervention area and how the proposed intervention will coordinate with and eventually transition to them, if possible
- How the program will support overall recovery and stability and help rebuild a more sustainable community
- How the proposed intervention will build MoH capacity to conduct nutrition assessments and surveys; to collect and analyze data; to write reports; to design and implement nutrition programs
- Plans to support MoH policy development, revision, and dissemination for acute malnutrition prevention and treatment, and for standardization of assessment and survey methodologies
- Trainings to be conducted for affected community members as well as MoH staff at national, regional, and local levels in the management of acute malnutrition, monitoring and evaluation, and program communication and coordination
- How activities will strengthen community-based nutrition systems through training health and nutrition workers and community volunteers

Beneficiary Details
- Number of direct beneficiaries targeted
- Number of indirect beneficiaries
- Beneficiary selection criteria

Indicators (required)
- Number and percent of health providers/officials trained in established/strengthened nutrition guidelines/policies/systems for the prevention and treatment of acute malnutrition
- Number of nutrition information systems established and functioning
- Is a nutrition supply system established (Y/N)

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9.   Protection

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Background

OFDA supports protection activities for humanitarian response in disaster contexts that are characterized by increased threats against a population, or increased vulnerability of the population. Threats can include attacks, abuse, exploitation, or other violations. Vulnerabilities can be associated with family separation, gender dynamics, age, disability, ethnicity, or other characteristics.

To address such threats, risks, and vulnerabilities, OFDA may support targeted activities under the Protection Sector. For proposals that include a protection objective, an analysis of the context and the desired protection outcome should be explicitly stated and detailed. At a minimum, wherever possible and appropriate, for disaster contexts characterized by insecurity and the risks of violence, abuse, harassment, and exploitation, USAID/OFDA requires applicants to integrate protection into the design, implementation, and evaluation of programs under other sectors (*see* keyword Protection Mainstreaming).

Information Resources

- *Making Protection a Priority: Integrating Protection and Humanitarian Assistance.* InterAction's Protection Working Group, 2004. http://www.interaction.org/files.cgi/2835_Protection_priority.pdf
- *protection: An ALNAP guide for humanitarian agencies* by Hugo Slim and Andrew Bonwick. Overseas Development Institute, London, 2005. http://www.odi.org.uk/alnap/publications/protection/alnap_protection_guide.pdf
- *Handbook for the Protection of Internally Displaced Persons.* Global Protection Cluster Working Group, Geneva, 2007 provisional release. http://www.humanitarianreform.org/Default.aspx?tabid=294
- *Child-friendly Spaces.* Inter-Agency Network for Education in Emergencies. http://ineesite.org/page.asp?pid=1323
- *Inter-agency Guiding Principles on Unaccompanied and Separated Children.* International Committee of the Red Cross, Geneva, 2004. http://www.internal-displacement.org/8025708F004CFA06/(httpKeyDocumentsByCategory)/7337AA4DA4C2ACEAC12572330057D84F/$file/Guiding_Principles_Unacc_Sep_Chil.pdf
- *Emergencies and family tracing and family reunification.* Save the Children, Sweden. http://www.rb.se/NR/rdonlyres/82A15749-21E5-4DFA-BA08-EEE8FD2F9490/0/EmergencyandFamilyreunificationSCSconcept.pdf
- *UNHCR Handbook for the Protection of Women and Girls.* U.N. High Commissioner for Refugees, 2008. http://www.unhcr.org/protect/PROTECTION/47cfae612.html
- *Guidelines for Gender-based Violence Interventions in Humanitarian Settings: Focusing on Prevention of and Response to Sexual Violence in Emergencies.* IASC Task Force on Gender in Humanitarian Assistance, 2005. http://www.humanitarianinfo.org/iasc/content/products/docs/tfgender_GBVGuidelines2005.pdf
- *IASC Guidelines on Mental Health and Psychosocial Support in Emergency Settings.* IASC, 2007. http://www.icva.ch/doc00002621.pdf

Justification for Intervention

- Protection risks should be considered a function of the relationships between threats to populations, the degree and nature of their vulnerabilities, and their capacity or ability to respond; Specifically which groups of people need what kinds of protection? What is the exact nature of the violations, threats, abuses, or effects of war and disaster, and their impact on people's lives?
- How the disaster situation has either created new threats or enhanced the population's vulnerability
- Whether and how the proposed intervention will reduce or eliminate threats or risks; reduce vulnerabilities; or enhance capacities and coping mechanisms
- Issues of access to affected populations and key power dynamics
- Individual, community, local, and national efforts to address protection issues and how these can be supported effectively
- Existing and needed coordination mechanisms for protection, such as local, governmental, U.N., or protection cluster, and how proposed activities will complement or enhance these efforts
- Progress benchmarks should be developed and reviewed regularly to confirm original assumptions about protection needs, and to prevent unintended program consequences; Qualitative data and anecdotal evidence on program impact are acceptable, in addition to quantitative evidence where possible

Available Sub-sectors and Sample Activities
Child Protection
- Supervised, safe sites for children to play, learn, and socialize
- Youth centers for socialization, skill-building, and other informal training
- Activities to strengthen legal systems, justice systems, and protocols relating specifically to children
- Child tracing and family reunification, and systems to prevent further separation
- Support for separated and unaccompanied children through community-based care-giving mechanisms
- Assistance for parents and other caregivers
- Initiatives to prevent abuse, exploitation, and trafficking
- Outreach to particularly vulnerable children, facilitating their access to general and specialized social services
- Child-safe income generation alternatives for circumstances in which children are engaged in harmful income generation activities

Gender-based Violence (GBV) Prevention and Response
- Health and psychosocial services and referral mechanisms for GBV survivors
- Linkages to justice and advocacy systems
- Outreach programs to connect GBV survivors with targeted services
- Mechanisms to prevent recurrence of GBV
- Projects to establish or rehabilitate centers where women and girls can meet to obtain and share information
- Support for vocational skills, literacy and numeracy training, life skills, and other capabilities to reduce vulnerability to GBV
- GBV sensitization training and other prevention activities involving men and boys
- Income generation alternatives for circumstances in which women or girls are engaged in harmful or risky income generation activities

Protection Coordination and Advocacy

- Information systems and dissemination on protection issues
- Advocacy with national or local government authorities and other political actors for solutions to protection problems
- Monitoring and evaluation of protection programming
- Provision or support for protection officers or specialists in disaster situations
- Participation in working groups, tracking and reporting on protection issues
- Advising operational agencies on how to address protection issues
- Addressing disaster-related land, housing, inheritance, and property issues
- Strengthening rule of law, justice, and legal access for vulnerable populations
- Systems to survey and monitor population movements and returns

Psychosocial Services
- Structured activities for children, youth, women, and men to foster normalcy and stability
- Psychological first-aid activities, such as crisis intervention, peer support, and emotional support to bereaved
- Activities that foster solidarity and rebuild social connections
- Referral systems to specialists and equipped facilities that address psychiatric disorders (see Health sub-sector on Non-communicable Disease for mental health initiatives)
- Outreach and sensitization for community members on psychosocial support options
- Training and supervision of CHWs, teachers, and other community leaders in psychosocial knowledge and skills

Sub-sector: Child Protection

Needs Assessment Summary
- How the disaster has created new threats or vulnerabilities for children, including the prevalence of the problem
- Detailed account on the nature of violations, threats, and abuses and their impact on children's lives
- Analysis of any child protection activities and services already available, and how the proposed program could enhance or complement those efforts

Technical Design
- Proposed activities or services, and how these will alleviate effects of the violations, threats, and abuses
- Specifically how staff working with children will be vetted and monitored to ensure the children's safety
- How confidentiality of sensitive information will be safeguarded
- How community ownership of the intervention will be encouraged
- Involvement of children in program design and implementation

Beneficiary Details
- Vulnerable children and youth to be assisted and how they will benefit
- Beneficiary numbers and descriptions, for example, unaccompanied minors, adolescent girls
- Criteria and process for beneficiary selection

Indicators (required)
- Number of people trained in child protection issues
- Number of and percent increase in number of mechanisms/systems to report/refer child protection issues/cases
- Number and percent of targeted children reporting an improvement in their sense of safety and well being

Sub-sector: Gender-based Violence (GBV) Prevention and Response

Needs Assessment Summary
- How the disaster context has created a crisis of GBV against the vulnerable, with a focus on the groups most affected
- Specific GBV threats and risks faced by disaster-affected populations
- Organizations working in GBV, and what services are available and needed
- Why available programs are inadequate to prevent or address current violence without outside assistance

Technical Design
- Nature and purpose of proposed GBV services and activities, how they will reduce or address the risks or impacts of GBV, and how they will support ongoing local GBV interventions
- How the proposed program will ensure that participants have consented to treatment, case referral, and/or sharing of their information
- How confidentiality of participant information will be safeguarded
- For prevention of GBV, USAID/OFDA requires programs to involve men and boys How will males be specifically targeted in the proposed intervention?

Beneficiary Details
- Beneficiary populations or individuals
- Men and boys to be targeted for GBV sensitization
- Criteria and process for beneficiary selection

Indicators (required)
- Number and percent of community members who can report at least two negative effects of GBV on their community
- Number and percent of target population reporting increased access to Gender-based Violence (GBV) services
- Number of males sensitized in Gender-based Violence (GBV) issues

Sub-sector: Protection Coordination and Advocacy

Needs Assessment Summary
- Detailed account on the nature of violations, threats, and abuses, and their impact on people's lives
- Local, regional, and national protection systems, personnel, and protocols; Protection results currently being achieved
- Existing and needed protection services

Technical Design

- Types of coordination or advocacy activities proposed and how they will alleviate the effects of current violations, threats, and abuses
- Expected achievements of the proposed intervention and how success will be measured
- How capacity will be built so that communities will be able to maintain protection systems and services following the program period
- How potentially sensitive data collected will be safeguarded

Beneficiary Details
- Disaster-affected vulnerable populations to be assisted, such as IDPs, women, children, youth, ethnic or religious groups, returnees
- Criteria and process for beneficiaries selection

Indicators (required)
- Number of protection officers/personnel provided in support of protection coordination activities
- Numbers of policies/procedures/practices modified in accordance with protection principles (e.g., Guiding Principles on Internal Displacement; Human Rights Law; International Humanitarian Law)

Sub-sector: Psychosocial Services

Overview
All proposals should refer to the 2007 *IASC Guidelines on Mental Health and Psychosocial Support in Emergency Settings* http://www.icva.ch/doc00002621.pdf
Activities that address severe and moderate mental disorders including psychosis, disabling mood and anxiety disorders, and post-traumatic stress disorder should be proposed under the Health sub-sector on Non-communicable Disease.

Needs Assessment Summary
- Overview of relevant psychosocial factors, i.e., types of stressors, nature and trends of problems, local perceptions of distress and illness
- Description of community's typical coping mechanisms and resource in place
- How local capacity is insufficient to meet current demands

Technical Design
- Systems or services to be provided through the proposed intervention
- Technical skills and training of implementing staff. Those working with more distressed populations or delivering more complicated interventions will require greater degrees of training and supervision; how will the proposed program properly train and supervise service providers?
- How potentially sensitive beneficiary information will be safeguarded
- How activities will support the capacity of communities and social networks to provide psychosocial assistance
- All activities should be socially and culturally grounded; may include traditional healers and spiritual or religious practices; and should be designed to reach large numbers of affected people, including vulnerable or "invisible" populations such as children of marginalized ethnic or religious groups or lower castes and those with physical and mental disabilities. How will the program design address each of these issues? How will local customs, beliefs, and traditional coping strategies be incorporated?

Beneficiary Details
- Populations or individuals who will benefit from program systems, services, and trainings
- Criteria and process for beneficiary selection

Indicators (required)
- Number and percent of target population participating in psychosocial activities
- Number and percent of beneficiaries reporting improved capacity to carry out productive family/community roles/responsibilities
- Number and percent of beneficiaries reporting improvement in their feeling of well being or ability to cope

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10.   Shelter and Settlements (S&S)

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Background

In many countries, people consider shelter their most important economic asset. It is also critical to both sustaining life and supporting productive activities. Shelter is, therefore, more than just a house: it can also be an office, shop, factory, warehouse, granary, barn, and central feature of all settlements. Ranging in size from the smallest hamlets to the largest megacities, settlements also span a wide range of types, from temporary transit centers to long-established communities. Shelter and related support services are key features of settlements simply because of the economic, social, and cultural importance of shelter, and the fact that shelter and services typically occupy a majority of land in larger settlements.

It is nearly impossible to separate shelter from the larger environmental context. Because the natural hazards and resource issues embedded in that context often generate disasters and conflicts, shelter sector activities can be an excellent means of addressing both natural hazard and resource concerns.

Where possible and appropriate, shelter interventions should support and sustain the arrangements selected by affected populations prior to the arrival of humanitarian actors. The chief means of doing so in many instances is reliance on socially and culturally defined relationships, as reflected in support provided to affected populations by host families. If a disaster-affected household is living with extended family or friends, for example, the applicant could propose to add a needed room.

Camps should be established only after exhaustion of all other shelter options, based on detailed market, damage, and needs assessments. Camps will be sited far from areas of conflict and national borders, and will be designed with consideration to promoting a sense of community, creating recreational spaces and acceptable aesthetics, mitigating economic and environmental impacts on surrounding settlements, and minimizing threats to safety and security, including those arising from tribal, ethnic, and religious tensions.

Shelter will be provided to households unable to self-build, rather than offering assistance through a self-help model. S&S interventions will, as appropriate, promote creation of separate rooms for women and children; inclusion of child-friendly spaces and programs in camps and settlements; and use of building materials and site plans that provide privacy and dignity, for example, addressing the distance between dwellings and the location of public facilities, particularly in cultures where men's and women's activities are markedly separate.

In designing S&S interventions, outputs should be discussed with beneficiaries to confirm they have documented rights, and land tenure issues should be managed to avoid eviction and homelessness. Training and capacity building should include specialized sessions for women and children on non-structural mitigation (e.g., low-cost/no-cost actions designed to reduce risk that do not involve structures, such as watershed management to reduce flooding, clean-up of waterways to better handle flood waters, hazard-based site and settlement planning, and locating and securing objects in homes and workplaces so they don't fall during earthquakes), as well as evacuation of buildings

and settlements during earthquakes, tsunamis, and other natural events.

Information Resources
- *The Sphere Project: Humanitarian Charter and Minimum Standards in Disaster Response* handbook. Geneva, 2004. Especially Chapter 4, "Minimum Standards in Shelter, Settlements, and Non-Food Items."
  http://www.sphereproject.org/content/view/27/84
- *Field Operations Guide for Disaster Assessment and Response*. USAID/OFDA and the U.S. Department of Agriculture's Forest Service, 2005.
  http://www.usaid.gov/our_work/humanitarian_assistance/disaster_assistance/resources/#fog
- *Transitional Settlement Displaced Populations* by Tom Corsellis and Antonella Vitale. University of Cambridge Shelter Project, Oxfam, 2005.
  http://www.sheltercentre.org/shelterlibrary/items/pdf/Transitional_Settlement_Displaced_Populations_2005.pdf
- *The Economic Impact of Shelter Assistance in Post-Disaster Settings.* CHF International, 2005. Funded by USAID/OFDA.
  http://www.chfinternational.org/files/2136_file_EIES_final.pdf
- *Guidelines for Rapid Environmental Impact Assessment in Disasters* by Charles Kelly. Benfield Hazard Research Center and CARE International, 2005.
  http://www.benfieldhrc.org/disaster_studies/rea/rea_guidelines.htm

Justification for Intervention
- Assessments must include analysis of key housing market characteristics in affected areas. A better understanding of pre-disaster housing will provide insights into the numbers and attributes of people living in affected areas, how they live, who builds their housing, how it is built, how long it takes to build a typical unit, what building materials are used, the source and composition of these materials, the availability and cost of local materials, and options available to address both disaster response and mitigation concerns. What are the findings of this analysis, particularly with regard to the need for camps?
- Needs should not be derived or assumed based on damage assessments alone, but also determined through interaction with affected populations. What assessments, surveys, and discussions are informing program design?
- A key objective of any S&S intervention should be the timely provision of shelter that is safe, secure, private, and habitable, as well as the incorporation of any relevant hazard mitigation measures. To achieve this often requires concerted efforts and interactions among donors, NGOs, local and national governments, and affected populations. How are these interwoven demands being addressed?
- How the proposed intervention will coordinate with complementary activities being implemented by other donors and organizations, and with relevant activities in other sectors.
- How the program will conform to internationally recognized guidelines and standards.
- For any proposed shelter, a detailed listing of the resources required to address identified needs, including a bill of materials, detailed costing of listed materials, and drawings of sufficient scale, number, and quality to convey specifically what is being recommended.
- Definition of important terms, i.e., houses, dwelling units, households, families, homeless, to be used clearly and consistently throughout all documents.

Applications for an extension to a current program must include achievements to date, progress through tracking of indicators from baseline to the end of the existing grant, and a clear rationale for continuing the program, in addition to an explanation of why targets were not met, and how additional time and/or funding would enable implementing partners to achieve the proposed results.

Available Sub-sectors and Sample Activities

Camp Design and Management
- Systems/procedures/activities to improve camp design and function
- Systems/procedures/activities to improve camp management

Emergency/Transitional Shelter
- Provision of shelter materials
- Construction of shelters, rooms, or hosted family accommodations

Shelter Hazard Mitigation
- Training in building techniques and standards
- Training in hazard-resistant construction
- Provision of construction inputs to reduce disaster risk
- Environmental health initiatives
- Salvaging and removing rubble related to shelter provision

Sub-sector: Camp Design and Management

Needs Assessment Summary
- Cause of housing damage and the likelihood it will be repeated in the foreseeable future
- Area affected, for example, a portion of a city, a town or city, several settlements, a region; Physical size of affected settlements, if possible
- How many people lived in the affected area prior to the disaster
- Average number of people in a typical dwelling unit prior to the disaster; How pre-event levels may have changed, and why
- Any groups of individuals who did not form typical households or with household sizes considered atypical, such as unaccompanied children or specific minority groups
- Number and percent of households and individuals who sustained damage to their homes
- Approximate number and percent of damaged or destroyed private dwellings, such as single family, attached, low-rise and high-rise multiple family, listed by city, village, or region
- Damage profile, to the extent possible, cataloguing the varying degrees of housing damage from undamaged to destroyed, using OCHA or other recognized damage classification methods
- Number, location, and percent of total households with no shelter or inadequate shelter
- Number of damaged dwellings that are habitable without immediate repair, habitable only after repair, uninhabitable and requiring destruction
- Whether the need for shelter is temporary, such as a few weeks, or whether a displaced population requires shelter for an indeterminate time
- Shelter delivery system prior to the disaster (*see* S&S Justification for Intervention) and relevance to the disaster response

- If relevant, extent of damage to non-housing structures, such as shops and offices, schools, churches, and hospitals, that might serve as potential resources for shelter provision; Access in these structures to sanitation, water, and other basic housing necessities
- Any program-related household and livelihood support activities that typically took place in and around dwelling units *(Not applicable for Camp Design and Management needs assessment.)*
- Percent of dwellings owned by their residents prior to the disaster

Technical Design
- Host country and humanitarian community support for the proposed camp intervention
- Details on proposed camp sites and camp development characteristics, including camp management
- How the program will ensure camp design, development, and management are consistent with recognized humanitarian guidelines
- (*Also see* S&S sub-sector on Emergency/Transitional Shelter.)

Beneficiary Details
- Beneficiaries and selection criteria
- Extent to which assessments and activities reflect the needs of the most vulnerable, i.e., those located on hazard-prone lands, poor households, squatters, renters, young, elderly, handicapped, and displaced. How men and women in these groups have participated in the design of survey work and damage assessments, and the identification of proposed responses
- How activities will be introduced and conveyed to identified beneficiaries, including the most vulnerable; If self-help is emphasized, for example, how those least able to help themselves will be assisted
- How the program will incorporate livelihood activities and measure impacts on livelihoods
- Any training activities to be conducted, who will be involved, selection criteria, and how effectiveness will be measured
- Opportunities and constraints posed by current patterns of land ownership, land usage, drainage, and sanitation, and the availability of vacant and underutilized land

Indicators (required)
- Number of households receiving shelter in camps, pursuant to Sphere standards and FOG guidelines.
- Percent of total affected population receiving shelter assistance in camps
- Total USD amount and percent of approved project budget for camps spent in the affected local economy

Sub-sector: Emergency/Transitional Shelter

Needs Assessment Summary
(See S&S sub-sector on Camp Design/Management)

Technical Design
- Shelter to be provided by the proposed intervention
- Percent of total affected population to receive shelter assistance through this initiative as well as through other humanitarian programs

- How appropriate hazard mitigation measures will be incorporated, and how their effectiveness will be assessed
- How activities will be readily integrated into existing housing markets and settlement systems
- Any constraints posed by the onset of seasonal changes, such as the arrival of winter or monsoon season, which necessitate a more expeditious response
- Government support for the proposed intervention and involvement in program design
- Consultation and coordination on activities, strategies, and plans with NGO and other humanitarian agencies, sector or cluster organizations
- How data will be shared across the humanitarian community for analysis and coordination purposes
- Detailed plan for long-term sustainability. Whether host country authorities, other donors and organizations are willing to accept this program once USAID/OFDA funding ends

Beneficiary Details
(See S&S sub-sector on Camp Design/Management)

Indicators (required)
- Number of households receiving Emergency/Transitional shelter, pursuant to Sphere standards and FOG guidelines
- Percent of total affected population receiving Emergency/Transitional shelter assistance
- Total USD amount and percent of approved project budget for Emergency/Transitional shelter spent in the affected local economy

Note: Transitional shelter is an emergency shelter intervention designed intentionally to jump-start or accelerate longer-term reconstruction. As such, transitional shelter could feature greater reliance on salvaged, permanent building materials as a complement to more conventional emergency shelter inputs like plastic sheeting.

Sub-sector: Shelter Hazard Mitigation

Needs Assessment Summary
- Cause of housing damage and the likelihood it will be repeated in the foreseeable future
- Area affected, for example, a portion of a city, a town or city, several settlements, a region. Physical size of affected settlements, if possible
- How many people lived in the affected area prior to the disaster
- Average number of people in a typical dwelling unit prior to the disaster; How pre-event levels may have changed, and why
- Number and percent of households and individuals who sustained damage to their homes
- Percent of housing supply affected
- Damage profile, to the extent possible, cataloguing the varying degrees of housing damage from undamaged to destroyed, using OCHA or other recognized damage classification methods
- Shelter delivery system prior to the disaster (*see* S&S Justification for Intervention) and relevance to the disaster response
- Any program-related household and livelihood support activities that typically took

place in and around dwelling units

Technical Design
- Proposed hazard mitigation intervention
- (Also see S&S sub-sector on Emergency/Transitional Shelter)

Beneficiary Details
(*See* S&S sub-sector on Emergency/Transitional Shelter)

Indicators (required)
- Number of shelters incorporating hazard mitigation measures
- Number of settlements adopting hazard mitigation measures
- Number and percent of people retaining shelter hazard mitigation knowledge two months after training

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11.   Water, Sanitation, and Hygiene (WASH)

Background

Interventions under the Water, Sanitation, and Hygiene (WASH) Sector attempt to reduce morbidity and mortality associated with diseases and hazards resulting from deficient environmental health conditions, for example, water-borne diseases. Applicants should be aware:

- Innovation is highly encouraged for program design as well as for monitoring and evaluation
- Emergency relief WASH interventions should be seen as the first step, rather than the only step, of assistance; As such, every effort should be made to incorporate sustainability, through transition plans, DRR where appropriate, and links with institutional partners
- This section gives specific guidance on standard indicators and information to be provided for each sub-sector, however, all interventions within the WASH Sector must be implemented as a comprehensive program; For example, applicants must incorporate sanitation and hygiene initiatives into all water projects, or clearly identify an implementing partner to perform these components

Information Resources

- *Field Operations Guide for Disaster Assessment and Response*. USAID/OFDA and the U.S. Department of Agriculture's Forest Service, 2005. http://www.usaid.gov/our_work/humanitarian_assistance/disaster_assistance/resources/#fog
- *Guidelines for Rapid Environmental Impact Assessment in Disasters* by Charles Kelly. Benfield Hazard Research Center and CARE International, 2005. http://www.benfieldhrc.org/disaster_studies/rea/rea_guidelines.htm
- *Helping Health Workers Learn: A Book of Methods, Aids, and Ideas for Instructors at the Village Level* by David Werner and Bill Bower. Hesperian Foundation, 1982.
- *The Handwashing Handbook: A guide for developing a hygiene promotion program to increase handwashing with soap.* http://www.globalhandwashing.org/Publications/Handwashing_Handbook.pdf
- *Technical Notes for Emergencies*. Water, Engineering and Development Centre, Loughborough University. http://wedc.lboro.ac.uk/WHO_Technical_Notes_for_Emergencies
- *Improving Health through Behavior Change: A Process Guide on Hygiene Promotion*. USAID Environmental Health Project, 2004. http://www.ehproject.org/PDF/Joint_Publications/JP007-CIMCIProcessGuideWeb.pdf
- *Just Stir Gently: the way to mix hygiene education with water supply and sanitation* by Marieke T. Boot. IRC International Water and Sanitation Centre, 1991. http://www.irc.nl/page/1889
- *Water Quality and Treatment: A handbook of community water supplies* edited by Raymond D. Letterman. American Water Works Association and McGraw-Hill, 1999.
- *The Sphere Project: Humanitarian Charter and Minimum Standards in Disaster Response* handbook. Geneva, 2004. http://www.sphereproject.org/content/view/27/84

Justification for Intervention

- Completed, planned, or needed assessments, conducted by whom and when. Relevant findings and how they justify a WASH intervention
- How the proposed program will implement lessons learned from past water, hygiene, sanitation, and environmental health projects
- How activities will be integrated into national strategies, such as MoH, Ministry of Rural or Community Development, and Ministry of Rural Water Supply
- Complementary work of other donors, local and international NGOs. Coordination within the WASH sector, and between WASH and other sectors; How the proposed intervention will integrate with these activities
- How the initiative will incorporate Sphere guidelines for WASH promotion, both at facilities and at individual points of use, such as in the home; Rationale if Sphere standards cannot be achieved; future activities that will allow these standards to be met; and national or other standards being followed for the proposed program

Available Sub-sectors and Sample Activities

Environmental Health
- Community participation
- Debris cleanup
- Drainage
- Livestock waste management
- Solid waste management (community or municipal)
- Environmental control activities for vector-borne disease

Hygiene Promotion
- Hand washing
- Latrine maintenance and management
- Latrine usage
- Water point maintenance
- Water transport, storage, and consumption

Sanitation
- Bathing facilities
- Food sanitation facilities
- Hand washing facilities
- Latrines (household or communal)
- Solid waste management (household)

Water Supply
- Ground water systems, such as hand-dug wells, boreholes, springs
- Rainwater systems
- Surface water systems
- Water distribution systems
- Water lifting devices, such as hand pumps, motorized pumps
- Water point construction or rehabilitation
- Water quality testing, at water point and at point of use
- Water transport and storage systems
- Water treatment, at water point and at point of use

Sub-sector: Environmental Health

Needs Assessment Summary
- General situation with regard to drainage and erosion
- Mechanisms in place for community or municipal solid waste removal
- Environmental health situation with respect to livestock; Whether livestock roam free.

Technical Design
- All environmental health interventions should illuminate appropriate linkages to human health and/or economic recovery; Will the proposed program reduce morbidity and mortality within the target community?
- All interventions should adhere to Sphere standards
- Simple technical sketches for each infrastructure activity

Beneficiary Details
- Demographic characteristics of the target population
- Selection criteria
- Strategy for ensuring appropriate involvement of both women and men as key players in program development and implementation
- How potential conflicts will be mitigated, i.e., through targeting strategies
 (*See* WASH sub-sector on Hygiene Promotion)

Indicators (required)
- Number of community cleanup/debris removal activities conducted
- Number of vector-borne disease environmental control activities implemented
- Number of bathing facilities completed

Sub-sector: Hygiene Promotion

Overview
Hygiene promotion interventions are intended to inspire healthy behavior changes among target communities. Desired behaviors may include maintenance and management of infrastructure. Activities related to building or improving infrastructure should be considered under sanitation (*see* next sub-sector).

Needs Assessment Summary
- Current level of individual hygiene practices surrounding hand washing, and barriers to change
- Cleanliness of water transport and storage containers
- Cleanliness of latrines
- Cleanliness of existing water points
- General cleanliness of target beneficiaries' households, courtyards, and environments
- Existence of community committees or groups that could be utilized for infrastructure management, message delivery, or other hygiene interventions
- Potential for private sector involvement in hygiene interventions, such as infrastructure management

Technical Design
All interventions should adhere to Sphere standards

Personal hygiene promotion relating to hand washing, latrine usage, and water transport, storage, and consumption
- How the proposed program will develop messages that overcome barriers to behavior change
- Methods for communicating messages to target populations
- Use of community groups such as churches to deliver messages
- Methods for ensuring adoption of correct practices, i.e., house-to-house visits, mobilization of neighbors

Infrastructure maintenance and management related to latrines and water points
- Mechanisms to be established and how they will enable sustainable maintenance following the project period
- How failures under past management schemes will be avoided
- Women's groups or youth groups who could be involved
- Outside technical expertise that may be needed, and how it would be accessed.
- How spare parts will be procured
- How running costs will be managed
- Incentives to maintain user committees following the project period
- Disincentives to theft of communal funds
- History of private management schemes and whether they could work

Beneficiary Details
(See WASH sub-sector on Environmental Health)

Indicators (required)
- Percent of target population demonstrating good hand-washing practices
- Percent of target population demonstrating correct water usage and storage
- Number and percent of clean water points functioning three months after completion

Sub-sector: Sanitation

Overview
Sanitation interventions are intended to create and improve infrastructure; Activities related to behavior change, including infrastructure maintenance and management, should be considered under hygiene promotion (*see* previous sub-sector)

USAID/OFDA encourages household and family latrines, and only supports communal latrines in three scenarios: at the initial onset of a disaster relief response; in schools and clinics where the institution is responsible and trained for maintenance; and in areas where space is prohibitive for household or family latrines; Communal hand washing stations are only approved in conjunction with communal latrines; otherwise, USAID/OFDA supports household hand washing stations

Needs Assessment Summary
- Number of people per available household latrine
- Number of people per available communal latrine
- Percent of homes with household hand washing facilities
- Number of people per available communal hand washing facility
- Number of people per available bathing facility
- Current methods of household solid waste and garbage disposal
- Current methods and facilities used for food storage

Technical Design
All interventions should adhere to Sphere standards

- Type and design of latrines proposed and rationale, including a simple schematic Number of pits, how deep and what diameter, type of cover
- Type of hand washing facility to be developed
- For bathing, household solid waste management, and food sanitation facilities, the type of facility proposed and a simple schematic

Beneficiary Details
(*See* WASH sub-sector on Environmental Health.)

Indicators (required)
- Number and percent of household latrines completed that are clean and in use in compliance with Sphere standards
- Number and percent of household hand-washing facilities completed and in use
- Number and percent of households disposing of solid waste appropriately

Sub-sector: Water Supply

Overview
USAID/OFDA recommends a twofold quality testing strategy for water supplies. Water should be tested once at the water point to ensure quality provision, and again at the household to identify any poor hygiene or water storage practices affecting quality.

Needs Assessment Summary
- Number of liters of clean water (0 coliform bacteria per 100ml) available per person per day among the target population
- Average distance to drinking water sources
- Availability of existing individual water transport and storage containers
- Quality of existing and potential water sources; Presence of any chemical, biological, or other contaminants in the water that have a significant impact on human health
- Any water treatment efforts being practiced either at the household or water point
- Any recent water-related disease outbreaks in the region

Technical Design
- All interventions should adhere to Sphere standards
- How the proposed program will test water quality

Ground water systems, i.e., hand-dug well, borehole, spring
- Detailed description of the proposed activity, including system type and output, and approximate or average depth and diameter for wells; Whether any well will be less than 30 meters deep
- Whether hand-dug wells are common, replicable interventions in the area
- Whether water is available year-round at this particular source
- Expected yield

Non-standard water interventions
- Type and design of project proposed
- Simple schematic

Water transport and storage, i.e., tank, bladder
- Type and volume
- Locally available storage capacity, such as cisterns, that can be rehabilitated if needed

Water lifting devices: various types of pumps
- Type of device selected and rationale
- Whether there is a standard pump for the country
- Local capacity to produce one type of water lifting device over another
- Ease or difficulty in procuring spare parts

Water transport and storage containers
- Volume of containers to be provided
- Whether containers can be purchased locally
- Locally appropriate solutions, such as clay pots, and why these are, or are not, being supported

Rainwater catchment systems
- Model and design
- Whether rainwater catchment is a common practice in the area. If not, what will make the intervention viable

Water treatment
- Any water treatment component of the program
- Whether the initiative will target sufficient residual chlorine at the household level
- Whether there will be household treatment

Beneficiary Details
(*See* WASH sub-sector on Environmental Health)

Indicators (required)
- Number and percent of household water supplies with 0 coliform bacteria per 100ml
- Average water usage of target population in liters per person per day prior to and after interventions
- Number and percent of water points with measurable chlorine residual exceeding 0.2 mg/l

B.   Keywords

A keyword represents a specific approach, focus, or population that may be reflected in proposed activities for any sub-sector. All keywords are available for all sub-sectors. Each keyword is described below, along with some Information Resources, to help applicants determine which keywords apply to the proposed interventions. For an example of how a keyword applies to all sectors, see the keyword **Protection Mainstreaming** below. The resulting Keyword selections should be reported under the Program Description at the Sector Level.

1.   Capacity Building / Training

Proposed interventions with **Capacity Building/Training** activities aim to significantly improve beneficiaries' capabilities through training or other skills enhancement methods. This includes vocational training, which seeks to create or enhance skill sets among individuals or groups in an effort to reinforce or expand livelihood opportunities.

Capacity Building/Training activities could include: training of community animal health workers, for programs under the Agriculture and Food Security Sector; training of village-level pump mechanics, for programs under the WASH Sector; training of CHWs, for programs under the Health Sector; literacy and numeracy education, for various sectors.

Information Resources:
- *Capacity building activities and research.* International Labour Organization's Crisis Response and Reconstruction Programme.
  http://www.ilo.org/public/english/employment/crisis/areas/c_building.htm
- *Timing matters: capacity-building during an emergency response* by Silva Lauffer. The Overseas Development Institute's Humanitarian Practice Network.
  http://www.odihpn.org/report.asp?ID=2812

2.   Cash Distribution

Proposed interventions with **Cash Distribution** activities seek to dispense cash or checks to beneficiaries. This approach is normally undertaken to increase individuals' purchasing power, either to acquire household goods, which can be food or non-food items, or to restore productive assets, which can be crucial to livelihoods rehabilitation. Cash Distribution does not include in-kind items.

Programs proposing Cash Distribution must include: a comprehensive analysis of the accessibility and functionality of markets; a detailed plan on how cash will be delivered effectively and safely, and distributed to beneficiaries in such a way that avoids making them targets for potential crimes; and a robust description of coordination with other cash-transfer programs, such as CFW and Vouchers (*see* keywords below), that are being implemented in the immediate geographic vicinity.

Information Resources:
- *Cash-Transfer Programming in Emergencies: A Practical Guide* by Pantaleo Creti and Susanne Jaspars. Oxfam, 2006.
  http://publications.oxfam.org.uk/oxfam/display.asp?isbn=0855985631
- *Learning from cash responses to the tsunami* by Leslie Adams and Paul Harvey. Humanitarian Policy Group, 2006. http://www.odi.org.uk/hpg/papers/cashissue4.pdf

- *Cash and vouchers in emergencies* by Paul Harvey. The Overseas Development Institute's Humanitarian Policy Group, London, 2005.
  http://www.odi.org.uk/hpg/papers/cash_discussion_paper.pdf
- *Tsunami relief and reconstruction assistance: in-kind, or in cash?* The Overseas Development Institute's Humanitarian Policy Group.
  http://www.odi.org.uk/hpg/Tsunami_cash.html

3.   Cash-for-Work (CFW)

Proposed interventions with **CFW** activities distribute cash as payment for work services rendered. Work projects can be either individual- or group-based.

CFW programs generally serve two purposes:

1. To increase the purchasing power of individuals by providing work-related income-generating opportunities.
2. To engage individuals or groups in productive work endeavors that lead to the creation of an asset or improvement within the household or community.

CFW initiatives should seek to engage individuals or communities in productive activities. Make-work projects with outputs having little impact on the well-being of a household or community fall short of best practice and are seldom in the funding interest of USAID/OFDA.

Information Resources:
- *Cash-Transfer Programming in Emergencies: A Practical Guide* by Pantaleo Creti and Susanne Jaspars. Oxfam, 2006.
  http://publications.oxfam.org.uk/oxfam/display.asp?isbn=0855985631
- Case Studies from the Indian Ocean Tsunami. 2005.
  http://rspas.anu.edu.au/economics/publish/papers/wp2005/wp-econ-2005-05.pdf

4.   Children

Proposed interventions with activities for **Children** either serve a population with a large percentage of children or include significant child-focused services, such as psychosocial initiatives, vaccination campaigns, safe spaces, or therapeutic feeding.

Information Resources:
- Children in Disasters by Conway F. Saylor. Plenum Press, New York, 1993.
- "Children in Adversity" by Jo de Berry and Jo Boyden. *Forced Migration Review*, 2000.
  http://www.fmreview.org/text/FMR/09/10.htm
- *The State of the World's Children.* UNICEF, annual.
  http://www.unicef.org/publications/index.html
- *Impact of Armed Conflict on Children.* UNICEF, Geneva.
  http://www.un.org/rights/introduc.htm

5.   Disability

People with disabilities may become disproportionately vulnerable during times of disaster, due to the disruption of infrastructure, services, and familiar routines. In turn, their families may be disproportionately affected, needing to increase the level of at-home care for a disabled adult or child who was previously more independent.

Proposed interventions with **Disability** activities integrate people with disabilities, mainstreaming this population into programs to the extent possible. Beneficiaries can include those who had disabilities prior to, as well as resulting from, the disaster. Disability activities can also include specific care, such as rehabilitation services or psychosocial support, for people with temporary or long-term disabilities caused by the disaster (see also: Disability Policy and Accessibility Standards).

Information Resources:

- *How to include disability issues in disaster management: following floods 2004 in Bangladesh.* Handicap International, Dhaka, 2005. Available in English and French. http://www.handicap-international.fr/fileadmin/documents/publications/DisabilityEmergencyDisaster.pdf
- *Water and Sanitation for Disabled People and Other Vulnerable Groups: Designing services to improve accessibility* by Hazel Jones and Bob Reed. Water, Engineering and Development Centre, Loughborough University, 2005. http://wedc.lboro.ac.uk/publications/details.php?book=978-1-84380-079-8

6. Disaster Risk Reduction (DRR)

Proposed interventions with **DRR** activities integrate risk reduction themes or initiatives into natural and human-made disaster responses. Such activities could include community-based disaster preparedness and mitigation, early warning systems, conflict prevention or mitigation, information dissemination, public awareness campaigns, technical training, national policies and plans, vulnerability and capacity mapping and analysis.

Information Resources:

- U.N. International Strategy for Disaster Reduction. http://www.unisdr.org
- *Disaster risk reduction: mitigation and preparedness in development and emergency programming* by John Twigg. Good Practice Review Number 9, Overseas Development Institute's Humanitarian Practice Network, London, 2004.

7. Environmental Management

Environmental Management is the design and implementation of projects such that the environmental harm to an ecosystem associated with particular humanitarian objectives be kept to a practicable minimum. This approach is necessary to prevent failure of humanitarian projects due to environmental causes, and damage to the environment that imperils future economic and social development. Environmental Management dictates that alternatives to environmentally harmful activities be considered, and that the environmental impacts associated with relief activities be weighed alongside technical, economic, and social criteria.

Proposed interventions with **Environmental Management** activities integrate system-focused, interdisciplinary environmental protection, enhancement, advocacy, or education into humanitarian sectors. Initiatives could include environmental health programs, such as sound disposal of medical waste from vaccination campaigns; green procurement, meaning the use and application of environmentally sound products and services; or cleaner production techniques in microenterprise.

Information Resources:

- *Environmental Guidelines for Small-Scale Activities in Africa (EGSSAA).* USAID Africa Bureau, 2006:

- Part III, Chapter 2, *Mechanisms for [Micro- and Small Enterprises] to Control Environmental Impact*.
  http://www.encapafrica.org/EGSSAA/Word_English/mse_controlmechanisms.doc
- Part II, Chapter 8, *Healthcare waste: Generation, handling, treatment and disposal.*
  http://www.encapafrica.org/EGSSAA/Word_English/medwaste.doc

- *Guidelines on Aid and Environment, No.7: Guidelines for Aid Agencies on Disaster Mitigation*. Organisation for Economic Co-operation and Development's Development Assistance Committee, 1994. http://www.oecd.org/dataoecd/37/7/1887740.pdf
- *Rapid environmental impact assessment in disaster response (REA)*. Benfield Hazard Research Center, UK. http://www.benfieldhrc.org/rea_index.htm
- *Refugee Operations and Environmental Management: Key Principles for Decision-making*. U.N. High Commissioner for Refugees' Engineering and Environmental Services Section, Geneva, 1998.
  http://www.unhcr.org/protect/PROTECTION/3b03b24d4.pdf

8. Gender Relations

Proposed interventions with **Gender Relations** activities aim to achieve more balanced gender equity or beneficiary targeting among populations that exhibit disproportionate male-female demographics; that have undergone gender role switches or reversals; or that are suffering disaster-related conflict or strain between females and males.

Information Resource:
- OCHA. *Gender Equality Tool Kit*. 2005.
  http://ochaonline.un.org/HumanitarianIssues/GenderEquality/GenderToolkit/tabid/1192/Default.aspx

9. HIV/AIDS

Women, and adolescent girls in particular, are at a disproportionately higher risk for contracting HIV/AIDS than their male counterparts. Currently, the incidence of new HIV/AIDS cases among females exceeds that among males in many developing countries. This imbalance is due to several factors, including females' higher vulnerability to coercive sexual practices. Many studies show that a large percentage of adolescent girls (20 to 30 percent in some countries) are coerced into their first sexual experience at a young age. In addition, women's lower socio-economic status leaves them with fewer educational and income-generating options, often translating into dependence on older men to meet basic needs, such as food, shelter, and school fees, in exchange for engaging in high-risk sexual practices. Moreover, women's increased HIV/AIDS vulnerability is fueled by a lack of access to means of prevention, including control over condom use, female-controlled barrier methods, information and health education. Disaster contexts often exacerbate these factors, and therefore the risks of contracting and spreading HIV/AIDS.

Proposed interventions with **HIV/AIDS** activities address transmission or prevention, and should pay special attention to the needs of women and adolescent girls. Programs could include sensitization and training, referrals, or safe blood supplies.

Information Resource:
- *Guidelines for HIV/AIDS interventions in emergency settings*. IASC Task Force on HIV/AIDS in Emergency Settings, Geneva, 1998.
  http://data.unaids.org/Publications/External-Documents/IASC_Guidelines-Emergency-Settings_en.pdf

10. Host Communities

Proposed interventions with activities for **Host Communities** aim to assist individuals, families, or communities that are helping others affected by human-caused or natural disasters. Such activities could include adding a room for a hosted family, to reduce tensions over space and provide privacy.

Information Resource:
- *Informatio*n *black hole in Aceh.* International Federation of Red Cross and Red Crescent Societies, World Disasters Report Chapter 4, 2005.
  http://www.ifrc.org/publicat/wdr2005/chapter4.asp

11. Host Government

Proposed interventions with **Host Government** activities provide support to, or close collaboration with, governments of disaster-affected countries. Such activities could include following, developing, or strengthening national policies, plans, protocols, or guidelines; or working with local government officials to avoid potential conflicts due to ethnic or religious differences.

Information Resource:
- *Code of Conduct for NGOs in Disaster Relief.* International Federation of Red Cross and Red Crescent Societies and the International Committee of the Red Cross.
  http://www.gdrc.org/ngo/codesofconduct/ifrc-codeconduct.html

12. Information Systems / Geographic Information Systems (GIS)

Proposed interventions with **Information Systems/GIS** activities use a system or geographic data to assess needs, plan, track, or report program activities. Such data could include GPS coordinates, geo-referenced data, or satellite imagery.

Information Resource:
The Application of Geographic Information Systems and Global Positioning Systems in Humanitarian Emergencies: Lesson Learned, Programme Implications and Future Research by Kaiser, et al. *Disasters* 27(2):127-140, 2003.
http://www3.interscience.wiley.com/journal/118841153/abstract?CRETRY=1&SRETRY=0

13. Infrastructure Rehabilitation

Proposed interventions with **Infrastructure Rehabilitation** activities facilitate construction or reconstruction of the basic facilities, equipment, and installations needed for the functioning of economic and social services. Examples include rehabilitated buildings, roads, and bridges.

Information Resource:
- *Infrastructure, Natural Disasters, and Poverty* by Paul K. Freeman. International Institute for Applied Systems Analysis, Laxenburg, Austria.
  http://www.iiasa.ac.at/Research/RMS/june99/papers/freemansolo.pdf

14. Internally Displaced Persons (IDPs)

Proposed interventions with activities for **IDPs** target assistance toward individuals, families, or communities who have been forced to move from their homes due to conflict, environment, economic, or other disasters.

Information Resources:
- *Guiding Principles on Internal Displacement.* OCHA, 2001.
  http://www.unhchr.ch/html/menu2/7/b/principles.htm
- *Protect or Neglect? Toward a More Effective United Nations Approach to the Protection of Internally Displaced Persons.* The Brookings-SAIS Project on Internal Displacement and OCHA's Inter-Agency Internal Displacement Division, 2004.
  http://www.brookings.edu/papers/2004/1123humanrights_bagshaw.aspx
- *Gender-Based Violence: Emerging Issues in Programs Serving Displaced Populations* by Beth Vann. Reproductive Health for Refugees Consortium, 2002.
  http://www.rhrc.org/pdf/gbv_vann.pdf
- *Sexual and Gender-Based Violence against Refugees, Returnees and Internally Displaced Persons: Guidelines for Prevention and Response.* U.N. High Commissioner for Refugees, 2003. http://www.rhrc.org/pdf/gl_sgbv03_00.pdf

15. Livelihoods / Income Generation

Proposed interventions with **Livelihoods/Income Generation** activities support the capabilities and assets people use to access the goods they need to survive. Five specific assets have been identified that people routinely employ to create their livelihood patterns:
- **Physical assets** — the infrastructure, tools, and goods people need to be productive.
- **Human assets** — the skills, knowledge, health, and infrastructure people use to work.
- **Social assets** — the way personal relationships and interactions are leveraged to acquire needed resources.
- **Financial assets** — the ways people access cash, credit, and other financial means.
- **Environmental assets** — how natural resources are utilized.

These assets are not static, but continually changing in quantity, composition, and interaction with shifts in the external environment and personal decision making. Livelihoods/Income Generation activities can support any combination of these assets.

Information Resources:
- USAID/OFDA *Livelihoods Assessment Questions.*
  http://www.usaid.gov/our_work/humanitarian_assistance/disaster_assistance/resources/livelihoods/assessment_questions.pdf
- Livelihoods Connect: creating sustainable livelihoods to eliminate poverty. Institute of Development Studies. http://www.livelihoods.org
- *Sustainable Livelihoods and Vulnerability to Disasters* by John Twigg. Benfield Greig Hazard Research Centre for the Disaster Mitigation Institute, 2001.
  http://www.benfieldhrc.org/disaster_studies/working_papers/pdfs/workingpaper2.pdf
- The Economic Functions of Violence in Civil Wars by David Keen. Routledge, 2005.
- *Saving Lives and Livelihoods: The Fundamentals of a Livelihoods Strategy* by Sue Lautze. Feinstein International Famine Center, 1997.
  http://www.livelihoods.org/static/slautze_NN192.html
- *What Are Livelihoods?* A brief introduction to the concepts and uses of sustainable livelihoods approaches. Livelihoods Connect, Institute of Development Studies, 2006.
  http://www.livelihoods.org/SLdefn.html

16. Market Rehabilitation

Proposed interventions with **Market Rehabilitation** activities build or rehabilitate market sites or stalls; train on market function and marketing skills; or create production or sales cooperatives.

Justification for these activities should include:

- Overview of market structures in the affected area.
- Damages sustained to the system and disaster-induced constraints to its functioning.
- Rationale for rehabilitating the system or creating new structures and why markets cannot recover without outside assistance.
- Evidence the market areas proposed for use are safe for sellers and buyers.
- For support of cooperatives, confirmation there is not a negative history with them in the affected area.

Information Resource:

- The Economic Life of Refugees by Karen Jacobsen. Kumarian Press, Bloomfield, 2005.

17. Micro-credit

Proposed interventions with Micro-credit components involve lending cash to individuals, Microfinance Institutions (MFIs), and/or Rotating Savings and Credit Associations (ROSCAs), with the expectation that the money will be reimbursed to the project on a scheduled basis.

*NOTE: USAID/OFDA generally discourages the submission of microcredit program proposals, and will consider them for support ONLY under special circumstances. On average, microcredit programs require a minimum of 18 months to show impact. Since USAID/OFDA emergency programs generally run no longer than 12 months, it is exceedingly difficult for any microcredit program to show impact during the period of implementation. Such examples of activities will be considered only when proposed by organizations with demonstrated experience in microcredit programming. A strong justification for why the program is warranted, confirmation of the beneficiary population's expected geographic stability in the target location(s), and a basis for why the program is expected to produce the intended results in less than 18 months will be required. USAID/OFDA considers support to MFIs (see **Microfinance** keyword below) a viable, sustainable alternative to microcredit programs. Support of this kind will normally come in the form of cash grants to MFIs that, due to disaster, have lost operating capital and are therefore unable to extend credit to small business owners and/or individuals.*

Information Resources:

- *Supporting Microfinance in Conflict-Affected Areas* by Bruett, et al. Consultative Group to Assist the Poor, 2004. http://www.cgap.org/p/site/c/template.rc/1.9.2362
- *Microfinance in protracted refugee situations: Lessons from the Alchemy Project* by Karen Jacobsen. Feinstein International Famine Center, 2004.
- *Microfinance in the Wake of Conflict: Challenges and Opportunities* by Karen Doyle, The Small Enterprise Education and Promotion Network. Micro-enterprise Best Practices, Development Alternatives, Inc., 1998. http://www.gdrc.org/icm/disasters/conflict.pdf

18.   Microfinance

Proposed interventions supporting **Microfinance** activities provide monetary assistance (cash grants) or technical assistance) to individuals, Micro-finance Institutions (MFIs), and/or Rotating Savings and Credit Associations (ROSCAs), that, due to disaster, have lost operating capital and are therefore unable to extend credit to small business owners and/or individuals. USAID/OFDA considers support to Microfinance Institutions (MFIs) a viable, sustainable alternative to microcredit programs (see **Microcredit** keyword above).

19.   Information Resources:

(see above resources for the keyword Microcredit)

20.   Natural Resource Management

Proposed interventions with **Natural Resource Management** activities mitigate or prevent unsustainable local practices that drive environmental degradation of natural resources, such as forest, savannah, or coastal areas, through a programmatic focus on natural resource protection, enhancement, advocacy, or education. Initiatives could include enhanced management of fish stocks, improved pasture management, or tree planting and reforestation, i.e., to provide fuel wood or seed oils that combat desertification or to control storm surge erosion.

Natural Resource Management projects such as reforestation can often take advantage of the lower opportunity costs of off-season labor and marginal lands. The most serious challenges for small-scale reforestation programs are to find appropriate site and species matches; to ensure farmers perform required maintenance; and to protect saplings from grazing animals and fire. Any Natural Resource Management activity, including tree planting, should be an economic activity that is productive for the farmer.

In many parts of the world, women—particularly as gatherers of fuel wood—play a predominant role in the traditional use of forest resources. Forming a women's forestry committee, or similar local organization, is often fundamental to enabling representation and participation of the entire community.

Fuel-efficient stoves are another possible Natural Resource Management activity. The implementation of effective fuel-efficient stove programs is inherently labor intensive, however, and should not be added onto other programs without budgeting for additional personnel with the requisite technical backgrounds.

Information Resources:
- *Environmental Guidelines for Small-Scale Activities in Africa (EGSSAA)*. USAID Africa Bureau, 2006:
    – Part II, Chapter 2, *Community-Based Natural Resource Management*.
    http://www.encapafrica.org/EGSSAA/Word_English/cbnrm.doc
    – Part II, Chapter 5, *Energy Sources for Small-Scale Development*.
    http://www.encapafrica.org/EGSSAA/Word_English/energy.doc
    – Part II, Chapter 11, *Livestock Production*.
    http://www.encapafrica.org/EGSSAA/Word_English/livestock.doc
- *Fuel Efficient Stove Programs in IDP Settings – Summary Evaluation Report, Uganda*, by the Academy for Educational Development. USAID, 2007. Update forthcoming, 2009.
    http://www.usaid.gov/our_work/economic_growth_and_trade/energy/publications/EGAT0020.PDF

21. Nomads / Pastoralists

Nomads are groups of people who travel from place to place in search of food, water, or grazing lands. Pastoralists are shepherds, herders, or people who are otherwise directly and predominantly involved in animal husbandry as a livelihood. Proposed interventions with activities for **Nomads/Pastoralists** could include veterinary assistance, health assistance, restocking or destocking animals.

Information Resources:
* Pastoralism: NRI Research, Advisory and Consultancy Projects. Natural Resources Institute. http://www.nri.org/projects/pastoralism/pastoralism.htm
* *Global Drylands Imperative Challenge Paper: Pastoralism and Mobility in Drylands.* http://www.undp.org/drylands/docs/COP6/PASTORALISM%20PAPER.doc

22. Protection Mainstreaming

Proposed interventions with **Protection Mainstreaming** activities are designed to help reduce risks or harm to vulnerable populations. For disaster contexts characterized by high insecurity or protection problems, OFDA expects organizations to include protection elements within each proposed sector.

The following examples represent only a small subset of the Protection Mainstreaming initiatives possible within each sector. Activities should be framed in terms of their intended protective result, for example: to stop, prevent, support, change, persuade, inform or educate, mobilize, care for, treat, restore, redress, provide, monitor, or report. Progress benchmarks should be developed and reviewed regularly to confirm original assumptions about protection needs, and to prevent any unintended program consequences.

Keyword Example: Protection Mainstreaming across All Sectors	
Agriculture and Food Security	• Employ protocols to ensure vulnerable populations, such as women and children, ethnic and religious minorities receive their humanitarian rations. • Confirm that agriculture initiatives for women do not add an intolerable work burden to their already busy schedules and do not require children to assist to the extent they miss school. • Design agriculture programs that do not expose agriculturalists to attack or other abuse, through elements such as synchronized work schedules and accompaniment services to the fields.
Economic Recovery and Market Systems	• Verify that proposed activities do not put individuals at additional risk, i.e., due to interpersonal or intercommunity jealousy or remote sites. • Design initiatives that reduce risks while generating income, such as providing alternatives to gathering fuel in insecure areas. • Include men in discussions of women's activities to avoid exacerbating resentment and domestic violence.
Health *and* **Nutrition**	• Provide services for survivors of sexual violence and GBV. • Create protocols to protect the privacy of victims of violence. • Establish safeguarded systems in health care centers to collect information on sexual violence cases, for possible use in future legal action.

	• Develop protocols that are GBV-survivor friendly, with clear standards for the care and treatment of children and women survivors.
	• Address reproductive health issues including medical services that are culturally appropriate, for example, train and employ female doctors.
	• Enhance the capacity of CHWs to monitor, report, and offer provider referrals on protection issues.
	• Provide mental health services that are culturally appropriate and ethically sound for populations affected by violence and trauma.
	• Create referral procedures for violence cases whose complications cannot be addressed within the local health system.
	• Enable issuance of birth and death documentation.
	• Secure access to services for all in need.
Humanitarian Coordination and Information Management	• Verify that protection information is gathered, analyzed, and disseminated to field personnel and decision makers.
	• Integrate protection personnel and protocols into planning, implementation, monitoring, and evaluation.
	• Validate that sensitive information is properly coded and safeguarded.
	• Encourage the disaggregation of humanitarian data by gender and vulnerable group.
Humanitarian Studies, Analysis, or Applications	• Incorporate protection concerns within the design of the study, analysis or application, engaging protection specialists as needed.
Logistics Support and Relief Commodities	• Confirm equitable access to commodities by all targeted individuals.
	• Target most vulnerable groups and individuals according to need.
	• Provide timely information on distributions to targeted populations.
	• Manage potential conflicts between recipients and non-recipients.
Natural and Technological Risks	• Consult vulnerable populations during all phases of DRR programs.
	• Incorporate vulnerability and capacity analyses into DRR activities and planning.
	• Design activities tailored to specific vulnerable populations.
Shelter and Settlements	• Develop procedures to prevent separation of families during movement into sheltered settings.
	• Establish camps only when necessary, with host families as a preferred solution.
	• Locate camps far from areas of conflict and national borders.
	• Fully integrate community needs and preferences into camp design to minimize safety threats.
	• Consider tribal, ethnic, and religious tensions in camp layout, and promote a sense of community, cognizant of recreational spaces and aesthetics.
	• Offer labor to households unable to construct their own shelter.
	• Provide separate rooms for women and children.
	• Include child-friendly spaces in camps.

	• Provide shelter materials and distance between dwellings that offer greater privacy and dignity, especially in cultures where men's and women's activities are markedly separate.
	• Conduct specialized training sessions for women and children on evacuation of buildings during earthquakes and tsunamis.
	• Make provisions for or designations of ownership of dwellings to ensure identified inhabitants have documented rights.
	• Address land tenure issues to avoid eviction and homelessness.
Water, Sanitation, and Hygiene	• Consult beneficiaries regarding safe locations for water points and latrines.
	• Separate men's and women's latrines, washing and bathing facilities.
	• Organize local communities to accompany women and children to water points and latrines as necessary.
	• Build latrines away from unmonitored peripheries and supply lighting at night, if possible.
	• Construct latrines that are culturally appropriate.
	• Make provisions for individuals with physical disabilities, children, and the elderly.
	• Conduct education for proper use of facilities, and develop procedures for maintenance and cleaning of latrines to encourage appropriate use.
	• Verify appropriate durability and security of latrines during design and construction.
	• Develop distribution networks among water points located throughout communities to improve access and convenience.
	• Ensure access to WASH facilities and services for all target beneficiaries.

Information Resources:
- *WHO Ethical and Safety Recommendations for Researching, Documenting and Monitoring Sexual Violence in Emergencies*. WHO. Geneva. 2005. http://www.who.int/gender/documents/EthicsSafety_web.pdf

23.   Returnees

Proposed interventions with activities for **Returnees** aim to assist displaced individuals or populations who are returning home or relocating to new settlement areas. Activities could include distribution of non-food items, or health, nutrition, or protection services.

Information Resources:
- U.N. High Commissioner for Refugees. http://www.unhcr.org
- International Organization for Migration. http://www.iom.int
- *Gender-Based Violence: Emerging Issues in Programs Serving Displaced Populations* by Beth Vann. Reproductive Health for Refugees Consortium, 2002. http://www.rhrc.org/pdf/gbv_vann.pdf
- *Sexual and Gender-Based Violence against Refugees, Returnees and Internally Displaced Persons: Guidelines for Prevention and Response.* U.N. High Commissioner for Refugees, 2003. http://www.rhrc.org/pdf/gl_sgbv03_00.pdf

24.   Security

Proposed interventions with activities addressing **Security** issues associated with disaster mitigation and response could include the following:

- Enhancing the coordination and cooperation, at the headquarters and the field levels for the safety and security of UN and NGO partner's staff working in humanitarian operations;
- Incorporating appropriate and specify security measures that address staff security concerns;
- Providing planning, advice and sharing on security matters at all levels;
- Promotion of adherence to appropriate Minimum Operating Security Standards (MOSS)

Information Resources:
- Interaction Minimum Operating Security Standards (MOSS). InterAction. 2006.
  http://www.interaction.org/files.cgi/5173_MOSS_May_2006.pdf
- Guidance for Implementing InterAction's Minimum Operating Security Standards. InterAction 2006.
  http://www.interaction.org/files.cgi/5174_MOSS_Implementation_May_2006.pdf
- InterAction Security Planning Guidelines. InterAction.
  http://www.interaction.org/files.cgi/687_Security_Planning_guidelines.pdf
- Saving Lives Together: A Framework for Improving Security Arrangements among IGOs, NGOs and UN in the Field. Inter-Agency Standing Committee. 2006.
  http://www.humanitarianinfo.org/iasc/content/documents/working/20061115-678/Saving%2520Lives%2520Together%2520_amended%2520version%252C%2520November%25202006_.pdf
- Operational Security Management in Violent Environments. Koenraad Van Brabant. 2000. Overseas Development Institute.2000
  http://www.odihpn.org/publistgpr8.asp
- RedR Security Resources:
  http://www.odihpn.org/report.asp?id=2108

25.   Slavery / Trafficking

Proposed interventions with **Slavery/Trafficking** activities address the prevention or mitigation of any commercial exchange of persons for labor or other exploitation. Activities could include reunification of separated children, child protection services, trafficking sensitization and education programs.

Information Resource:
- *Protocol to Prevent, Suppress and Punish Trafficking in Persons, Especially Women and Children, supplementing the United Nations Convention against Transnational Organized Crime.* U.N. Office on Drugs and Crime, Vienna, 2004.
  http://www.unodc.org/documents/treaties/UNTOC/Publications/TOC%20Convention/TOCebook-e.pdf

26.   Vector Control

Vectors are organisms that transmit infection by conveying pathogens, i.e. viruses or parasites, from one host to another. Vectors can be mammals, birds, or arthropods, especially mosquitoes and other insects.
Proposed interventions with **Vector Control** activities seek to eradicate or decrease vector populations, or to provide a barrier between vectors and potential hosts. Vector

control initiatives are normally associated with public health and disease prevention, and usually fall under the following sectors: agriculture, health, nutrition, shelter, and WASH.

Information Resource:
- *Vector Control.* U.S. Department of Health and Human Services' Centers for Disease Control and Prevention. http://www.cdc.gov/nceh/ehs/ETP/vector.htm

27.   Vouchers

When markets are functioning and local supplies of specific commodities are available and appropriate, USAID/OFDA prefers the use of vouchers to traditional commodity distributions. Voucher programs work through local markets, spreading economic benefits beyond direct beneficiaries to merchants and local suppliers of goods and services. Proposed interventions with activities using **Vouchers** distribute either cash or commodity vouchers that have no cash value in themselves, but can be redeemed for commodities or services, with reimbursement to merchants distributed by the implementing organization. Cash vouchers usually have a designated value that can be exchanged for an array of commodities up to a specified amount. Commodity vouchers are exchanged for a fixed quantity of a stated commodity, and therefore are immune to price fluctuations.

Information Resources:
- *Cash-Transfer Programming in Emergencies: A Practical Guide* by Pantaleo Creti and Susanne Jaspars. Oxfam, 2006.
  http://publications.oxfam.org.uk/oxfam/display.asp?isbn=0855985631
- *Cash and vouchers in emergencies* by Paul Harvey. The Overseas Development Institute's Humanitarian Policy Group, London, 2005.
  http://www.odi.org.uk/hpg/papers/cash_discussion_paper.pdf

28.   Youth

Proposed interventions with activities involving **Youth** are designed to help adolescents (approximately 10-25 years of age) prepare for, mitigate, respond to, and recover from disasters. Such interventions may include livelihood programs, psycho-social services, conflict resolution initiatives, youth centers, and a variety of other activities. Activities focusing on youth recognize and are designed to address the specific developmental issues associated with this age group. For activities for individuals under 10 years of age, choose the keyword **Children.**

Information Resources:
- "Disasters and Youth." The Prevention Researcher 15(3). 2008.
  http://www.tpronline.org/product_toc/15-3-toc.pdf
- Youth and Sustainable Livelihoods: Linking Vocational Training Programs to Market Opportunities in Northern Uganda. Women's Commission for Refugee Women and Children. http://womenscommission.org/pdf/ug_ysl_rep.pdf
- "The roles of children and youth in communicating disaster risk" by Tom Mitchell et al. Children Youth and Environment 18 (1). 2008.
  http://www.colorado.edu/journals/cye/18_1/18_1_09_CommunicatingRisk.pdf

Glossary

Annual Program Statement	A form of solicitation used to generate competition for new awards where USAID/OFDA intends to support a variety of approaches by NGOs that are in keeping with OFDA's objectives.
Assessment (Needs assessment)	The process of determining the impact or potential impact of a crisis or event prior to, during, and/or after the crisis or event. An assessment determines the need for immediate emergency measures to save and sustain lives and reduce suffering of affected populations, and calculates the possibilities for expediting recovery. It also evaluates the capacity of local populations to cope with the crisis. The assessment process can range from formal and scientific to anecdotal and impressionistic and should continue via monitoring and adjustment throughout the duration of the program.
Beneficiaries	The members of an affected population who receive humanitarian assistance.
Context-Specific Programming	An approach to programming that reflects the combination of variables that distinguish the context of a disaster, such as gender roles, the environment, and social and political networks.
Coping Mechanisms	The set of behaviors or activities that people engage in to survive a crisis, such as consuming wild foods or selling assets such as livestock, property, jewelry, tools, and household furnishings.
Cost Sharing	In appropriate instances, USAID may require that a specified percentage of a program's funding come from non-federal sources. Cost sharing may be cash or in-kind, and may be from the applicant's own funds or from third-parties. For types of contributions that may be considered for the purposes of cost sharing, see 22 CFR 226.23, http://www.access.gpo.gov/nara/cfr/waisidx_06/22cfr226_06.html
Critical Assumptions	General conditions that are outside the control or influence of an organization but, if changed, may affect the ability to successfully implement a program.
Disaster Assistance Response Team (DART)	The team of first responders deployed to a disaster area by USAID/OFDA. In addition to USAID/OFDA personnel, a DART may include members of USAID's Office of Food For Peace, USAID's Office of Transition Initiatives, U.S. Department of State Bureau of Population, Refugees, and Migration, and other USAID bureaus and USG agencies.

Goal   The overall purpose of the program.

Indicator   A measurement used to demonstrate change resulting from a particular intervention. Indicators are used to monitor progress toward achieving performance targets.

Indirect Beneficiaries   Members of an affected population who do not receive direct assistance but who nonetheless benefit from assistance being given to their relatives, neighbors, friends, or community.

International Standard   An accepted measure for a humanitarian assistance commodity or service delivery recommended by relevant international organizations.

In-kind Contribution   The value of non-cash contributions to a program provided by the applicant/recipient or any non-USG party, including counterpart contributions from host country institutions. In-kind contributions may be in the form of space, equipment, supplies, expendable property, and the value of goods and services directly benefiting and specifically identifiable by an organization. See 22 CFR 226.23 for further information: http://www.access.gpo.gov/nara/cfr/waisidx_06/22cfr226_06.html

Livelihoods   The means by which an individual or a part of a society sustains its existence.

Measurable   Describes an outcome that can be determined and reported quantitatively or qualitatively, and used as a basis for comparison.

Mitigation   Measures taken to reduce the loss of life, livelihoods, and property by reducing vulnerability.

Objective   A subset of the goal that more specifically categorizes program activities according to needs to be addressed. Please refer to the list of OFDA's approved sector objectives.

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

Performance Target   Performance targets measure the specific, planned result(s) to be achieved within an explicit time frame and can be qualitative or quantitative.

Preparedness   Actions taken to reduce the loss of human lives and the economic impact of disasters by strengthening local capacities to respond.

Prevention   Measures taken to prevent a natural phenomenon or potential hazard from having harmful effects on either persons or economic assets.

Qualitative Data   Descriptive observations often expressed in reference to behavior, attitudes, beliefs, and personal experiences.

Quantitative Data   Data expressed numerically that may include qualitative information.

Risk   The probability that a loss will occur as the result of an adverse event. The level of risk is a factor of hazard and vulnerability.

Sphere Project   A broad collaborative effort initiated in 1997. Its aim is to reach common minimum standards for emergency activities on the basis of humanitarian principles covering essential "life-saving" sectors: WASH promotion; food security, nutrition, and food aid; shelter, settlement, and relief commodities; and health services. Publishes the *Humanitarian Charter and Minimum Standards in Disaster Response* handbook. http://www.sphereproject.org

Targeted Population   Intended beneficiaries chosen for assistance based on anthropometric or socioeconomic criteria.

Time Line   The set of planned actions from the beginning to the end of an intervention that includes preparatory and post-program planning and evaluation.

USAID Regulation 26   "Administration of Assistance Awards for U.S. Non-Governmental Organizations."

Vulnerability   The extent to which a community is at risk from disasters.

Acronyms

ABA	Architectural Barriers Act
ADA	Americans with Disabilities Act
ADS	USAID Automated Directives System
APDR	Additional Program Description Requirement
APS	Annual Program Statement
BCC	Behavior change communications
BSMP	Branding Strategy and Marking Plan
CFW	Cash-for-Work
CHW	Community Health Worker
CTO	Cognizant Technical Officer. The CTO is an OFDA/W staff member authorized by the agreement officer, by policy, or by regulation to carry out specific aspects of contract or grant administration.
DCHA	USAID's Bureau for Democracy, Conflict, and Humanitarian Assistance. DCHA was formerly the Bureau for Humanitarian Response (BHR).
DRR	Disaster Risk Reduction
EPI	Expanded Program of Immunizations
ERMS	Economic Recovery and Market Systems
FAA	Foreign Assistance Act of 1961, as amended
FAO	U.N. Food and Agriculture Organization
FDA	U.S. Food and Drug Administration
FOG	USAID/OFDA *Field Operations Guide for Disaster Assessment and Response*
GBV	Gender-based violence
GIS	Geographic Information System
GPS	Global Positioning System
HIV/AIDS	Human Immunodeficiency Virus / Acquired Immune

	Deficiency Syndrome
IASC	U.N. Inter-Agency Standing Committee
IDP	Internally Displaced Person
IEC	Information, education, communication
ITM	Insecticide-treated Materials
IYCF	Infant and young child feeding
KAP	Knowledge, Attitude, and Practice
LLIN	Long-lasting insecticide treated net
LQAS	Lot Quality Assurance Sampling
MAM	Moderate Acute Malnutrition
MFI	Microfinance Institution
MISP	Minimal Initial Service Package
MoH	Ministry of Health
NFI	Non-food Item
NGO	Non-governmental Organization
OCHA	U.N. Office for the Coordination of Humanitarian Affairs
OFAC	U.S. Department of the Treasury's Office of Foreign Assets Control
OFDA/W	Office of U.S. Foreign Disaster Assistance headquarters in Washington, D.C.
OMB	U.S. Office of Management and Budget
PAL	Pre-award letter. The PAL communicates any agreements, such as start dates, that may be reached with applicants prior to award.
PEA	USAID Programmatic Environmental Assessment
PEPFAR	The U.S. President's Emergency Plan for AIDS Relief
PHC	Primary health care
RFA	Request for Applications
ROSCA	Rotating Savings and Credit Association

SAM	Severe Acute Malnutrition
S&S	Shelter and Settlements
SME	Small Microenterprise
SPOG	Senior Policy Operating Group
STI	Sexually Transmitted Infection
TB	Tuberculosis
TBA	Traditional Birth Attendant
UNICEF	U.N. Children's Fund
USAID	U.S. Agency for International Development
USAID/OAA	USAID's Office of Acquisition and Assistance
USD	U.S. Dollar
USG	U.S. Government
WASH	Water, Sanitation, and Hygiene
WHO	U.N. World Health Organization

General References

USAID/OFDA

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

USAID/OFDA *Field Operations Guide for Disaster Assessment and Response* (FOG)
http://www.usaid.gov/our_work/humanitarian_assistance/disaster_assistance/resources/#fog

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

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

OTHER OFFICES IN USAID AND THE U.S. GOVERNMENT

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

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

22 CFR 226: (Regulation 26)
http://www.access.gpo.gov/nara/cfr/waisidx_06/22cfr226_06.html

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

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

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

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

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

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

Contract Information Bulletins (CIBs)/A&A Policy Directives (AAPDs)

http://www.usaid.gov/business/business_opportunities/cib/index.html

22 CFR 228: (Source/Origin/Supplier Nationality)
http://www.access.gpo.gov/nara/cfr/waisidx_06/22cfr228_06.html

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

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

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

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

Guidelines for Financial Audits Contracted By Foreign Recipients
http://www.usaid.gov/policy/ads/500/591maa.pdf

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

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

Domestic (U.S.) Per Diem Rates
http://www.gsa.gov/Portal/gsa/ep/contentView.do?contentId=17943&contentType=GSA_BASIC

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

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

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

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

INTERNATIONAL

The Geneva Conventions (International Red Cross and Red Crescent Movement)
http://www.icrc.org/Web/Eng/siteeng0.nsf/html/genevaconventions

The Sphere Project: Humanitarian Charter and Minimum Standards in Disaster Response
http://www.sphereproject.org

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

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

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

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

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

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

Joint Typhoon Center
http://metocph.nmci.navy.mil/jtwc.html

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

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

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

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

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

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

PUBLICATIONS

Operational Security Management in Violent Environments by Koenraad Van Brabant. Good Practice Review Number 8, The Overseas Development Institute's Humanitarian Practice Network, London, 2000.

Appendix I: Checklist for Preparation of Branding Strategies and Marking Plans

The following checklist is intended as a tool to assist NGOs in the preparation of Branding Strategies and Marking Plans and requests for Presumptive Exceptions and Waivers, but should not be used as the Branding Strategy or Marking Plan or as a request for Presumptive Exceptions or Waivers, nor does it supersede any USAID policy or requirements related to branding and marking.

USAID Identity (Identity) means the official marking for the United States Agency for International Development (USAID), comprised of the USAID logo or seal and new brandmark, with the tagline that clearly communicates that USAID's assistance is "From the American People." The USAID Identity is available on the USAID website at http://www.usaid.gov/branding and USAID provides it without royalty, license, or other fee to recipients of USAID-funded NGOs and sub-awardees.

A.   **Branding Strategy** - A strategy that describes how the program, project, or activity is named and positioned, and how it is promoted and communicated to beneficiaries and host country citizens. It identifies all donors and explains how they will be acknowledged. The USAID Identity must be of a size and prominence equivalent to or greater than the NGO's, other donor's, or any other third party's identity or logo.

BRANDING STRATEGY

√ or N/A	Content
1. Positioning	
	Intended name of this program, project, or activity is identified. Note: USAID prefers to have the USAID Identity included as part of the program or project name, such as a "title sponsor," if possible and appropriate. It is acceptable to "co-brand" the title with USAID's and the NGO's identities, *e.g.*, "The USAID and [NGO] Health Center."
	If USAID Identity will not be included as part of the program or project name, explanation is given as to why it would be inappropriate or impossible to "brand" the project in accordance with the USAID Identity, *e.g.*, when rehabilitating a structure that already exists or if there are multiple donors.
	If USAID Identity will not be included as part of the program or project name, explanation and indication is given as to how the NGO intends to showcase USAID's involvement in publicizing the program or project, *e.g.*, "School #123, Rehabilitated by USAID and [NGO]/[other donors]"). Note: USAID prefers "made possible by [or with] the generous support of the American People" next to the USAID Identity in acknowledging its contribution, instead of the phrase, "funded by." USAID prefers local language translations.
	Explanation as to whether a program logo will be developed and used consistently to identify the program
	If a program logo will be developed and used to identify the program, a copy of the logo is attached. Note: USAID prefers to fund projects that do NOT have a separate logo or identity that competes with the USAID Identity.
2. Program Communications and Publicity	

√ or N/A	Content
	Primary and secondary audiences for this project or program are identified. Note: Direct beneficiaries and any special target segments or influencers should be identified, *e.g.*, "Primary audience: schoolgirls age 8-12, Secondary audience: teachers and parents–specifically mothers."
	Communications or program materials to be used to explain or market the program to beneficiaries are identified. Note: These include training materials, posters, pamphlets, Public Service Announcements, billboards, websites, etc.
	Main program message(s) is/are identified, *e.g.*, "Be tested for HIV-AIDS" or "Have your child inoculated."
	Indication is given as to whether the NGO plans to incorporate USAID's primary message – that the aid is "from the American people" – into the narrative of program materials. Note: This is optional; however, marking with the USAID Identity is required.
	Indication and explanation is given as to whether the NGO will publicly announce and promote the program or project to host country citizens. Note: Incorporating the message "USAID - From the American People" and the USAID Identity is required.
	If the NGO will publicly announce and promote this program or project to host country citizens, indication is given as to what press and promotional activities are planned. Note: These may include media releases, press conferences, public events, etc.
	Additional ideas are provided about how to increase awareness that the American people support the project or program. Note: This is optional. One of USAID's goals is to ensure that both beneficiaries and host-country citizens know that the aid that USAID is providing is "from the American people."
3. Acknowledgements	
	Indication is given as to whether there will be any direct involvement from a host government ministry.
	If there will be any direct involvement from a host government ministry, such ministry(ies) is/are identified.
	Indication is given as to whether the NGO will acknowledge the ministry as an additional co-sponsor. Note: It is perfectly acceptable and often encouraged for USAID to "co-brand" programs with host government ministries.
	Indication is given as to whether there are any other groups whose logo or identity the NGO will use on program materials and related communications. Note: Indication should be given as to whether they are also a donor, or why they will be visibly acknowledged, and if they will receive the same prominence as USAID. USAID generally requires equal or greater prominence.

B. **Marking Plan** – A plan that details the public communications, commodities, and program materials and other items that will visibly bear the USAID Identity.

MARKING PLAN

√ or N/A	Content
1. Size and Prominence of USAID Identity and Other Identifications/Logos	
	Size and prominence of USAID identity is identified. Note: The USAID Identity must be of a size and prominence equivalent to or greater than the NGO's, other donor's, or any other third party's identity or logo. If USAID is the majority donor, consideration should be given to whether the USAID Identity should be larger and more prominent.
	Indication is given as to whether the host government's identity will be larger and more prominent. Note: Consideration should be given to whether circumstances warrant, depending on the audience, program goals, and materials produced.
	Indication is given as to whether NGO will mark with its own identity or logo. Note: Consideration should be given to whether the USAID Identity should be used even if the NGO does not choose to mark with its own identity or logo.
2. Description of the public communications, commodities, and program materials that will be produced as a part of the award	
	Includes a description of program, project, or activity sites funded by USAID, including visible infrastructure projects or other programs, projects, or activities that are physical in nature, and whether they will comply with USAID marking requirements. Note: Must be marked with the USAID Identity unless Presumptive Exception or Waiver is approved. The NGO should erect temporary signs or plaques early in the construction or implementation phase. When construction or implementation is complete, the NGO must install a permanent, durable sign, plaque or other marking.
	Includes a description of technical assistance, studies, reports, papers, publications, audio-visual productions, public service announcements, Web sites/Internet activities and other promotional, informational, media, or communications products funded by USAID, and whether they will comply with USAID marking requirements. Note: Must be marked with the USAID Identity unless Presumptive Exception or Waiver is approved.
	Includes a description of events financed by USAID, such as training courses, conferences, seminars, exhibitions, fairs, workshops, press conferences, and other public activities, and whether they will comply with USAID marking requirements. Note: Must be marked with the USAID Identity unless Presumptive Exception or Waiver is approved. Unless directly prohibited and as appropriate to the surroundings, NGOs should display additional materials, such as signs and banners, with the USAID Identity. In circumstances in which the USAID Identity cannot be displayed visually, the NGO is encouraged otherwise to acknowledge USAID and the American people's support.
	Includes a description of all commodities financed by USAID, including commodities or equipment provided under humanitarian assistance or disaster relief programs, and all other equipment, supplies, and other materials funded by USAID, and their export packaging, and whether they will comply with USAID marking requirements. Note: Must be marked with the USAID Identity unless Presumptive Exception or Waiver is approved.

√ or N/A	Content
3. Pre-Production Review	
	Indication is given as to whether USAID will perform pre-production review of USAID-funded public communications and program materials. Note: Consideration should be given to whether USAID's pre-production review of USAID-funded public communications and program materials for compliance with the Marking Plan should be obtained.
4. Public Communications (as defined in 22 CFR 226.2)	
	Indication is given that all USAID-funded public communications will include an appropriate acknowledgement and disclaimer. Note: Any public communications, the content of which has not been approved by USAID, must contain the following acknowledgement and disclaimer: *"This study/report/audio/visual/other information/media product (specify) is made possible by the generous support of the American people through the United States Agency for International Development (USAID). The contents are the responsibility of [insert NGO name] and do not necessarily reflect the views of USAID or the United States Government."*
5. Sub-Awards	
	Indication is given as to how the marking requirements will "flow-down" to sub-recipients. Note: The NGO must include the following provision in any USAID-funded sub-award: *"As a condition of receipt of this sub-award, marking with the USAID Identity of a size and prominence equivalent to or greater than the recipient's, sub-recipient's, other donor's, or third party's is required. In the event the recipient chooses not to require marking with its own identity or logo by the sub-recipient, USAID may, at its discretion, require marking by the sub-recipient with the USAID Identity."*
6. A Table Specifying:	
	The program deliverables that the NGO will mark with the USAID Identity.
	The type of marking and what materials the NGO will use to mark the program deliverables with the USAID Identity.
	When in the performance period the NGO will mark the program deliverables, and where the NGO will place the marking.
7. If Applicable, Another Table Specifying:	
	The program deliverables that will not be marked with the USAID Identity.
	Rationale for not marking these program deliverables.

C.   Presumptive Exceptions

NGOs may request approval of Presumptive Exceptions to marking requirements. The USAID Agreement Officer approves or disapproves Presumptive Exceptions.

REQUEST FOR PRESUMPTIVE EXCEPTION

√ or N/A	Content
Presumptive Exception #1: Compliance with USAID marking requirements would compromise the intrinsic independence or neutrality of a program or materials where independence or neutrality is an inherent aspect of the program and materials, such as election monitoring or ballots, and voter information literature; political party support or public policy advocacy or reform; independent media, such as television and radio broadcasts, newspaper articles and editorials; and public service announcements or public opinion polls and surveys.	
	Identification is made of the USAID Strategic Objective, Interim Result, or program goal furthered by an appearance of neutrality, and explanation is given as to why the program, project, activity, commodity, or communication is "intrinsically neutral."
	Identification is made, by category or deliverable item, of program materials for which this Presumptive Exception is requested by the NGO.
Presumptive Exception #2: Compliance with USAID marking requirements would diminish the credibility of audits, reports, analyses, studies, or policy recommendations whose data or findings must be seen as independent.	
	Identification is made of the data, studies, or other deliverables, and explanation is given as to why such data, studies, or deliverables must be seen as credible.
Presumptive Exception #3: Compliance with USAID marking requirements would undercut host-country government "ownership" of constitutions, laws, regulations, policies, studies, assessments, reports, publications, surveys or audits, public service announcements, or other communications better positioned as "by" or "from" a cooperating country ministry or government official.	
	Identification is made of the item(s) or media product(s), and explanation is given as to why each such item or product, or category of item and product, is better positioned as an item or product produced by the cooperating country government.
Presumptive Exception #4: Compliance with USAID marking requirements would impair the functionality of an item, such as sterilized equipment or spare parts.	
	Identification is made of the item or commodity, or categories of items or commodities, and explanation is given as to how marking would impair each such item's or commodity's functionality.
Presumptive Exception #5: Compliance with USAID marking requirements would incur substantial costs or be impractical, such as items too small or otherwise unsuited for individual marking, *e.g.,* food in bulk.	
	Explanation is given as to why marking would not be cost-beneficial or practical.
Presumptive Exception #6: Compliance with USAID marking requirements would offend local cultural or social norms, or be considered inappropriate on such items as condoms, toilets, bed pans, or similar commodities.	
	Identification is made of the relevant cultural or social norm, and explanation is given as to why marking would violate that norm or otherwise be inappropriate.
Presumptive Exception #7: Compliance with USAID marking requirements would conflict with international law.	
	Identification is made of the applicable international law violated by marking.

D.   Waivers

NGOs may request approval of Waivers to the marking requirements reflected in the Marking Plan. No marking is required while a waiver determination is pending. The USAID/OFDA Director may approve or disapprove Waiver requests, in whole or in part.

Waivers may be approved if USAID-required marking would pose compelling political, safety, or security concerns, or when marking would have an adverse impact in the host country. Waivers may be approved for a program, project, activity, public communication, or commodity; or, in exceptional circumstances, for a region or country.

The USAID/OFDA Director may authorize the removal of USAID markings already affixed, if circumstances warrant.

Approved waivers are not limited in duration but are subject to the USAID/OFDA Director's review at any time, due to changed circumstances.

The USAID/OFDA Director's disapproval may be appealed by the NGO to the AA/DCHA.

REQUEST FOR WAIVER

√ or N/A	Content
	Describes why compliance with USAID-required marking would pose compelling political, safety, or security concerns, or would have an adverse impact in the host country.
	Details the circumstances and rationale for the waiver.
	Detail the specific requirements to be waived, or specific marking to be waived.
	Include a description of how program materials will be marked (if at all) if the USAID Identity is removed.
	Provides a rationale for any use of the NGO's own identity/logo or that of a third party on materials that will be subject to the waiver.